

AFOA Saskatchewan's

Leadership Orientation Toolkit

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Introduction

» The Success of First Nations is the understanding and the development of Good Governance through;

- Policies
- Regulations
- Capacity Development of leadership and Administration

Workshop Objectives – Part 2

» Share best practices and tools in:

- Councils Competency and Accountability
- Code of Conduct
- Planning for the Future – Strategic Plan
- Management of the Administration
- Policy Development
- Financial Management
- Effective Meetings and Planning Sessions

What is Good Governance

- » It is the competent management of the First Nation lands, resources and Businesses in a manner that is open, transparent, accountable, equitable and responsive to peoples needs.
- » Good governance has become a key factor in the success of First Nations. It is imperative that First Nations are ready to compete in the mainstream.

Good Governance

- » Governance is developing rules, regulations and other forms of guidelines to a community to make it a safe and healthy place to live.

Best Practice - Good Governance Characteristics

1. Participation
2. Rule of Law
3. Transparency
4. Responsiveness
5. Consensus Oriented
6. Equity and Inclusiveness
7. Effectiveness and efficiency
8. Accountability

Governance Principles

Good Governance Principles	Best Practice
1. Participation	<ul style="list-style-type: none">• Open Band Meetings• Board and committees• Surveys and questionnaires• Home visits• Referendums
2. Rule of Law	<ul style="list-style-type: none">• Creation of laws that are fair and equitable such as;• Membership Code• Election Code• Human Resource Policies and Procedures for Administration• Land management• Financial Policies or Law

Governance Principles

Good Governance Principles	Best Practice
3. Transparency	<ul style="list-style-type: none">• Post Criteria for Social development, Housing Rules• Financial statements available to membership• Minutes from Council sent to membership• Newsletters
4. Responsiveness	<ul style="list-style-type: none">• Policies and Procedure on how to respond to community members on a timely and efficient manner
5. Consensus Oriented	<ul style="list-style-type: none">• Develop Consensus Process for input from all levels

Governance Principles

Good Governance Principles

Best Practice

6. Equity and inclusiveness

- Fair and equitable hiring practices

7. Effectiveness and Efficiency

- Strategic Plans
- Business Plans
- Operational Plans
- Program Services Plans

8. Accountability

- Code of Conduct Policies
- Audit of Finances
- Budgets
- Internal Control Policies

Best Practice - Council's Competency

- » Key competencies for Leadership should be developed according to principles of good governance
- » Leadership skills should include:
 - People skills – conflict resolution, communication etc.
 - Negotiation
 - Understanding of Laws and Policies that impact the community
 - Financial Management
 - Understanding of Fiduciary and Legal obligations

First Nation Structure – Handouts

Membership
•Mandate to Leadership

Chief and Council
•Accountable to Membership for governance

Chief Staff Officer
•Plan, organize, direct and control
Administration

Staff
•Deliver programs and services to
membership

Duties and Responsibilities of Chief and Council

- » Consult with membership on continuous basis to determine their needs and seek their direction
- » Report regularly to membership on the activities of Chief and Council
- » Ensure regular meetings are held to deal with business of the community
- » Work with Administration in the sound management of community resources

Power of Council

- » The Indian Act sets out the power of Chief and council. It ensures that First Nation leadership maintain their power and control over programs and services essential to their community.
- » The power comes from a quorum of Chief and Council to reflect consensus and reflect the needs of the community

First Nation Governance Tools – Page

- » Tool 1 Oath of Office template – to uphold office and maintain duties of office. Page 7
- » Tool 2 Council’s Due Diligence List – provides a list of key items to assist in the in preparation for duties as a Chief or Council. Page 8

Best Practice - Standard of Ethical Conduct

» First Nation Leadership and management should be governed by one basic concept. They must have integrity. This means:

- They must have a keen sense of responsibility to their membership, and
- They must retain that sense of independence that will enable them to exercise their professional judgment without restriction or bias.
- Council members shall refrain from abusive conduct, personal charges or verbal attacks upon the character of staff, members, boards and each other.

Responsibilities in Conduct

» RESPONSIBILITIES TO INDIVIDUALS

- Ensure the communications of rights, responsibilities and information to foster informed decision-making.
- Respect the customs and beliefs of others, consistent with the mission of the First Nation.
- Respect the confidentiality of information, unless it is in the public interest or required by law to divulge information.

Responsibilities continued

» RESPONSIBILITIES TO THE ORGANIZATION

- Strive to provide quality services.
- Communicate truthfully and avoid misleading or raising unreasonable expectations in others.
- Use sound management practices and ethical use of resources.

Responsibilities continued

» RESPONSIBILITIES TO COMMUNITY AND SOCIETY

- Serve the public interest in an ethical fashion and consider the effects of decisions on the community and society.
- Abide by the laws of government and foster an environment where fairness applies and discrimination, harassment or abuse of any sort is opposed.
- Contribute to improving the climate for First Nation communities.

An Accountability Framework for Council (FTA) – Are your processes accountable - Hand Out

» Transparency

- Council will be open on their decision making process

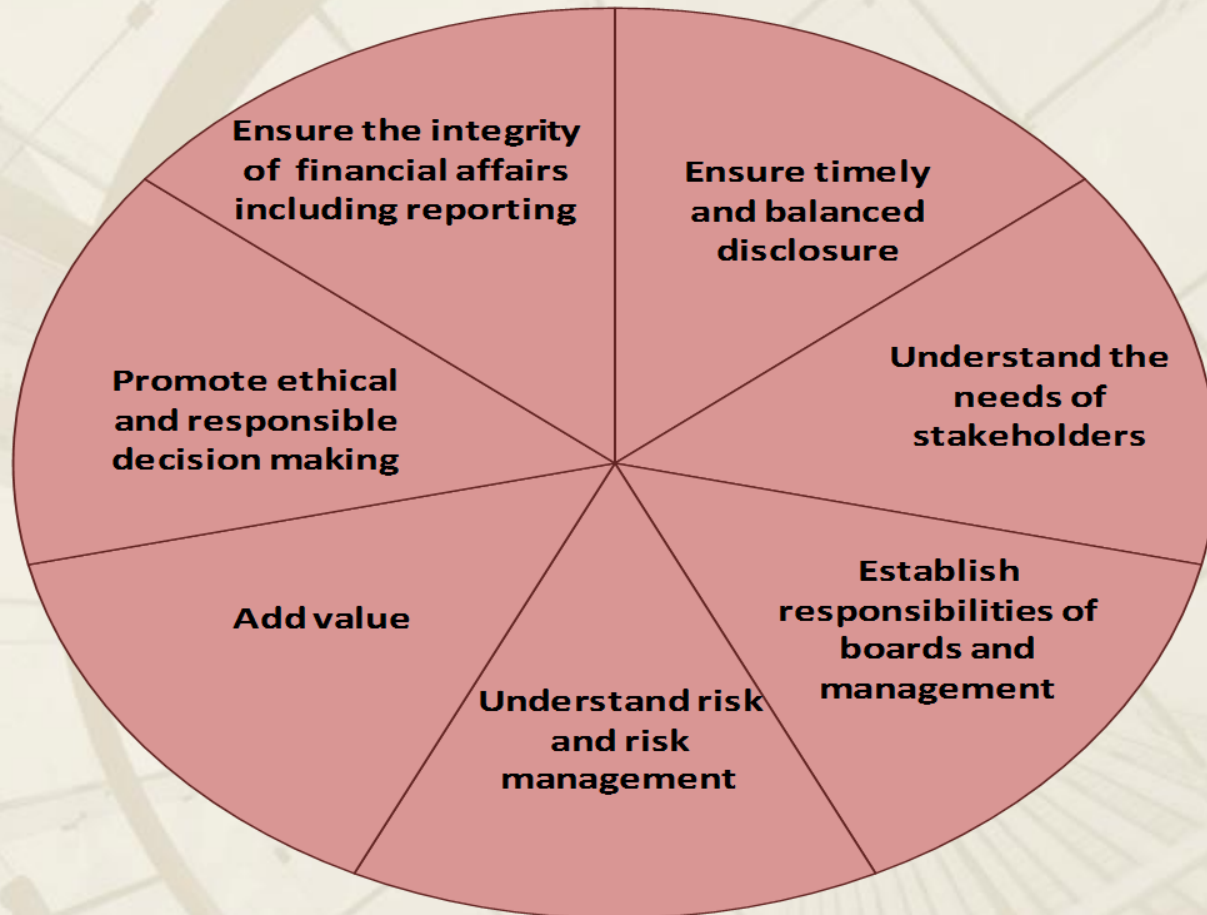
» Disclosure

- Council will disclose laws, codes, policies and procedures impacting community membership

» Redress

- Have an appeal process with disputes on laws, code, policies and procedures

Broad Accountability Framework -



- » Strategic Planning is a dynamic process by the collective leadership of First Nations. They define their ideal future vision, core strategies necessary for consistent and meaningful annual operating plans and budgets. Then they drive the achievement and measurement of this vision.

PLANNING PROCESS - OUTCOMES AND ISSUES

- » During the planning process you must ask yourselves the following questions.
- **What does your First Nation wish to achieve from the planning process?**
 - **What issues or choices do you think need to be addressed?**
 - **Are there any constraints that need to be articulated up front?**
 - **What would success look like at the completion of the planning process?**

Strategic Planning

- » **VISION** (Where do you want to be?)
- » **MISSION** (Why do you exist?)
- » **VALUES** (What matters?)

External Stakeholders

External Opportunities & Threats

Internal Strengths & Weaknesses

Internal Stakeholders

STRATEGIC DIRECTIONS
(Core Future Strategies)
(Derived from the Barriers and Obstacles to Achieving the Vision)

GOALS

Performance Measures

Strategic Plan



CREATING YOUR IDEAL FUTURE

- » The three challenges met in this step are to:
 - Develop a vision statement – your shared hopes, dreams and shared image of the future.
 - Draft a mission statement – Why our organization exists, what business it's in, and whom it serves.
 - Articulate core values – These will guide your day-to-day behavior and collectively create your desired or First Nation Culture.

Develop a Vision Statement

- » List your ideas of the ideal future vision at year
 - Once you have written your ideal future vision, and then share it with the other councilors to develop a consensus around the vision statement

MISSION STATEMENT

- » Answers three questions
- »
- » **Why do we exist?**
- »
- » **Whom do we serve?**
- »
- » **What do we produce as outcomes?**



VALUES

- » Core values guide our day-to-day behaviors and collectively create the desired culture of the First Nation.

“IF YOU ALWAYS DO WHAT YOU’VE ALWAYS DONE, YOU WILL ALWAYS GET WHAT YOU’VE ALWAYS GOTTEN”



Values Criteria

- » **They form a collective community wide belief. While individuals can be different, a community requires values shared as a unit.**
- » **They determine the norms or standards of acceptable behavior concerning our approach to work.**
- » **They are enduring and consistent over time. They are one of the last ones you want to give up (even in difficult times).**
- » **They are driven by, and crystallized from, the top leadership in the entity.**

ARTICULATE YOUR CORE VALUES

- » Community members are usually not very tolerant of Chief and Council that don't fully follow their own values.
- » No one can realistically expect behavior to change overnight to match the new values, 12 – 18 months is often necessary to change behavior fully.



KEY SUCCESS FACTORS

- » Having concrete success factors will help you answer these critical questions during your implementation.
 - How do I know if I am being successful?
 - How do I know if am getting into trouble?
 - If off course, what corrective actions should I take?

Four Essential Factors

Use your vision, mission and core values to define success. If you want to do this step quickly, use the following four essential factors

1. Membership Satisfaction
2. Employee Satisfaction
3. Financial Results
4. Competitor Analysis

Measuring Success

- » specific measurement and yearly target should be set, by limiting the number of measures to ten, you will focus on what's really important to your notion of success.
- » Thus success factors must be specific and quantifiable measures in on of four ways:
 - Quality – As perceived by the membership
 - Quantity – The presence or absence of a program, product or service
 - Time
 - Cost

CURRENT STATE ASSESSMENT

- » While there are many ways to conduct an organizations assessment, the most clearly and simple way is to conduct an analysis of your internal strengths and weaknesses, and you're external threats.

S.W.O.T. Analysis

Internal Analysis:

1. Strengths to build on
2. Weaknesses to eliminate or cope with

External Analysis

1. Opportunities to exploit
2. Threats to ease or lower

CORE STRATEGY DEVELOPMENT

- » Core strategy development bridges the gap between your ideal future vision and your current state.
- » This step should focus on 3-7 core strategies to be implemented by the First Nation. You need a focused set of strategies as the primary means to achieve your ideal future vision.

Next Step- Annual Plans and Budgets

- » With the assistance of your Chief Senior Officer you can now develop your annual operating plans with yearly goals and objectives, measurements and your budget.

Keeping Track of Progress

- » One of the key features of an effective monitoring and control process is the inclusion of measurable goals and milestones – each relating to the strategic plan – in the operational structure of the organization.



First Nations Governance and Management Best Practices” – A Self-Assessment Tool

- » is composed of eleven factors to allow First Nations to self-assess their status in governance and management related practices.

See sample section in booklet

Best Practice - Management of the Administration

- Management is responsible for the delivery of services according to the direction of Chief and Council through their Strategic plans, business plans and agreements with other governments. They plan, organize, staff, control and direct the employees in meeting the goals set by Council.
- Managers are also responsible directly for programs under their direction. Under the arrangements made with the federal and provincial government there are certain programs standards that must be met.



Defining Roles and Responsibilities

- » Defining the role of your fundamental players is important to the success of the First Nation. By developing job descriptions you identify the roles, expectations and accountability of your management. Job descriptions explain the responsibilities of the position identified, reporting relationships and work environment

The Leadership needs to understand:

1. The job required
2. Identify performance behaviours
3. Essential Competencies
4. Experience, education and training needed
5. Special Considerations
 - ❖ Key positions should have a job descriptions such as your Chief Senior Officer and Senior Finance Officer – page 23-25

Best Practice - Performance Evaluations

- » Performance evaluation can be a valuable tool to identify areas that require attention, head off unpleasant problems and provide satisfaction of doing a good job. As the Chief and Council plays a key role in leading the community, a community's success is linked to how well the Council or Chief are doing.
- » Best Practice tool – Page 28

Best Practice - Policy Development

- » Policies enable a community to support a desired direction and provide clarity so that consistent and logical decisions can be made when critical issues arise
- » Best Practice – page 47 and 48

Key Steps in Policy

» For a policy to be effectively developed and implemented, key steps need to be undertaken.

- Define the question or problem requiring a policy statement.
- Analyze the alternative solutions looking at resources, timing, and strategy.
- Select the most reasonable alternative that meets the community's needs.
- Develop the policy that speaks to the accepted alternative.
- Develop procedures that will implement the policy.
- Evaluate the results to identify the need for change.

Important points concerning policy and procedures

- » Members should be given access to the published policies and procedures when required and be able to input any changes that would directly affect them.
- » Policies and procedures should be easy to understand with little interpretation and added communication to explain important points.
- » The affected program (businesses) processes need to be documented using a process flow chart or some other kind of visual representation, as well as identify the process gaps and develop effective solutions.
- » Policies and procedures should be written as a result of the efforts of a cross-functional team that represented process owners from all affected areas of the community?

Best Practice - Internal Control and Financial Policies

- » Effective financial responsibility requires council policy that tells what is, and what is not, an acceptable financial state of affairs. By way of practice, your council approves an annual operating budget. That budget likely allocates resources based on those things the council has determined are priorities (most often in the strategic plan)
- » Best Practice Tool – Page 65

Internal Control and Financial Policies

- » it is highly recommended that council establish policy to guide the administration of the community's financial affairs. The following questions should be addressed by the council in their policy:

Questions which should be addressed by the council in their financial policy:

- » What type of financial reports do we require, how frequently, and in what format?
- » In what circumstances should council be immediately alerted to a budget variation (i.e. when a budget line exceeds estimates by x %, or when the overall budgeted revenue or expense total will vary from estimates by x %).
- » To what degree are we prepared to take risks with our financial investments?
- » What level and types of asset protection (insurance) should we provide for?
- » What methods do we consider acceptable as means of monitoring compliance with our financial and investment policies?

Internal Controls

- » From a Chief and Council perspective internal controls provide reasonable assurance regarding the achievement of objectives in the following categories
 - Effectiveness of operations
 - Reliability of financial and operational reporting
 - Compliance with applicable laws and regulations
 - Safeguarding of assets against fraud , mismanagement and waste

Administration standard controls should be established.

Detailed Standards:

- » **Documentation**
- » **Prompt and Proper Recording Transactions and Events**
- » **Authorization and Execution of Transaction and Events**
- » **Separation of Duties**
- » **Supervision**
 - ❖ **An internal control structure that covers First Nations operations must meet the general needs of good governance as well as specific needs of each program.**

Best Practice - Effective Meetings

- » Meetings provide the basis for First Nation Leadership decision making process. To have an effective meeting it is important to have guidelines and processes in place to follow.
- » Best Practice tool – page 40

TIPS FOR A SUCCESSFUL MEETING

- » Define the purpose of the meeting
- » Develop an agenda
- » Distribute the Agenda and the relevant information required for the meeting. Lengthy documents should be shortened into brief summary reports
- » Select location and try to follow time lines, everybody has busy schedules.
- » Be on time it shows respect for all participants. It gets issues dealt within a reasonable time.
- » If you are using visual aids make sure they are in working order and ready to start at beginning of the meeting

Best Practice – Record of Motions

- » Motions are the record of decision making process in a Chief and Council meeting. It is crucial proper records and minutes are kept for legal and historical purposes
- » “A Summary of Motion” is a sample tool to use to keep track of your motions. Page 44

Summary

- » The most successful First Nations are the ones who are informed and adaptive to their environment.

“Goal setting and careful goal selection are the number one criteria for success”

