

AFOA Saskatchewan's
Elected Leaders Workshop
January 16-17, 2019



Leadership – Sharing Best Practices

- » As First Nations we have similarities in that spirituality is honored and revered in our communities.
- » We acknowledge our past and it plays a key role on our decision making
- » Our relational perspective becomes our basis for good governance and economic development.

Leadership – Best Practices

- » As we grow more self-sufficient learning from others is a great best practice.
- » Many First Nations have succeeded by developing processes and practices that fit their community endeavors.
- » This two day workshop is about understanding the importance of our First Nation perspective in working in a modern economy.



THERE'S ONE IN EVERY COMMUNITY...

- » Community is made up diverse people with different ideas, values and ethics.
- » Communication and Trust is the foundation of a Community



Workshop Objectives

- » Share best practices and tools in:
 - Good Governance
 - First Nation Organizational Structure
 - Communication and Community Engagement
 - Policy Development
 - Financial Management – Stewardship
 - **Stewardship**
 - **Budgeting**
 - **Banks and loans**
 - Planning for the Future – Strategically
 - Project Management
- Shared Experiences

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
- Best Practice Tool # 1 – Oath of Office Template (pg. 7)
- Best Practice Tool # 1 – Due Diligence List (pg 8)



First Nation Structure

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

First Nation Structure

- » The main purpose of an organization chart is to show the chain of command
- » It is a useful management tool that helps organize the workplace in general.
- » Defining the role of fundamental players is important in the successful implementation of your policies, plans and services.

First Nation Structure

- » 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

First Nation Structure

- » The Leadership needs to understand:
 - What job needs to be done?
 - Identify performance behaviors – be clear on expectations
 - What are the essential competencies – experience, education, people skills etc.
 - Supply and Demand – finding the best person might be outside your geographic location
 - Special Considerations – ie. Criminal Record, Professional designation or Occupational Certificate
 - Best Practice Tool #4 Chief Senior Officer description (pg 24)
 - Best Practice Tool # 5 Chief Financial Officer (pg 25)

Communication and Community Engagement

- » Community members and external funders communicate with leadership for different purposes and intent.
- » The key to good communication is a plan that has a vision, has commitment and most important buy in.
- » It is essential to develop a communication plan that takes into consideration the audience who the communique is intended for.

Communication and Community Engagment

» Elements of a Plan

- Overall Strategy – Purpose
- Goals and Objectives – What message are you trying to get across ?
- Audience – Who are you communicating with and what are you expecting to happen once message is delivered.
- Key Message – connects the gap between what your audience knows and what your trying to communicate
- Approaches and Strategies – What resources do I need?
- Evaluation – How do we know we have done a good job.



Communication and Community Engagement

- » Best Practice # 9 – Communication Coordinator Job Description (pg. 38)
- » Best Practice # 10 – Communication Plan Template (pg. 40)
- » Best Practice # 11 – Events Planning Checklist (pg. 41)
- » Best Practice # 12 – Community Meeting Checklist (pg. 42)
- » Best Practice # 13 – Agenda Template – (pg. 44)
- » Best Practice # 14 – Chief and Council Summary of Motions (pg. 44)



Communication and Community Engagement

- » Community engagement means working collaboratively with community. For a successful engagement;
 - Develop a protocol for the process
 - Who will be invited ?
 - Will media be invited?
 - Will other parties be invited ? Other governments, interest groups.
 - Prepare presenters who will be reporting to community.

Policy Development

- » Developing of Policies and Processes support Chief and Council desired directions and provide clarity so consistent and rational decisions can be made when significant issues arise.
- » All policy development should be documented in an orderly manner and made available to key stakeholders
- » Review policies on a regular basis especially if they are connect to Federal or Provincial Legislation. I.e. Personnel Policies and Procedures.

Policy Development

- » For a policy to be effectively developed and implemented, key steps need to be undertaken
 1. Define the question or problem requiring a policy statement
 2. Analyze the alternative solutions looking at resources, timing and energy.
 3. Seek the most reasonable alternative that meets the community needs.
 4. Develop a policy that speaks to the accepted alternative
 5. Develop procedures that help implement the policy
 6. Evaluate the results to identify the need for change.



Policy Development

- » 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?



Policy Development

- » Best Practice # 15 – Developing a Policy Checklist (pg. 47)
- » Best Practice # 16 – Sample Expense Management Policy and Procedures.

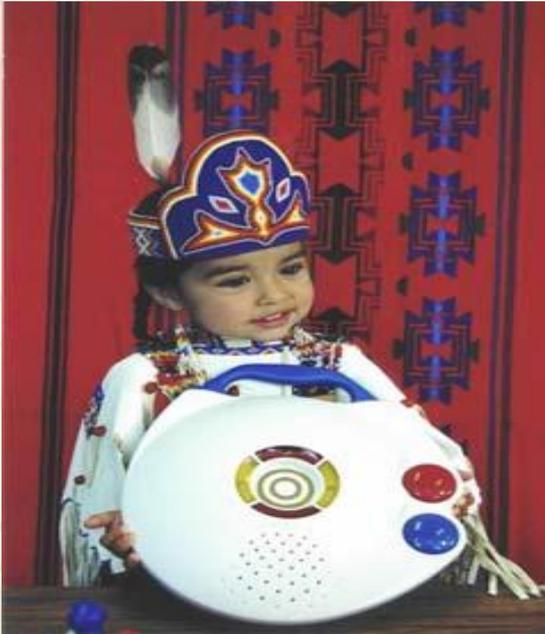
Strategic Planning

- » When you ran for leadership, you had ideas on what you wanted to see change.
- » What were they?
- » Do you have a plan – When, where, who, what, where, when?
- » Do You have the support?
- » Will they be accomplished by the end of your term?
- » What is the outcome ?



The Journey

- » **The future is not some place we are going, but one we are creating. The path to it are not found but made, and the activity of making them changes both the maker and the destination.”**



Making Change Happen

Vision+Skills+Incentives+Resources+ActionPlan =
CHANGE

????+Skills+Incentives+Resources+ActionPlan =
CONFUSION

Vision+???+Incentives+Resources+ActionPlan =
ANXIETY

Vision+Skills+????+Resources+ActionPlan =
RESISTANCE

Vision+Skills+Incentives+????+ActionPlan =
FRUSTRATION

Vision+Skills+Incentives+Resources+??? =

Best Practice - Planning for the Future –

- » 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”

- » What are your Values?

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.

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)



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.
- » Are you present meeting effective or are they “cowboy Meetings”



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



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”

