GOVERNANCE CAPACITY PLANNING TOOL

A Step-by-Step Approach to Planning Capacity Development

2011

Indian and Northern Affairs Canada

GOVERNANCE CAPACITY PLANNING TOOL	

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INTRODUCTION

The Governance Capacity Planning Tool (GCPT) was developed to allow First Nations communities to create a community-focussed, long-term plan for governance capacity development. The GCPT will help you to create a five year road map to governance capacity development based on your community's current capacities, assets and priorities. The plan you create will be a "living" document that you can add to or modify in the future. It will also serve as a reference document for you to measure and report on your successes.

The GCPT focuses on 10 core functions that all governments, regardless of structure or type undertake on a regular basis. These functions encompass activities that are performed by both the community leadership and community administrators. The core functions of government are the foundation upon which all other activities and functions are built. As such, it is critically important that as much effort as possible is placed on ensuring this foundation is strong and sound. The 10 core functions are:

1) <u>Leadership</u> - includes the selection and compensation of community leaders, as well as meetings of council and decision making. Examples of activities under this function include: leadership selection/election codes, leadership selection activities, meetings and roles and responsibilities for Chiefs and Councillors.

2) <u>Membership</u> – involves recognition of First Nation (band) membership. Note that the determination of Status under the *Indian Act* is not dealt with in the GCPT. Activities under this function may include custom First Nation membership codes, registration of First Nations members and the maintenance of membership lists.

3) <u>Planning and Risk Management</u> – includes developing priorities and goals, and measurement and reporting of government activities to foster continuous improvement, accountability and results. This function includes visioning, risk management, strategic

planning, community planning and the monitoring, evaluation and reporting of program performance.

4) <u>Community Involvement</u> – activities that allow community members to participate in government decision-making, and that keep the community informed of decisions and changes. This function includes policies and tools for communicating with First Nation members, community consultation, appeal mechanisms and dispute resolution measures.

5) <u>Law-Making</u> – involves the establishment of bylaws required to regulate economic and social activity in the community. Examples of activities that are part of this function include, drafting new bylaws or amendments to existing bylaws, council decisions regarding passing or amending bylaws, and recording or registering bylaws.

6) <u>Financial Management</u> – is the planning, implementation of budgets and monitoring of assets, liabilities, revenues and expenditures. This function includes the development of budgets and financial policies, the tracking of financial transactions, the development and distribution of audited financial statements, the collection of revenues and the tendering/awarding of contracts.

7) <u>Human Resource Management</u> – includes hiring, retaining, training and compensation of the skilled personnel required to meet community goals. This function includes the development of policies (including a code of ethics and conflict of interest policies), the administration of salaries and benefits, the development of job descriptions, the administration and support of volunteers, and the recruitment and hiring of staff.

8) <u>Information Management and Information Technology</u> – includes the hardware, software and business practices required to collect, store and distribute information. This function includes data security, access to information and privacy policies, document management, and computer hardware and software.

9) <u>External Relations</u> – involves the community's relationship with other government organizations, non-government organizations and corporations. This function includes participation in intergovernmental forums and professional associations,

communications with the public and other governments, and negotiations with stakeholders on land claims, resource rights and public-private partnerships.

10) Basic Administration – encompasses the activities required to run an efficient central office. For example, general office policies, procedures and services, compensation of First Nation administrators and administrative assistants, management of utilities for the First Nation office, office security systems, etc.

The GCPT is structured as a step-by-step approach to governance capacity development planning and reporting. The GCPT is composed of six major sections: Preparation, Inventory of Existing Policies & Tools, Needs Identification, Prioritization, a Development Plan and Reporting.

When completing the GCPT workbook, you should keep in mind all of the 10 core functions of government, particularly in regards to their relationship to all the work that goes on within your administration.

Using the GCPT to Apply for Capacity Development Funding

Plans completed with the Governance Capacity Planning Tool can be used to support a proposal for governance capacity development funding from INAC. For more information, please visit http: http://www.ainc-inac.gc.ca/ap/gov/igsp/pid/index-eng.asp

Many communities have already completed governance assessments or developed comprehensive community plans or strategic plans that include governance. In some cases, these plans may also be used to apply for capacity development funding from INAC. You will soon be able to find out more about minimum requirements and how to adapt an existing plan as part of a capacity development funding proposal on the same website listed above.

A STEP-BY-STEP APPROACH

This workbook will assist you with the task of identifying, prioritizing and planning the development of governance capacities you may need, and / or strengthening existing governance abilities.

STEP 1: Preparation

Will help you to organize the contacts and information you need to complete the GCPT workbook and organize your time and efforts as effectively as possible.

STEP 2: Inventory of Information and Existing Tools

Will help you establish a reference library of key information and documents related to your community governance. As noted earlier, your community may already have undertaken similar processes or projects that would benefit elements of this GCPT workbook.

STEP 3: begins after you've set yourself up to fill out the GCPT. This will entail determining what specific elements of the 10 core functions and activities of government require strengthening and / or development through a *Needs Identification*.

Some questions are structured in terms of "yes" and "no" answers such as those intended to determine whether your community has a policy or mechanism in place. Some are structured as a "check-box" or list of particular items your community may have. Where more detail may be useful, space has been provided (and you should feel free to insert additional pages – this is your tool and you may be referring back to it from time to time in the future and additional notes might be helpful).

To the degree possible, the questions have been structured to prompt objective answers. However, there are a few that may be based on your opinion or experience.

Community circumstances differ from one to another and so do priorities, particularly around development efforts. Having identified what your community governance needs are, you can then go through **STEP 4:** which is a *Prioritization* exercise, to determine how and in what order these needs can be addressed.

STEP 5: is the process of interpreting the information of the previous steps into a *Development Plan*. The Development Plan is based on a five year horizon and will therefore need to be flexible and adaptable. This will mean course adjustments and in some cases, reprioritization of projects and initiatives identified in the Development Plan during the course of its implementation. The Development Plan also allows you to identify a budget for each of the projects being contemplated.

STEP 6: is the creation of a proper *Reporting* framework that is built right into the Development Plan; is simple in nature; is updated as part of the regular course of business on an incremental basis; includes appropriate indicators and measures; and follows a logic model tied to the Development Plan and not just the specific project or initiative – it includes results, outputs and outcomes.

STEP 1:   PREPARATION

This workbook is designed to take approximately 3-5 hours for an individual who is familiar with their community's policies and procedures to complete on their own. It may take more or less time depending on your familiarity with those policies and procedures and the complexity of the governance systems already in place in your community.

You may also choose to involve more people in completing the workbook. Added input may be helpful if you are less familiar with your community's governance system, and may provide a sounding board to discuss the questions in the workbook. Although this will likely produce a more reliable plan in the end, it may require some additional time and organization in the beginning.

Once you have chosen your strategy, plan for enough time to complete the workbook in one or more sessions throughout the week, giving yourself or your team enough time to think through the ideas with limited interruptions.

If you have decided to complete the workbook as an individual, take the time to think of the key contacts, including community leaders, key staff members or other knowledgeable individuals who may be able to help you answer some of the questions, or give you useful history and background knowledge.

GOVERNANCE CAPACITY PLANNING TOOL

Your information:

First Nation / Organization Name:	
GCPT Completed By:	
Phone Number:	
Email:	
Position:	
Notes:	

Key Contacts:

Key Contact 1	
Contact Name:	
Phone Numbers:	
Email:	
Position:	
Notes:	

Key Contact 2

Contact Name:		
Phone Numbers:		
Email:		
Position:		
Notes:		

Key Contact 3

Contact Name:		
Phone Numbers:		
Email:		
Position:		
Notes:		

Key Contact 4

Contact Name:		
Phone Numbers:		
Email:		
Position:		
Notes:		

Key Contact 5

Contact Name:		
Phone Numbers:		
Email:		
Position:		
Notes:		

Key Contact 6

Contact Name:		
Phone Numbers:		
Email:		
Position:		
Notes:		

Key Contact 7

Contact Name:		
Phone Numbers:		
Email:		
Position:		
Notes:		

STEP 2: INVENTORY OF INFORMATION AND EXISTING TOOLS

The next step in creating your governance capacity development plan is to take stock of the tools and policies your community already has on hand. Below, you will find a list of the most common policies, procedures, guidelines and other documentation in use by First Nation communities.

Take the time to collect a copy of each of the documents listed below that are available in your community. You will use them to answer questions in Step 3. Your community may have additional documents that are central.

Document	Created	In Use	Document	Created	In Use
Leadership / Election Codes and / or Policies			Community Principles Document		
Code of Ethics – Chief and Council			Orientation Package – Chief and Council		
Code of Ethics – Administrators			Orientation Package – Administration		
Roles and Responsibilities – Chief and Council			By-law Ratification Procedures		
Roles and Responsibilities – Administrators			Conflict of Interest Guidelines – Chief and Council		
Organizational Chart			Conflict of Interest Guidelines – Administration		
Comprehensive Community Plan			Membership Code		
Community Capital Plan			Community Consultation Procedures		
Membership Registry			Appeal / Redress Procedures		
Privacy Policy			Community Participation Procedures		
Strategic Plan(s)			Risk Management Framework		
Operational Business Plan(s)			Financial Administration Policies		
Performance Framework			Financial Administration Codes		
Community Vision Statement			Audit Procedures		

Government Vision / Mission Statement			Information Management Plan		
Constitution			Information Technology Plan		
Human Resources Policy			By-Laws – Financial		
Job Descriptions – Administration Positions			By-Laws – Other		
Council Meeting Procedures Document			Administration Meeting Procedures Document		
Land Use Plans					

Please use spaces provided to list any other documents that might be helpful.

STEP 3: NEEDS IDENTIFICATION

OBJECTIVES OF THIS SECTION

The objectives of this section of the tool is to identify the governance related needs of your community in terms of products and processes you already have, as well as those you may not have. The purpose of this tool is to assist in taking a structured and pragmatic approach to filling governance capacity needs where there is a need, and strengthening existing abilities. As such, you can determine, later on in the process, the priority you would like to assign to these needs (developing capacity and strengthening existing abilities) relative to addressing them.

PROCESS

This section is organized by the 10 functions and activities of government, namely:

1) Leadership
2) Membership
3) Planning and Risk Management
4) Community Involvement
5) Law-Making
6) Financial Management
7) Human Resources Management
8) Information Management and Information Technology
9) External Relations
10) Basic Administration

The questions that follow in this section are grouped under each of the functions and activities above. Please use any extra space you may need to detail your answers if you feel notations or explanatory notes are needed. Later on, you will be asked to prioritize your responses as far as how great the need is in each specific area. Thorough answers will be of benefit to you when you come back and prioritize them.

SECTION 1: LEADERSHIP

Involves the processes used for the selection and compensation of leaders, as well as meetings of council and decision making. Examples of activities under this function include: leadership selection / election codes, leadership selection activities, meetings, roles and responsibilities for chiefs and councillors.

SECTION 1: LEADERSHIP			
Number	**Question**	**Yes**	**No**
1 (a)	Does your community have a custom leadership or election code?		
2 (a)	If your community has a custom leadership or election code, was it voted on by the community (if your community does not have a custom leadership / election code, please proceed to question 4)?		
(b)	When was the vote (please provide details below)?		
(c)	Have any changes been made to it since its acceptance by the community?		
(d)	Were the changes voted on by the community?		
(e)	How were the changes communicated if they were not voted on (please provide details below)?		
3 (a)	What feedback methods were used with the membership when creating or revising the leadership / election code? Surveys / Questionnaires Town Hall / Membership Meetings Focus Group / Workshops Suggestion Box One-on-One Discussions Other (please provide details below):		

SECTION 1: LEADERSHIP - continued			
Number	**Question**	**Yes**	**No**
3 (b)	Who participated in creating or revising the leadership / election code? On-Reserve Elders Youth (12 to 17 years old) General Membership Off-Reserve Elders Youth (12 to 17 years old) General Membership		
4	If your community does not have a formalized custom leadership/election code, are Chief and Council elected through: Indian Act (sections 76-79) Unwritten custom leadership Other (please provide details below):		

Number	Question		Yes	No
	SECTION 1: LEADERSHIP - continued			
5	Has your community developed, and do you use any of the following guidelines during your electoral/leadership process?	Codes of Ethics		
		Removal from Office		
		Nomination Procedures		
		Appeal Mechanism		
		Ballot Counting		
		Recall Procedures		
		Special Elections		
		Orientation for Newly Elected Councils		
		General Election Procedures (for the membership)		
		Voting Eligibility		
		Off-reserve Procedures		
		Posting / Communicating Election Results On-Reserve		
		Posting / Communicating Election Results Off-Reserve		
		Leadership Oath		
6	How are off reserve election ballots collected? Other (please provide details below):	Mail-In		
		Ballot Box (please describe process):		

Number	Question	Yes	No
SECTION 1: LEADERSHIP - continued			
7 (a)	How does your community's leadership communicate with members <u>on-reserve</u> regarding elections? Community Internet Site (www page) Newsletter Radio Community Newspaper Flyers / Circulars Other (please provide details below):		
(b)	How does your community's leadership communicate with members <u>off-reserve</u> regarding elections? Community Internet Site (www page) Radio Newspaper Mail-outs Other (please provide details below):		
8 (a)	How does your community's leadership communicate with members on-reserve regarding Council meetings? Community Internet Site (www page) Newsletter Radio Community Newspaper Flyers / Circulars Does not communicate with members on this subject Other (please provide details below):		

SECTION 1: LEADERSHIP – continued			
Number	**Question**	**Yes**	**No**
8 (b)	How does your community's leadership communicate with members off-reserve regarding Council meetings? Community Internet Site (www page) Radio Newspaper Mail-outs Other (please provide details below):		
9 (a)	Have there been cases where community leadership selection was contested (ex: election appealed)?		
(b)	How was the situation(s) dealt with? The community has guidelines in place within the election code and it was used to resolve the issue. The issues were resolved in accordance with the *Indian Act*. The issue was taken to court. The issue was not resolved. Other (please provide details below):		

SECTION 1: LEADERSHIP - continued			
Number	**Question**	**Yes**	**No**
10	Where can the membership view or obtain a copy of the election/leadership code? Administration Office Community web-site Community Library / Resource Centre Not Available Other (please specify below):		
11	Are council meetings open to the membership? Always Monthly Quarterly Semi-annually Annually Depending on subject		

SECTION 2:   MEMBERSHIP

Membership involves recognition of First Nation (band) membership. Activities under this function may include First Nation membership decisions, registration of First Nations members and the maintenance of membership lists.

	SECTION 2: MEMBERSHIP		
Number	**Question**	**Yes**	**No**
12	Does your community have a membership code?		
13	Does the membership code cover the following criteria/subjects/provisions? Birth Marriage Reinstatement Application for Membership Loss of Membership Direct Descendent Adoptions Voting False or Misleading Information Traditional Ceremony		
14 (a)	If your community does have a membership code, was it voted on by the community?		
(b)	When was the vote (please provide details below)?		
(c)	Have any changes been made to it since initially accepted by the community?		
(d)	Were the changes voted on by the community?		
(e)	How were the changes communicated if they were not voted on (please provide details below)?		

SECTION 2: MEMBERSHIP - continued			
Number	**Question**	**Yes**	**No**
15	What feedback methods were used with the membership when creating or revising the membership code? Surveys / Questionnaires Town Hall / Membership Meetings Focus Group / Workshops Suggestion Box One-on-One Discussions Other (please provide details below):		
16	Who participated in creating or revising the membership code? On-Reserve Elders Youth (12 to 17 years old) General Membership Off-Reserve Elders Youth (12 to 17 years old) General Membership		
17	Are the rights and responsibilities of the members explained in the membership code?		
18	Is there an appeal process in place?		

SECTION 2: MEMBERSHIP - continued			
Number	**Question**	**Yes**	**No**
19 (a)	What is the general response from applicants who apply for membership about the process? The code is: Straightforward / Clear Lengthy Costly Biased Too Complicated Fair Other (please provide details below):		
(b)	Where can applicants get the membership application form? On-line (community web-site) Request in writing to the First Nation Administration Office In person at the First Nation Administration Office Other (please specify below):		
20	Where can the membership obtain a copy of the membership code? Administration Office Community web-site Community Library / Resource Centre Other (please specify below):		
21	How often is your membership code updated (please describe below)?		

SECTION 2: MEMBERSHIP - continued			
Number	**Question**	**Yes**	**No**
22 (a)	What measures does your community have in place to protect personal information of members and applicants? Policies on access to information and privacy Guidelines outlining how to request access to the registry A records management policy for administrators Guidelines explaining how personal information can and cannot be used Records management training for staff		
(b)	Are the measures in question 22 (a) actively used?		
(c)	What other security measures does your community employ to protect personal information relative to applying for or being listed on the registry?		

SECTION 3:   PLANNING AND RISK MANAGEMENT

Planning and Risk Management includes the planning and monitoring of government activities to foster continuous improvement, success and accountability in community programs. This function includes visioning, risk management, strategic planning, community planning and the monitoring, evaluation and reporting of program performance.

SECTION 3: PLANNING AND RISK MANAGEMENT			
Number	**Question**	**Yes**	**No**
23 (a)	Does your community have a "strategic plan" or other document that sets out long term objectives of the community?		
(b)	If your community has such a document, what is it called (please provide details below)?		
(c)	When was it last updated (please provide details below)?		
24	Does your community's strategic plan (or other similar document) include: A Vision Statement A Mission Statement A Statement of Principles / Values A section on organizational strengths and weaknesses Goals, objectives and / or targets An analysis of opportunities and risks		

Number	Question		Yes	No
SECTION 3: PLANNING AND RISK MANAGEMENT - continued				
25 (a)	Who participated in the <u>creation</u> of your community's strategic plan or similar document?	<u>On-Reserve</u> Elders Youth (12 to 17 years old) General Membership <u>Off-Reserve</u> Elders Youth (12 to 17 years old) General Membership		
(b)	Who participates in the <u>amendments</u> to your community's strategic plan or similar document?	<u>On-Reserve</u> Elders Youth (12 to 17 years old) General Membership <u>Off-Reserve</u> Elders Youth (12 to 17 years old) General Membership		
26	What process was used to achieve community consensus on issues in the plan such as long term community goals (please provide details below)?			
27	In terms of community projects – in the planning stages of these projects, does your community have a process to assess risks?			
28	In terms of the over-all long term plan – does your community have a process to assess risks?			

SECTION 3: PLANNING AND RISK MANAGEMENT - continued			
Number	**Question**	**Yes**	**No**
29	How do you measure whether the goals and objectives in your long term plan are being achieved (please provide details below)?		
30 (a)	Please indicate which of the following elements are included in your community's risk management framework, in relation to your community's long term plan: Indicators for each goal or target Procedures on how data for the indicators are to be collected Identification of how often data is collected for each indicator Identification of who has access to results of evaluations / assessments		
(b)	Do you have any other methods of identifying risk (please describe below)?		
31	What are some of the typical barriers your community encounters when trying to implement elements of your long term plan (please describe the element, such as for example a project and what barriers are associated with that element)?		

SECTION 4: COMMUNITY INVOLVEMENT

Community Involvement describes activities that allow community members to participate in government decision making, and that keep the community informed of decisions and changes. This function includes policies and tools for communicating with First Nation members, community consultation, appeal mechanisms and dispute resolution measures.

SECTION 4: COMMUNITY INVOLVEMENT			
Number	**Question**	**Yes**	**No**
32 (a)	Does your community have a document that details how community participation is sought in the various processes that are undertaken by your community's government (formal process)?		
(b)	If the answer to question 32 above was "No", does your community have an informal process that it uses to ensure participation? Please describe this process:		
33	Who participates in the community involvement process? <u>On-Reserve</u> Elders Youth (12 to 17 years old) General Membership <u>Off-Reserve</u> Elders Youth (12 to 17 years old) General Membership		

Number	Question	Yes	No
	SECTION 4: COMMUNITY INVOLVEMENT - continued		
34	What elements does your formal or informal community involvement process include? Description of decision making process On-going documentation of best-practices Identification of when community involvement is required Methods that promote language and cultural integrity / practices Identification of how information is distributed to membership Description of how particular groups are involved (ex: Elders) Mechanisms for disputes Agendas for Public Meetings Records of Minutes of Public Meetings Other (please describe below):		
35	Where can the membership view or obtain information about the community involvement process? Administration Office Community web-site Community Library / Resource Centre Not Available Other (please specify below):		

Number	Question	Yes	No
SECTION 4: COMMUNITY INVOLVEMENT - continued			
36	Where can the membership view or obtain information about the results of a community involvement process? Administration Office Community web-site Community Library / Resource Centre Not Available Other (please specify below):		
37 (a)	In cases where your community's engagement process does not attain consensus on an issue, how are disputes resolved (please describe below)?		
(b)	In these instances (where consensus is not reached), who decides the way forward (please describe below)?		

SECTION 5:   LAW-MAKING

Law-Making entails the establishment of bylaws required to regulate economic and social activity in the community. Examples of activities that are part of this function include, drafting proposed bylaws, council decisions regarding passing or amending bylaws, and recording or registering bylaws.

SECTION 5: LAW-MAKING			
Number	**Question**	**Yes**	**No**
38	Does your community have a Constitution or similar document (ex: Code of Rules)?		
39	Which of the following features does your community Constitution or similar document contain? A section on rights and freedoms of members Description of the restrictions of government authorities A process for amendments A process for ratification Description of the historical and cultural context, and customs A section on Treaty rights Guidelines on language preservation A description of the process used to draft new laws Law enforcement processes Other (please specify below):		

SECTION 5: LAW-MAKING - continued			
Number	**Question**	**Yes**	**No**
40	Who participated in creating your community Constitution or similar document? <u>On-Reserve</u> Elders Youth (12 to 17 years old) General Membership <u>Off-Reserve</u> Elders Youth (12 to 17 years old) General Membership		
41	Where can the membership view or obtain a copy of your community's Constitution or similar document? Administration Office Community web-site Community Library / Resource Centre Not Available Other (please specify below):		
42 (a)	Does your community have guidelines for passing by-laws and legislation?		
(b)	Do the guidelines for passing by-laws and legislation include any of the following elements? Rules on public notice Council process relative to by-law development Process for the amendment of by-laws Rules on public consultation Other (please specify below):		

SECTION 5: LAW-MAKING - continued			
Number	**Question**	**Yes**	**No**
43 (a)	Does your community have any by-laws in place?		
(b)	Are community by-laws enforced by way of the following mechanisms: By community by-law officers By an external law enforcement agency via a contractual agreement Rarely enforced Never enforced Other (please specify below):		
44(a)	How often are by-laws reviewed and/or updated? Quarterly Semi-Annually Annually Only as required		
(b)	Does your community have a policy on by-law development?		
45	Does your community's government consider their Strategic Plan (or long term plan) when developing and passing by-laws?		

SECTION 6:   FINANCIAL MANAGEMENT

Financial Management entails the planning, implementation and monitoring of assets, liabilities, revenues and expenditures. This function includes the development of budgets and financial policies, the tracking of financial transactions, the development and distribution of audited financial statements, the collection of revenues and the tendering / awarding of contracts.

SECTION 6: FINANCIAL MANAGEMENT			
Number	**Question**	**Yes**	**No**
46 (a)	Does your community have a Financial Management Plan or similar plan?		
(b)	How often is the Financial Management Plan reviewed and/or updated?　　　　　Quarterly　Semi-Annually　Annually　Only as required		
(c)	When was the Financial Management Plan last updated / revised?		
47	Is the Financial Management Plan integrated with any of the following community based plans?　Human Resources Plan　Capital Plan　Strategic Plan　Information Management / Information Technology Plan　Other (please describe below):		

SECTION 6: FINANCIAL MANAGEMENT - continued			
Number	**Question**	**Yes**	**No**
48	Does your community's Financial Management Plan include any of the following elements (please check appropriate boxes): □ annual budget preparation procedures □ a budget □ financial procedures □ data management procedures □ debt management procedures □ guidelines on Honouraria □ record keeping procedures □ audit procedures □ disclosure guidelines □ travel policies and procedures □ policy on payment processing □ list of signing authorities □ staff certification requirements □ salary tables □ policies for loans □ policies on advances □ policies on procurement / awarding of contracts Other (please describe below):		
49 (a)	Where can the membership view or obtain information about the First Nation's finances including how funds are distributed for community services? Administration Office Community web-site Community Library / Resource Centre Not Available Other (please specify below):		

SECTION 6: FINANCIAL MANAGEMENT - continued			
Number	**Question**	**Yes**	**No**
(b)	How does the membership obtain information specific to the remuneration of elected officials (please describe)?		
50	Does Council approve borrowing?		
51	What features does your financial management system include? Tracking process for information on receipts, cash disbursements and salaries A manual accounting ledger Cataloguing of bank statements Day to day tracking of accounts receivable and payable Information / tracking of Trust accounts Information / tracking of expense accounts (individual travel, expense claims, etc.) Other (please specify below):		

SECTION 7:   HUMAN RESOURCE MANAGEMENT

Human Resource Management includes all activities required to hire, retain, train and compensate the skilled personnel required to meet organizational goals. This function includes the development of policies (including a code of ethics and conflict of interest policy), the administration of salaries, benefits and training, the development of job descriptions, the administration and support of volunteers, and the recruitment and hiring of First Nation / community staff.

SECTION 7: HUMAN RESOURCE MANAGEMENT			
Number	**Question**	**Yes**	**No**
52 (a)	Do you have a Human Resource manual or materials?		
(b)	When was the manual / materials last updated (please provide details below)?		
53	Do your Human Resource manual include policies and procedures that cover: □ employee recruitment □ disciplinary measures □ salary grids □ conflict of interest guidelines □ job qualifications / classification grid □ training / development guidelines □ code of values and ethics □ annual budget preparation procedures □ probation □ grievance and appeal processes □ attendance guidelines □ harassment / discrimination guidelines □ promotion guidelines □ benefits □ retirement planning and procedures □ hours of work □ language and cultural practices in the workplace guidelines □ performance guidelines □ succession planning guidelines		

SECTION 7: HUMAN RESOURCE MANAGEMENT - continued			
Number	**Question**	**Yes**	**No**
54	How are changes to human resource management policies and procedures communicated to employees? Via email Provided with hard copies Orally at staff meetings Other (please provide details):		
55	Are hours of work established and employees aware of them?		
56	Do employees have adequate access to training and development?		
57	Are employees subjected to performance evaluations on an annual (at a minimum) basis?		
58	Does your grievance and appeal process: □ include a clearly articulated dispute resolution process □ follow a methodology that incorporates identifying remedies □ provide a clear definition of harassment and discrimination □ we do not have a grievance and appeal process		
59 (a)	Are competitions for jobs with the First Nation administration advertised?		
(b)	How are they advertised? Community Internet Site (www page) Community Newsletter Radio Newspaper Mail-outs (flyers) Other (please provide details below):		

SECTION 7: HUMAN RESOURCE MANAGEMENT - continued				
Number	**Question**	**Yes**	**No**
60	Are workplace accidents recorded in accordance with provincial, territorial or federal laws?		

SECTION 8: INFORMATION MANAGEMENT / INFORMATION TECHNOLOGY

Information Management / Information Technology (IM / IT) includes both the physical systems and business practices required to administer reliable, secure and accessible information. This function includes data security, access to information and privacy policies, document management, and computer hardware and software.

SECTION 8: INFORMATION MANAGEMENT / INFORMATION TECHNOLOGY			
Number	**Question**	**Yes**	**No**
61	Do you have an Information Management plan?		
62	Do you have an Information Technology plan?		
63	Does your Information Management / Information Technology plan address: Your current information needs Disaster recovery Purging / archiving IT infrastructure maintenance and upgrading How the role of IM / IT is communicated to staff Employee IM / IT skills development Information retention Records and information control Privacy and protection of personal information Systems development and software purchasing		
64	Do you have an employee or group of employees dedicated to your IM / IT needs; or Do you contract IM / IT services?		
65	Does your IM / IT group or contractor: Meet regularly with members of the Administration to understand the business objectives Meet regularly with Chief and Council to understand their needs Update the system regularly and fix problems as they arise		

			Yes	No
		Train others		

SECTION 8: INFORMATION MANAGEMENT / INFORMATION TECHNOLOGY - continued				
Number	**Question**		**Yes**	**No**
66	What evaluation procedures are in place to monitor IM/IT performance? IM / IT is a component in the Strategic Management Plan A process is in place that assists in identifying information that is out of date A process is in place whereby Council is notified of records and information that is to be disposed of or archived Mechanisms are in place that restrict access to inappropriate or offensive materials Technology upgrades are regular and major upgrades are planned for			
67	How often is software and/or hardware updated? Other (please describe):	Every 3 years Every 5 years Every 10 years When it fails and not before		
68	How does staff obtain IM/IT training (initial and on-going skills development)? Other (please describe):	Sent away on training courses Training contracted into the office Self-training		
69 (a)	Is your community web-site content updated frequently enough to be current?			

Number	Question	Yes	No
	SECTION 8: INFORMATION MANAGEMENT / INFORMATION TECHNOLOGY - continued		
70	Does your administration utilize any of the following technology: □ a local access network □ computer stations for each employee □ printers for each computer station □ a pool of laptop / portable computers □ shared network printers □ a fax machine □ a black and white copier(s) – not a printer □ mobile cellular service in the community □ a colour copier(s) – not a printer □ internet access □ a scanner(s) □ word processing software □ e-mail □ spreadsheet software Other technology (please describe):		

SECTION 9:   EXTERNAL RELATIONS

External Relations involve the community's relationship with other government organizations, non-government organizations and corporations. This function includes participation in intergovernmental forums and professional associations, communications with the public and other governments, and negotiations with stakeholders on land claims, resource rights and public-private partnerships.

SECTION 9: EXTERNAL RELATIONS			
Number	**Question**	**Yes**	**No**
71	Does Council have a clear vision or strategy regarding its relationship with other stakeholders?		
72	Does your strategic or community plan include a section on intergovernmental issues or relations?		
73	On balance, does your community have open and cooperative relations with: Neighbouring municipal governments Neighbouring municipal residents The provincial government The federal government		
74 (a)	Does your community have shared servicing agreements with local municipal governments in which the local municipal government provides services to your First Nation?		
(b)	Do these agreements respect / are compatible with your community's policies and / or by-laws?		
(c)	Does your community have shared servicing agreements with local municipal governments in which your First Nation provides services to the local municipality?		
(d)	Do these agreements respect / are compatible with the municipality's policies and / or by-laws?		
(e)	Does your community have shared servicing agreements with another First Nation in which your community is provided services by that First Nation?		

SECTION 9: EXTERNAL RELATIONS - continued

Number	Question	Yes	No
75	Does your administration have a dedicated intergovernmental coordinator position; or is this responsibility part of another position?		
76	Are there any internal intergovernmental committees in your community set up to maintain relations with other governments on subjects such as: Culture Heritage Land use / land planning Environment Natural resources Economic development Emergency measures Dispute resolution Other (please describe):		

SECTION 9: EXTERNAL RELATIONS - continued			
Number	**Question**	**Yes**	**No**
77	Apart from service agreements with local municipalities and/or other First Nations, does your community have any other types of intergovernmental agreements in place or is involved in intergovernmental forums such as those described below? **Multilateral Agreements**: typically used by federal and provincial governments working with 3rd parties – are generally used in urban development agreements. The parties enter into these agreements as partners and risk is spread equally. **Community Partnership Table**: tables where municipal, provincial (and or territorial), federal and First Nation leaders discuss common interests and issues. All parties have equal say. **Inter-sectoral Committees**: based on integrated and collaborative processes designed to facilitate service delivery to the community. Composition is predominantly municipal, provincial (and or territorial), federal and First Nation officials but can include representation from others such as school boards, policing services providers, health service providers and Aboriginal organizations. **Community Accords**: are between a First Nation and a neighbouring community to describe current and future government relations. **Other Agreements**: (please describe)		

SECTION 10:   BASIC ADMINISTRATION

Basic Administration encompasses the activities required to run an efficient central office. For example, general office policies, procedures and services, compensation of First Nation administrators and administrative assistants, management of utilities for the First Nation office, office security systems, etc.

SECTION 10: BASIC ADMINISTRATION			
Number	**Question**	**Yes**	**No**
78 (a)	Does your administration have an operations manual?		
(b)	Does the operations manual include sections on: □ office procedures □ emergency preparedness procedures □ hospitality guidelines □ contracting procedures and information □ travel guidelines □ maintenance and asset management □ purchasing guidelines □ an organizational chart of the administration (by area) Other (please describe):		
(c)	Is your operational manual updated regularly and kept current?		
(d)	Are the office procedures outlined in the manual followed?		

STEP 4: PRIORITIZATION

Having completed the Needs Identification, you can now determine what areas you may wish to focus effort on, or prioritize in terms of investing capacity development. To ensure that your individual situation is accommodated, your prioritization should be considered over a five year time frame. This will allow for a strategic approach to your planning and provide you with the opportunity to determine the best approach to development in relation to your circumstances.

Prioritization should follow a format consistent with planning and reporting. As such, priorities should be identified in terms of:

- The function and activities associated with governing (Leadership, Membership, Planning and Risk Management, Community Involvement, Law-Making, Financial Management, Human Resource Management, Information Management and Information Technology, External Relations, Basic Administration);

- need; and

- the timeframe, in terms of which year (over a five year period) you believe it most advantageous to focus on the particular need.

Note: If you have not completed the Needs Identification and have completed a governance assessment such as, for example, that offered by the Aboriginal Financial Officers Association – you should be able to prioritize your needs with the same approach. However, it is still advisable to go through the GCPT to see if there are any other opportunities you can take advantage of.

PRIORITIZATION OF NEEDS BY FUNCTION

The following tables will assist in converting the information you've collected in the previous section (Needs Identification) into a description of how those needs would be filled and the timing that is most appropriate.

FUNCTION / ACTIVITY* *Identify category of need*	NEED *Describe what is required*	YEAR IN WHICH DEVELOPMENT SHOULD OCCUR *Identify the year in which the efforts should be made to address the need*

* Refers to: Leadership, Membership, Planning and Risk Management, Community Involvement, Law-Making, Financial Management, Human Resources Management, Information Management and Information Technology, External Relations, or Basic Administration.

FUNCTION / ACTIVITY* *Identify category of need*	NEED *Describe what is required*	YEAR IN WHICH DEVELOPMENT SHOULD OCCUR *Identify the year in which the efforts should be made to address the need*

* Refers to: Leadership, Membership, Planning and Risk Management, Community Involvement, Law-Making, Financial Management, Human Resources Management, Information Management and Information Technology, External Relations, or Basic Administration.

GOVERNANCE CAPACITY PLANNING TOOL

FUNCTION / ACTIVITY* _Identify category of need_	NEED _Describe what is required_	YEAR IN WHICH DEVELOPMENT SHOULD OCCUR _Identify the year in which the efforts should be made to address the need_

* Refers to: Leadership, Membership, Planning and Risk Management, Community Involvement, Law-Making, Financial Management, Human Resources Management, Information Management and Information Technology, External Relations, or Basic Administration.

FUNCTION / ACTIVITY* Identify category of need	NEED Describe what is required	YEAR IN WHICH DEVELOPMENT SHOULD OCCUR Identify the year in which the efforts should be made to address the need

* Refers to: Leadership, Membership, Planning and Risk Management, Community Involvement, Law-Making, Financial Management, Human Resources Management, Information Management and Information Technology, External Relations, or Basic Administration.

FUNCTION / ACTIVITY* *Identify category of need*	NEED *Describe what is required*	YEAR IN WHICH DEVELOPMENT SHOULD OCCUR *Identify the year in which the efforts should be made to address the need*

* Refers to: Leadership, Membership, Planning and Risk Management, Community Involvement, Law-Making, Financial Management, Human Resources Management, Information Management and Information Technology, External Relations, or Basic Administration.

GOVERNANCE CAPACITY PLANNING TOOL

FUNCTION / ACTIVITY* Identify category of need	NEED Describe what is required	YEAR IN WHICH DEVELOPMENT SHOULD OCCUR Identify the year in which the efforts should be made to address the need

* Refers to: Leadership, Membership, Planning and Risk Management, Community Involvement, Law-Making, Financial Management, Human Resources Management, Information Management and Information Technology, External Relations, or Basic Administration.

STEP 5: DEVELOPMENT PLAN AND
STEP 6: REPORTING

At this stage, you have:

- identified your needs;

- selected which needs are of greatest priority; and

- determined the appropriate timing to address those needs.

In "Step 4", you identified your needs in terms of functions and activities associated with governing (Leadership, Membership, Strategic Planning, Community Involvement, Law-Making, Financial Management, Human Resource Management, Information Management and Information Technology, External and Intergovernmental Relations, Basic Administration and Operations)

The next step is to develop a plan that re-describes your needs as development projects. Using the information in the **PRIORITIZATION OF NEEDS BY FUNCTION** chart on the previous page, describe the projects required to address your needs in the template contained in **ANNEX "A": PROJECT IDENTIFICATION AND REPORTING**. This template will also be used for the final step - Reporting. Once finalized, **ANNEX "A": PROJECT IDENTIFICATION AND REPORTING** will serve as an evergreen project plan, project proposal and reporting form.

ANNEX "A": PROJECT IDENTIFICATION AND REPORTING

PROJECT IDENTIFICATION AND REPORTING TEMPLATE

Planning Horizon: Year 1 (_____) to Year 5 (_____)

DESCRIPTION OF PRIORITY	CORRESPONDING PROJECT(S)	VALUE	YEAR	ANTICIPATED OBJECTIVES	MEASURES	TIME FRAME	ACTUAL	NOTES
				Results:				
				Outputs:				
				Outcomes:				

GOVERNANCE CAPACITY PLANNING TOOL

EXPLANATION OF TEMPLATE

Planning Horizon: Year 1 *(provide actual year when 1st project will be initiated)* **to Year 5** *(last, or fifth year of planning horizon)*

DESCRIPTION OF PRIORITY	CORRESPONDING PROJECT(S)	VALUE	YEAR	ANTICIPATED OBJECTIVES	MEASURES	TIME FRAME	ACTUAL	NOTES
Description of priority, corresponding to one of the 10 functions and activities of government*	*Description of project / initiative that will strengthen areas of weakness related to priority area identified in preceding column.*	*Funds required to undertake project or initiative.*	*Year in which project or activity will be initiated.*	**Results:** *Activities to be undertaken.*	*Mostly quantifiable.*	*Immediate*	*Actual results achieved.*	
				Outputs: *Products resulting from activities.*	*A mix of quantified and qualitative.*	*Immediate to 3rd year.*	*Actual outputs achieved.*	
				Outcomes: *Benefit realized from the application of the products.*	*Mostly qualitative.*	*Beyond 3 years.*	*Actual outcomes achieved.*	

* The 10 Functions and activities of government are Leadership, Membership, Law-Making, Planning and Risk Management, Financial Management, Human Resource Management, Information Management and Information Technology, Community Involvement, External Relations, and Basic Administration.

GOVERNANCE CAPACITY PLANNING TOOL

<u>**SAMPLE**</u>

PROJECT IDENTIFICATION AND REPORTING TEMPLATE - Planning Horizon: Year 1 (2010-11) to Year 5 (2015-16)

DESCRIPTION OF PRIORITY	CORRESPONDING PROJECT(S)	VALUE	YEAR	ANTICIPATED OBJECTIVES	MEASURES	TIME FRAME	ACTUAL	NOTES
Financial Management	Development of financial codes and processes. Project will include: - the development of codes; - the development of roles and responsibilities for Chief & Council, and administrative staff; and - 2 workshops for Chief & Council and administrative staff on implementation.	$30K $20K	1 2	**Results:** - Financial codes. - Roles and responsibilities document. - Training of leadership and administration.	- Completed codes and related supporting documentation. - Completed workshops.	Year 1 Year 2	*See "Notes" column.*	*The "Actual" column would be completed on an evergreen basis (at least annually) and would identify the actual results, outputs and outcomes.*
				Outputs: - Articulated and defined processes and systems that are part of the daily administration of government.	- Codes made publicly available to the membership.	Year 2	*See "Notes" column.*	
				Outcomes: - Strengthened financial management. - Increased financial accountability to membership.	- Reduction of transactional errors. - Improved financial health (evident through audits). - Transparency with membership.	Year 2 Year 3 Year 3	*See "Notes" column.*	