



GOVERNANCE CAPACITY PLANNING TOOL

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STEP 1. PREPARATION

Recipient Information

| | | |
|--------------------------------|---------------|--------------|
| First Nation/Organization name | | Completed by |
| Telephone number | Email address | Position |

Notes

1. Key Contacts

| | | |
|------------------|---------------|----------|
| Contact name | | Position |
| Telephone number | Email address | |

Notes

2. Key Contacts

| | | |
|------------------|---------------|----------|
| Contact name | | Position |
| Telephone number | Email address | |

Notes

3. Key Contacts

| | | |
|------------------|---------------|----------|
| Contact name | | Position |
| Telephone number | Email address | |

Notes



STEP 2. INVENTORY INFORMATION/EXISTING TOOLS

- Select the currently available tools and policies
- Collect a copy of each to assist with Step 3

| Document | Created | In Use | Document | Created | In Use |
|-------------------------------------|--------------------------|--------------------------|---|--------------------------|--------------------------|
| Leadership/Election codes/Policies | <input type="checkbox"/> | <input type="checkbox"/> | Orientation package – Chief and Council | <input type="checkbox"/> | <input type="checkbox"/> |
| Code of ethics – Chief and council | <input type="checkbox"/> | <input type="checkbox"/> | Orientation package – Administration | <input type="checkbox"/> | <input type="checkbox"/> |
| Code of ethics – Administrators | <input type="checkbox"/> | <input type="checkbox"/> | Roles and responsibilities – Chief and council | <input type="checkbox"/> | <input type="checkbox"/> |
| Organizational chart | <input type="checkbox"/> | <input type="checkbox"/> | Roles and responsibilities – Administrators | <input type="checkbox"/> | <input type="checkbox"/> |
| Comprehensive community plan | <input type="checkbox"/> | <input type="checkbox"/> | Government vision/Mission statement | <input type="checkbox"/> | <input type="checkbox"/> |
| Community capital plan | <input type="checkbox"/> | <input type="checkbox"/> | Job descriptions – Administration positions | <input type="checkbox"/> | <input type="checkbox"/> |
| Membership registry | <input type="checkbox"/> | <input type="checkbox"/> | Administration meeting procedures document | <input type="checkbox"/> | <input type="checkbox"/> |
| Membership code | <input type="checkbox"/> | <input type="checkbox"/> | Conflict of Interest Guidelines – Chief and council | <input type="checkbox"/> | <input type="checkbox"/> |
| Strategic plans | <input type="checkbox"/> | <input type="checkbox"/> | Conflict of Interest Guidelines – Administration | <input type="checkbox"/> | <input type="checkbox"/> |
| Operational business plans | <input type="checkbox"/> | <input type="checkbox"/> | Information management plan | <input type="checkbox"/> | <input type="checkbox"/> |
| Performance framework | <input type="checkbox"/> | <input type="checkbox"/> | Privacy policy | <input type="checkbox"/> | <input type="checkbox"/> |
| Community vision statement | <input type="checkbox"/> | <input type="checkbox"/> | Financial administration codes | <input type="checkbox"/> | <input type="checkbox"/> |
| By-laws – Other | <input type="checkbox"/> | <input type="checkbox"/> | Community consultation procedures | <input type="checkbox"/> | <input type="checkbox"/> |
| By-Laws – Financial | <input type="checkbox"/> | <input type="checkbox"/> | Financial administration policies | <input type="checkbox"/> | <input type="checkbox"/> |
| By-Law ratification procedures | <input type="checkbox"/> | <input type="checkbox"/> | Appeal/Redress procedures | <input type="checkbox"/> | <input type="checkbox"/> |
| Constitution | <input type="checkbox"/> | <input type="checkbox"/> | Risk management framework | <input type="checkbox"/> | <input type="checkbox"/> |
| Human Resources policy | <input type="checkbox"/> | <input type="checkbox"/> | Community participation procedures | <input type="checkbox"/> | <input type="checkbox"/> |
| Information Technology plan | <input type="checkbox"/> | <input type="checkbox"/> | Other: | <input type="checkbox"/> | <input type="checkbox"/> |
| Council meeting procedures document | <input type="checkbox"/> | <input type="checkbox"/> | Other: | <input type="checkbox"/> | <input type="checkbox"/> |
| Land use plans | <input type="checkbox"/> | <input type="checkbox"/> | Other: | <input type="checkbox"/> | <input type="checkbox"/> |
| Community principles document | <input type="checkbox"/> | <input type="checkbox"/> | Other: | <input type="checkbox"/> | <input type="checkbox"/> |
| Audit procedures | <input type="checkbox"/> | <input type="checkbox"/> | Other: | <input type="checkbox"/> | <input type="checkbox"/> |

STEP 3. NEEDS IDENTIFICATION

Section 1: Leadership

1. A custom community leadership or election code exists? Yes No (if no, continue to question 2)

Voted on by community? Yes (if yes, indicate vote date) No

Vote date (YYYYMMDD)

Since acceptance by community, changes have been made to the code? Yes No (If no, indicate method changes were communicated):

Changes voted on by community? Yes No

2. When creating or revising the leadership/election code, indicate feedback methods used with membership. (select all that apply)

Surveys/Questionnaires One-on-One discussions Suggestion box

Focus group/Workshops Town hall/Membership meetings Other (specify)

Specify details

3. Participants in the creation and revision of the leadership/election code: (select all that apply)

On-Reserve elders On-Reserve youth (12 to 17 years old) On-Reserve general membership

Off-Reserve elders Off-Reserve youth (12 to 17 years old) Off-Reserve general membership

4. If community does not have a formalized custom leadership/election code, Chief and Council are elected through:

Indian Act (sections 76-79) Unwritten custom leadership Other (specify)

Specify details



5. During your electoral/leadership process, indicate if community developed, and/or used any of the following: (select all that apply)

- Codes of ethics
- General election procedures (for membership)
- Nomination procedures
- Ballot counting
- Special elections
- Off-Reserve procedures
- Posting/Communicating election results Off-Reserve
- Removal from office
- Appeal mechanism
- Recall procedures
- Orientation for newly elected councils
- Posting/Communicating election results On-Reserve
- Voting eligibility
- Leadership oath

6. Methods by which Off-Reserve election ballots are collected: Mail-in Ballot box Other (specify)

Specify details

7. Methods by which the community's leadership communicates with members On-Reserve regarding elections: (select all that apply)

- Mail-in
- Website
- Radio
- Flyers/Circulars
- Community website
- Newsletter
- Community newspaper
- Other (specify)

Specify details

8. Election

Community's leadership communicates with members Off-Reserve regarding elections by: (select all that apply)

- Community website
- Radio
- Newspaper
- Mail-outs
- Other (specify)

Specify details

9. Council meetings On-Reserve members

Community's leadership communicates with members On-Reserve regarding council meetings by: (select all that apply)

- Community website
- Community newspaper
- Flyers/Circulars
- Newsletter
- Radio
- Other (specify)
- Does not communicate with members on this subject

Specify details

10. Council meetings Off-Reserve members

Community's leadership communicates with members Off-Reserve regarding council meetings by: (select all that apply)

- Community website
- Community newspaper
- Flyers/Circulars
- Newsletter
- Radio
- Other (specify)
- Does not communicate with members on this subject

Specify details

11. There have been cases where community leadership selection was contested: (e.g. election appealed) Yes No

Method used to resolve situation

- Community has guidelines in place within election code
- Issue was taken to court
- Issue was resolved in accordance with the *Indian Act*
- Issue not resolved
- Other (specify)

Specify details

12. Membership can view or obtain a copy of the election/leadership code at: (select all that apply)

- Administration office
- Library/Resource centre
- Community website
- Not available
- Community
- Other (specify)

Specify details

13. Council meetings are open to membership?

- Always
- Monthly
- Quarterly
- Semi-annually
- Annually
- Depending on subject



Section 2: Membership

1. Community membership code exists? Yes No ▶ If yes, membership code covers the following criteria/subjects/provisions: (Select all that apply)

- Birth Marriage Loss of membership Voting Application for membership
 Reinstatement Adoptions Direct descendent Traditional ceremony False or misleading information

| | | |
|---|----------------------|---|
| Voted on by community? | Vote date (YYYYMMDD) | Changes made to membership since initially accepted by community? |
| <input type="radio"/> Yes (if yes, indicate vote date) <input type="radio"/> No | | <input type="radio"/> Yes <input type="radio"/> No |

Changes voted on by community?
 Yes No (If no, indicate method changes were communicated):

2. When creating or revising the membership code, feedback methods used with the membership: (select all that apply)

- Surveys/Questionnaires One-on-One discussions Suggestion box
 Focus group/Workshops Town hall/Membership meetings Other (specify)
 Specify details

3. Participants in creating or revising the membership code: (select all that apply)

- On-Reserve elders On-Reserve youth (12 to 17 years old) On-Reserve general membership
 Off-Reserve elders Off-Reserve youth (12 to 17 years old) Off-Reserve general membership

4. Membership code explains members' rights/responsibilities: Yes No 5. Appeal process in place? Yes No

6. General response from applicants about process: (select all that apply)

- Straightforward/Clear Lengthy Costly Biased Too complicated Fair Other (specify)
 Specify details

7. Membership application form is available: (select all that apply)

- Online (community website) In person at the First Nation administration office Request in writing to the First Nation administration office Other (specify)
 Specify details

8. Membership can obtain a copy of membership code from: (select all that apply)

- Administration office Community website Community library/Resource centre Other (specify)
 Specify details

9. How often is membership code updated?

10. Measures community has in place to protect personal information of members and applicants: (select all that apply)

- 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

11. Are measures in question 10 actively used? Yes No

12. Specify other security measures community employs to protect personal information relative to applying for/being listed on the registry

Section 3: Planning and Risk Management

| | | |
|---|--|------------------------------|
| 1. A "strategic plan" or other document that sets out long-term objectives exists? <input type="radio"/> Yes <input type="radio"/> No | If community has such a document, provide name | Date last updated (YYYYMMDD) |
|---|--|------------------------------|



2. Community's strategic plan (or other similar document) includes: (select all that apply)

- Vision statement
- Statement of principles/values
- Section on organizational strengths and weaknesses
- Mission statement
- Goals, objectives and/or targets
- Analysis of opportunities and risks

3. Participants in creation of community's strategic plan or similar document: (select all that apply)

- On-Reserve elders
- On-Reserve youth (12 to 17 years old)
- On-Reserve general membership
- Off-Reserve elders
- Off-Reserve youth (12 to 17 years old)
- Off-Reserve general membership

4. Participants in the amendments to your community's strategic plan or similar document: (select all that apply)

- On-Reserve elders
- On-Reserve youth (12 to 17 years old)
- On-Reserve general membership
- Off-Reserve elders
- Off-Reserve youth (12 to 17 years old)
- Off-Reserve general membership

5. Process used to achieve community consensus on issues in the plan such as long-term community goals?

6. Community projects – In planning stages, community has a process to assess risks? Yes No

7. Community long-term plan – Community has a process to assess risks? Yes No

8. Methods used to measure whether goals and objectives in long-term plan are being achieved? (specify)

9. Elements included in community's risk management framework: (select all that apply)

- 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

10. Other methods of identifying risk? (specify)

11. Typical barriers encountered by the community when implementing elements of the long-term plan (describe element i.e. a project and associated barriers)

Section 4: Community Involvement

1. A document exists that details how community participation is sought in the various processes that are undertaken by the community's government (formal process)? Yes No

Community has an informal process to ensure participation? Yes No

If yes, describe process

2. Participants in community involvement process: (select all that apply)

- On-Reserve elders
- On-Reserve youth (12 to 17 years old)
- On-Reserve general membership
- Off-Reserve elders
- Off-Reserve youth (12 to 17 years old)
- Off-Reserve general membership

3. Elements of the formal or informal community involvement process include: (select all that apply)

- 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 (i.e. elders)
- Mechanisms for disputes
- Agendas for public meetings
- Records of minutes of public meetings
- Other (specify)

Specify details



4. Membership can view or obtain information about community involvement process at: (select all that apply)

- Administration office
 - Community website
 - Community library/Resource centre
 - Not available
 - Other (specify)
- Specify details

5. Membership can view or obtain information about results of a community involvement process at: (select all that apply)

- Administration office
 - Community website
 - Community library/Resource Centre
 - Not Available
 - Other (specify)
- Specify details

6. In cases where community engagement process does not attain consensus on an issue, how are disputes resolved?

7. In these instances (where consensus is not reached), who decides the way forward?

Section 5: Law-Making

1. A Constitution or similar document exists (i.e. Code of rules)? Yes No

2. Features contained in community's Constitution or similar document: (select all that apply)

- A section on rights and freedoms of members
 - A process for amendments
 - Description of the historical and cultural context, and customs
 - Guidelines on language preservation
 - Law enforcement processes
 - Description of the restrictions of government authorities
 - A process for ratification
 - A section on Treaty rights
 - A description of the process used to draft new laws
 - Other (specify)
- Specify details

3. Participants in creating community's Constitution or similar document: (select all that apply)

- On-Reserve elders
- On-Reserve youth (12 to 17 years old)
- On-Reserve general membership
- Off-Reserve elders
- Off-Reserve youth (12 to 17 years old)
- Off-Reserve general membership

4. Membership can view/obtain a copy of the community's Constitution or similar document at: (select all that apply)

- Administration office
 - Community website
 - Community library/Resource centre
 - Not available
 - Other (specify)
- Specify details

5. Community has guidelines in place? Yes No

Guidelines for passing by-laws and legislation include the following: (select all that apply)

- Rules on public notice
 - Council process relative to by-law development
 - Process for the amendment of by-laws
 - Rules on public consultation
 - Other (specify)
- Specify details



6. Community by-laws in place? Yes No

Community by-laws enforced by following mechanisms: (select all that apply)

- By community by-law officers
 - By an external law enforcement agency via a contractual agreement
 - Rarely enforced
 - Never enforced
 - Other (specify)
- Specify details

7. By-laws reviewed and/or updated: Quarterly Annually Semi-Annually Only as required

8. Community has a policy on by-law development: Yes No

9. Community's government considers their Strategic Plan (or long term plan) when developing and passing by-laws: Yes No

Section 6: Financial Management

| | | |
|---|---|-------------------------|
| 1. A Financial Management Plan or similar plan exists? <input type="radio"/> Yes <input type="radio"/> No | Financial Management Plan is reviewed and/or updated: <input type="radio"/> Quarterly <input type="radio"/> Annually <input type="radio"/> Semi-Annually <input type="radio"/> Only as required | Date updated (YYYYMMDD) |
|---|---|-------------------------|

2. Financial Management Plan integrated with the following community-based plans: (select all that apply)

- Human Resources plan
 - Capital plan
 - Strategic plan
 - IM/IT plan
 - Other (specify)
- Specify details

3. Community's Financial Management Plan includes the following elements: (select all that apply)

- Annual budget preparation procedures
 - Audit procedures
 - Budget
 - Data management procedures
 - Debt management procedures
 - Disclosure guidelines
 - Financial procedures
 - Guidelines on Honoraria
 - List of signing authorities
 - Policies for loans
 - Policies on advances
 - Policy on payment processing
 - Policies on procurement/awarding of contracts
 - Record keeping procedures
 - Salary tables
 - Staff certification requirements
 - Travel policies and procedures
 - Other (specify)
- Specify details

4. Membership can view or obtain information about First Nation's finances including how funds are distributed for community services election/leadership code at: (select all that apply)

- Administration office
 - Community website
 - Community library/Resource centre
 - Not available
 - Other (specify)
- Specify details

5. Describe how membership obtains information specific to the remuneration of elected officials

6. Council approves borrowing? Yes No

7. Financial management system includes: (select all that apply)

- Tracking process for information on receipts, cash disbursements and salaries
 - A manual accounting ledger
 - Day to day tracking of accounts receivable and payable
 - Information/Tracking of expense accounts (individual travel, expense claims, etc.)
 - Cataloguing of bank statements
 - Information/Tracking of trust accounts
 - Other (specify)
- Specify details



Section 7: Human Resource Management

1. Human Resource manual or materials exist? [] Yes [] No Date last updated (YYYYMMDD)

2. Human Resource manual includes policies and procedures that cover: (select all that apply)
[] Training/Development guidelines [] Performance guidelines [] Probation
[] Annual budget preparation procedures [] Attendance guidelines [] Promotion guidelines
[] Grievance and appeal processes [] Employee recruitment [] Benefits
[] Harassment/Discrimination guidelines [] Disciplinary measures [] Hours of work
[] Job qualifications/Classification grid [] Conflict of interest guidelines [] Salary grids
[] Retirement planning and procedures [] Code of values and ethics [] Language and cultural practices in the workplace guidelines
[] Succession planning guidelines

3. Changes to human resource management policies and procedures are communicated to employees: (select all that apply)
[] Via email [] Verbally at staff meetings [] Provided with hard copies [] Other (specify)
Specify details

4. Hours of work established and employees aware of them? [] Yes [] No
5. Employees have adequate access to training and development? [] Yes [] No
6. Employees are subjected to performance evaluations on an annual (at a minimum) basis? [] Yes [] No

7. Grievance and appeal process: (select all that apply)
[] Includes a clearly articulated dispute resolution process [] Follows a methodology that incorporates identifying remedies
[] Provides a clear definition of harassment and discrimination [] No grievance and appeal process

8. Competitions for jobs with the First Nation administration are advertised? [] Yes [] No
Job competitions are advertised by: (select all that apply)
[] Community website [] Community newsletter [] Radio [] Newspaper [] Mail-outs/flyers [] Other (specify)
Specify details

9. Workplace accidents are recorded in accordance with provincial, territorial or federal laws? [] Yes [] No

Section 8: Information Management/Information Technology (IM/IT)

1. Information Management plan exists? [] Yes [] No 2. Information Technology plan exists? [] Yes [] No

3. IM/IT plan addresses the following: (select all that apply)
[] Information retention [] Employee IM/IT skills development [] How the role of IM/IT is communicated to staff [] Systems development and software purchasing
[] Purging/Archiving [] Records and information control [] Privacy and protection of personal information [] IT infrastructure maintenance and upgrading
[] Disaster recovery [] Your current information needs [] Update the system regularly and fix problems as they arise [] Train others

4. Employee/group of employees dedicated to IM/IT needs? [] Yes [] No 5. IM/IT services are contracted? [] Yes [] No

6. IM/IT group or contractor: (select all that apply)
[] Meet regularly with members of the Administration to understand business objectives [] Meet regularly with Chief and Council to understand needs [] Update the system regularly and fix problems as they arise [] Train others

7. Evaluation procedures in place to monitor IM/IT performance: (select all that apply)
[] IM/IT is a component in the strategic management plan [] Process is in place that assists in identifying outdated information
[] Process is in place whereby Council is notified of records/information to be disposed of or archived [] Mechanisms in place that restrict access to inappropriate or offensive materials
[] Technology upgrades are regular and major upgrades are planned

8. Software and/or hardware updated: (select all that apply)
[] Every 3 years [] Every 5 years [] Every 10 years [] When it fails and not before [] Other (specify)
Specify details



9. Staff obtains IM/IT training/initial and on-going skills development by: (select all that apply)

- Sent on training courses
 Training contracted into the office
 Self-training
 Other (specify)
- Specify details

10. Community website content regularly updated to be current? Yes No

11. Administration utilizes the following technology: (select all that apply)

- | | | |
|---|---|---|
| <input type="checkbox"/> Local access network | <input type="checkbox"/> Mobile cellular service in the community | <input type="checkbox"/> Fax machine/Facsimile |
| <input type="checkbox"/> Shared network printers | <input type="checkbox"/> Computer stations for each employee | <input type="checkbox"/> Internet access |
| <input type="checkbox"/> Word processing software | <input type="checkbox"/> Black and white copiers – not printer | <input type="checkbox"/> Spreadsheet software |
| <input type="checkbox"/> Scanners | <input type="checkbox"/> Printers for each computer station | <input type="checkbox"/> Colour copiers – not printer |
| <input type="checkbox"/> Email | <input type="checkbox"/> Pool of laptops / Portable computers | <input type="checkbox"/> Other (specify) |
- Specify details

Section 9: External Relations

1. Council has a clear vision or strategy regarding its relationship with other stakeholders? Yes No

2. Strategic or community plan includes a section on intergovernmental issues or relations? Yes No

3. Community has open and cooperative relations with: (select all that apply)

- Neighbouring municipal governments
 Neighbouring municipal residents
 Provincial government
 Federal government

4. Community has shared servicing agreements with local municipal governments in which the **local municipal government** provides services to the **First Nation**? Yes No

These agreements respect/are compatible with community's policies and/or by-laws? Yes No

5. Community has shared servicing agreements with local municipal governments in which the **First Nation** provides services to the **local municipality**? Yes No

These agreements respect/are compatible with municipality's policies and/or by-laws? Yes No

6. Community has shared servicing agreements with **another First Nation** in which the **community** is provided services by that **First Nation**? Yes No

7. The administration has a dedicated intergovernmental coordinator position? Yes No ▶ This responsibility is part of another position? Yes No

8. Internal intergovernmental committees in the community set up to maintain relations with other governments on subjects such as: (select all that apply)

- Culture Land use/Land planning Environment Emergency measures Economic development
 Heritage Natural resources Dispute resolution Other (specify)

Specify details

9. Community has other types of intergovernmental agreements in place or is involved in intergovernmental forums such as the following (apart from service agreements with local municipalities and/or other First Nations): (select all that apply)

- Multilateral agreements
 Community partnership table
 Inter-sectoral committees
 Community accords
 Other (specify)

Specify details

Section 10: Basic Administration

1. Administration operations manual exists? Yes No

Operations manual include sections on: (select all that apply)

- | | | |
|---|---|---|
| <input type="checkbox"/> Office procedures | <input type="checkbox"/> Purchasing guidelines | <input type="checkbox"/> Organizational chart of the administration (by area) |
| <input type="checkbox"/> Travel guidelines | <input type="checkbox"/> Contracting procedures and information | <input type="checkbox"/> Maintenance and asset management |
| <input type="checkbox"/> Hospitality guidelines | <input type="checkbox"/> Emergency preparedness procedures | <input type="checkbox"/> Other (specify) |

Specify details

Operational manual is updated regularly and kept current? Yes No

Office procedures outlined in the manual are followed? Yes No



STEP 5. DEVELOPMENT PLAN AND STEP 6. REPORTING

Annex "A" Project Identification and Reporting

| | |
|-------------------------------|----------------------|
| Planning horizon – Year 1 - 5 | Priority description |
|-------------------------------|----------------------|

Corresponding projects

| Value | | | Year | | |
|-----------------|------------------------|----------|------------|--------|-------|
| | Anticipated Objectives | Measures | Time Frame | Actual | Notes |
| Desired Results | | | | | |
| Outputs | | | | | |
| Outcomes | | | | | |