

EXECUTIVE SUMMARY

Capacity Assessment Guide, Survey and Resource Plan

The Purpose

The Capacity Assessment Guide, Survey and Model Resource Plan has been developed to assist a First Nation in assessing its existing capacities and in determining where capacity should be increased. The term 'capacity' is used to include all aspects of governance. In practical terms, building capacity means that the Nation can do more things for its member, can do them better and consistently and, in the process, become more self-sufficient and less reliant on outside resources.

The Audience

The Capacity Assessment Project was developed for all First Nations, regardless of whether they are or are not participants in the Treaty Process. Information collected is the property of the First Nation and is intended for internal use only.

The Guide

There are three parts to the Capacity Assessment Project: the Guide, the Survey Instrument and the Model Resource Plan.

The Guide outlines the purpose of project, what capacity is and how it can be measured and what the results of the process could be used for. It contains suggestions on how the survey instrument could be implemented, and who might respond to the questions.

The Survey Instrument

The Survey Instrument is a series of questions, grouped under different headings. The headings consider different types of capacity, including the capacity to plan, the capacity to govern, and organizational capacity. As well, the Survey Instrument includes a sample community survey which could be used to support the findings of the assessment process.

The Model Resources Plan

The Model Resources Plan is designed to assist a First Nation in moving from capacity assessment to capacity building. It is a guide to how the Nation could identify their requirements, prioritize their objectives, and acquire the resources they need to move forward. The content of the plan will be determined by the results of the survey process.

Capacity Assessment for First Nations

**A Guidebook, Survey
Instrument and Model
Resource Plan**

Introduction

Note: The writer is aware that the term 'Nation' may refer to one Nation or a group of Nations represented by a Tribal Council or other such organization. In the case of more than one Nation, the survey may have to be implemented by each Nation if an accurate assessment is to be achieved. That, of course, will be a decision made by the Nation.

This guidebook has been developed to accompany the Capacity Assessment Survey Instrument for First Nations. It is a project of the First Nations Summit, with technical support from the B.C. Treaty Commission. Regardless of whether your Nation is engaged in the Treaty process or not, the goal of increasing the internal capacity of the Nation to achieve its objectives is assumed to be important to the reader. As such, it is hoped that the survey instrument and this guide will be useful tools in the ongoing development of your Nation.

What is Capacity and Capacity Building?

The Project Committee has defined 'capacity' as:

The ability of individuals and organizational units to perform their necessary functions effectively, efficiently and consistently over time.

It follows from this definition that 'capacity building' is the process or set of activities by which 'capacity' is increased or enhanced. In practical terms, it means that the Nation can do more things for its members, can do them better and consistently and, in the process, become more self-sufficient and less reliant on outside resources.

Capacity Building: The Challenge

Increasing the capacity of a Nation to achieve its objectives is not a simple or easily achieved objective. It will require a significant investment in time and energy on the part of government if the scope and capacity of the government is to be significantly increased. It will also require a significant commitment to human resource development. To begin capacity building, a Nation must first assess:

- ◆ What capacities currently exist within the Nation?
- ◆ Based on identified objectives, what capacities are required to achieve those objectives?
- ◆ What gaps exist between existing capacities and projected or future capacities?
- ◆ How can those gaps be filled?

Using the Survey and Guidebook

The Self-Assessment Survey Instrument is not a questionnaire nor is it a needs assessment. Rather, it is a structured process by which a respondent can assess the existing capacity of his or her Nation to exercise its responsibilities and authorities in a fair, equitable and consistent manner. There are no 'right' or 'wrong' answers. How valid the results of the self-assessment are will be entirely dependent upon the validity of the responses. As it is an internal planning tool, available only to the designated representatives of the First Nation, its value will be directly proportional to level of candour which is demonstrated by the respondent.

The Survey

Contained within the survey, and grouped by category or subject matter, are a variety of questions. The respondent is free to respond to any or all of the questions and in as much detail as they feel to be appropriate. Some of the questions are quite straightforward, requiring statistical responses. Other questions are more subjective in nature, requiring the respondent to state an opinion or assess a situation from their own perspective. Contained in this guidebook are suggestions or recommendations which may assist the respondent as they progress through the survey.

Certain of the questions have been italicized. It is recommended that the respondent attempt to answer these questions at a minimum if they are to receive the full benefit of this exercise, as it has been planned by the Project Steering Committee.

The Guidebook

The Guidebook, which you are presently reading, has been written from the perspective that increasing a Nation's capacity is a desirable objective. Further, it assumes that there are certain specific activities or initiatives which are critical to capacity building. Lastly, it assumes that capacities are inter-related and interdependent. In short, the achievement of a particular capacity may be dependent upon the existence of related capacities. Emphasis on building a particular capacity, for example natural resource management, at the expense of other capacities, such as the ability to manage finances or negotiate contracts, may jeopardize the achievement of the initial capacity, natural resource management.

Obviously the reader is free to disagree with the biases which are implicit in the Guidebook, as they are free to disregard any of the questions in the survey. However, it is hoped that by posing the questions we do, we will encourage the reader to honestly and candidly assess the status quo as the first step in moving the Nation forward in a planned and organized fashion.

The Respondents

It must be stressed that the First Nation is free to select those individuals which it wishes to complete the survey. However, the following are options which the reader may wish to consider when making that selection.

Option #1

The respondents may include the senior management of the organization, as well as the elected officials of the Nation. Each individual will respond to all of the survey sections (omitting those questions which they feel to be irrelevant or inappropriate). Results can then be cross checked, with the objective of reaching a consensus amongst the group.

Option #2

Various sections of the survey are assigned to individuals who possess expertise in a topic area. For example, persons who work in economic development would complete the section on economics. With this option, respondents would not be expected to consider all of the questions in the survey.

Option #3

The Nation may wish to consult with the membership on certain sections of the survey. As such, selected questions could be distributed to the membership as a whole for consideration. This may be an appropriate option in regards to the Governance section.

A sample community questionnaire is included as an appendix to the Guidebook.

Option #4

The survey could be used as a guide for group discussion. Responses would be expressed orally, with the objective of reaching consensus amongst the group. These results could then be recorded for future reference.

Regardless of the option that is selected, the primary purpose of the survey is to encourage discussion amongst those persons who have the authority and responsibility to supply good government to the Nation, now and in the future. While the focus of the discussion may be on the present, the ultimate objective is to encourage a vision of the future, along with identification of what will be required to achieve that vision.

The Survey: A Guide

This section of the Guidebook will now consider the Survey Instrument in detail, with discussion of each of the topic areas. Included are a brief rationale for each section, possible outcomes, and tasks which may flow from the section.

Organizational Strategy

The section on Organizational Strategy has been included at the beginning of the survey because the existence of a strategic plan is seen as being key to capacity building. Without a strategic plan, it would be difficult to identify those capacities which are of specific importance to the Nation inasmuch as the strategic plan will set the course for the Nation as it moves forward. General questions underlying this section are:

- ◆ Does the Nation have a sense of direction?
- ◆ Does it know where it wants to be within the context of a specific timeframe?
- ◆ Does it have a history of planning and implementing plans?
- ◆ If applicable, has it considered the desired consequences of Treaty Negotiations and post-Treaty governance?
- ◆ Has it developed its negotiating position(s) in sufficient scope and detail?
- ◆ Does the Nation have proven means of engaging its members in dialogue in regards to the preceding?

Possible Outcomes and Tasks

Results from the section may include any or all of the following:

- ◆ The development of a Strategic Plan
- ◆ Specific and detailed negotiation positions and Treaty objectives
- ◆ The development of a reliable community consultation process
- ◆ Related staffing requirements and human resource development initiatives

Governance

The section on governance refers to the way the Nation presently governs itself, how it makes rules and regulations, and how it asserts its authority. It also relates to the ways the governing bodies in the community will need to change or evolve in the future as new authorities and responsibilities are assumed. It is common knowledge that many First Nations have been restricted in the exercise of true governance by the Indian Act and related laws and regulations. As such, Band and Tribal Councils often find themselves frustrated when attempting to provide good government to their electorates. In turn, the electorate may also be frustrated that their

governments cannot do more or be more effective. It is in this context that the section on governance asks the respondent to assess the current political climate, the existing strengths and weaknesses of their government and how that government may need to change in order to effectively meet the demands of the future.

If the Nation is engaged in the Treaty Process, then it would appear to be critical that the capacity of the existing government be adequate to the task. Secondly, it is also critical that the government enjoy the confidence of the electorate as important decisions or difficult choices are made. Moving forward without that confidence would probably jeopardize the negotiation process, as well as the viability of any future treaty.

Based on the results emerging from the Governance section, the following outcomes or tasks may prove useful:

Possible Outcomes and Tasks

- ◆ A revised interim government structure to manage the negotiation process
- ◆ Planning in regards to post-treaty government structure(s)
- ◆ Efforts to strengthen public confidence in the existing governing body
- ◆ Improved methods for accessing and allocating resources (human and material)

Organizational Structure

Closely related to the question of governance is that of organizational structure. If governance refers primarily to elected officials, organizational structure refers to those persons employed to deliver programs and services and the ways they inter-relate and complement each other. It entails such things as the allocation of resources, lines of communication, job descriptions and job functions, as well as the existence of appropriate work environments and required technology. Weaknesses in the Nation's organizational structure may jeopardize its ability to achieve the elements of its strategic plan or function effectively within the Treaty process.

Possible Outcomes and Tasks

Results from this section may include:

- ◆ A plan for organizational development
- ◆ A reorganization of existing human resources by function
- ◆ Identification of functional gaps within the organization

Human Resources

The ability of a Nation to achieve its strategic plan is largely dependent upon the human resources available to it. To that end, this section encourages the respondent to critically consider the suitability and competence of existing staff persons, gaps in knowledge or expertise which need to be addressed, as well as new or additional staff requirements and how they can best be filled.

Staff

An assessment of human resources (staff) may result in the following:

Possible Outcomes and Tasks

- ◆ Strategies for the professional development of existing staff
- ◆ The identification of wage and benefit requirements
- ◆ Enhanced recruitment and orientation practices
- ◆ A human resource strategy for treaty negotiation and post-treaty environments

Community Human Resources

A presumption of this section of the survey is that First Nations would prefer to meet their human resource requirements internally, both in terms of governance and in the larger context. However, to achieve this objective, there needs to be a match between those resource requirements and the

community's workforce. In order to assess the capacity of the Nation to meet its own human resource requirements, both existing and projected, the Nation must first accurately assess current information and, secondly, develop methods for improving human resource development. This section, therefore, asks the respondent to ensure the availability of valid demographic and related type information so that appropriate human resource planning can occur. The respondent is asked questions in regards to existing demographic trends, school completion rates, workforce participation (by sector) and related areas of concern.

This section of the survey may require the Nation to undertake extensive research in regards to the above if a current data base does not exist. However, once a certain amount of 'catching up' has occurred, it is expected that the data base can be maintained with minimal additional effort. As well, it is expected that the existence of such a data base will prove to be of valuable assistance as the Nation engages in various planning activities, both as part of the treaty negotiation process and as part of the process of planning for post-treaty governance.

Possible Outcomes and Tasks

- ◆ Current detailed demographic information and projections
- ◆ Strategic plans to enhance educational achievement
- ◆ Coordinated career planning activities
- ◆ Community Human Resource Development Strategy

Economy

This section of the survey encourages the respondent to assess the economic viability of the Nation, both now and in the future. The ability of a Nation to capitalize on the resources available to it and to generate and retain wealth is central to its economic well being. Questions in this section focus on the Nation's traditional forms of economic development or activity, how wealth is generated and distributed in the community, and what level of planning has occurred or is necessary to prepare the Nation to benefit from economic development or activity in the future.

Possible Outcomes and Tasks

- ◆ A comprehensive inventory of lands and resources
- ◆ Potential economic development strategies
- ◆ Employment participation objectives (by sector)
- ◆ Human resource development strategies

Community Infrastructure

The ability of a Nation to encourage growth and development is dependent, to a degree, upon the capacity of the community's infrastructure. Population increases, changes in the demographic composition of the Nation, economic development, and the return of members following the successful negotiation of a treaty may all place stress on that infrastructure. As such, this section of the survey encourages the respondent to assess the capacity of the community's infrastructure and the development that will be necessary should significant levels of growth occur.

Possible Outcomes and Tasks

- ◆ An inventory of existing housing stock, including renewal requirements
- ◆ An inventory of existing community facilities
- ◆ Projected housing requirements
- ◆ Projected additions to the community infrastructure
- ◆ Land use and zoning plans

Capacity Assessment Survey Instrument

Directions

Please refer to the Capacity Assessment Guidebook (at the front of this manual) for suggestions as to how the survey instrument may be implemented.

Italicized Questions

If the respondent is interested in utilizing the survey instrument as suggested in the Guidebook, it is strongly recommended that, at a minimum, the questions appearing in *italics* be answered.

Organizational Strategy Questions

Does your Nation have a comprehensive community-based plan which guides its activities?

- 1. Do programs or services within your organization have such plans in place.*
- 2. If no, what obstacles exist to the development of a strategic plan?*
- 3. Is there a flexible process in place for reviewing, monitoring, and revising, if necessary, the strategic plan?*
- 4. Is there a process for understanding and meeting member requirements and changing needs? If not, why not?*
5. If a Comprehensive or Strategic Plan exists, are the details of the plan supported by elected officials, staff and citizens? If not, why not?
6. If a plan exists, does it help to identify priorities?
7. Is there a process for monitoring the implementation of the plan?
8. Is it referred to when important decisions are being made? If not, why not?
9. Does the strategy get in the way of performance or capacity-building? If so, how?
10. Is the Nation's government successful in acquiring and protecting resources? If not, why not?
11. Is the Nation an effective lobbyist in pursuit of its interests? If not, what could be done?

Governance Questions

12. *Does the government maintain effective communication with the electorate? If not, how could it be improved?*
13. *Is it equipped to take advantage of external changes which can work to the advantage of the Nation? How?*
14. *Would you describe the government as effective and efficient? If not, why not?*
15. *Does a vision of self-government exist in the Nation? If not, why not?*
16. *How would you describe the level of confidence the members have in the Nation's government?*
17. *Have plans been made to integrate traditional forms of government with that of a post-treaty environment? Is this considered to be achievable? If not, why not?*
18. Does the existing government help to clarify and support organizational direction?
If not, why not?
19. Does the government regularly scan the external and internal environment in order to better understand the forces affecting the Nation?
20. Does it respond to changes in the composition of the electorate? (ie the population is getting older; there are more young people than before; etc.) If not, why not?
21. Does the government maintain effective liaison with the external environment? (ie outside the First Nation)
22. Is the government relatively free of bias and conflict of interest? If not, why not?
23. Is the government considering potential changes to its composition, mandate, and authority in a post-treaty environment? If not, what should be happening?
24. Are there services being delivered in the community which do not fall under the authority of the First Nations government? (ie services delivered by the Federal government or the Provincial government)
25. Are there service shortfalls? (ie services needed but not available)
26. Does the size of your community affect the availability of services? (ie is the community too small to have available certain services)
27. Has consideration been given as to how this situation could be improved?

Organizational Structure Questions

28. Is the vision of self-government generally shared by members of the Nation?
29. If not, what conflicts exist and have plans been made to address those conflicts.
30. Would you describe the government's decision making process as being relatively open and understandable? If not, why not?
31. Is there general agreement amongst the membership on what traditional forms of governance may look like? If not, why not?
32. *Does the organization's structure (staff, departments, staff assignments) support the organization's mission and goals? If not, why not?*
33. *Can the present structure support treaty negotiation activities? If not, what needs to change?*
34. *Does the governing body have a vision of what the organizational structure would look like after treaty negotiations are complete? If not, why not?*
35. *Does a plan exist to move the organization from a pre-treaty to a post-treaty environment?*
36. If yes, is that vision shared with staff? With the community at large?
37. Are roles within the organization clearly defined?
38. Are those roles flexible enough to accommodate change?
39. Do employees work together in a cooperative manner?
40. Are lines of authority and responsibility clear and understandable?
41. Is work undertaken in a coordinated manner?
If not, why not?
42. Would you characterize decision-making as centralized or decentralized? (ie decisions made by a small group of people versus decision making spread widely throughout the organization)
43. Can the organization expand efficiently to accommodate new or changed responsibilities?
44. Do the physical assets (office space, equipment, etc.) of the organization adequately support its activities? If not, what is needed?
45. Are the different types of jobs within the organization suited to the responsibilities of the organization?
If not, what needs to be changed?

Human Resources Staff Questions

46. *Are the right people in the right jobs within the organization?*
47. *What percentage of senior or management positions are members of the Nation?*
48. *Is this level of participation satisfactory? If not, what should be done?*
49. *Are there areas of expertise which are lacking in the organization? If so, what are they?*
50. *Does the organization presently engage in human resource planning for a post-treaty environment? If not, why not?*
51. *Are there plans in place to ensure that more members of the Nation are being properly trained/educated to fill positions currently held by non members of the Nation? If not, why not?*
52. *Are you satisfied with the recruitment and hiring procedures of the organization? If not, why not?*
53. *Does the organization adequately forecast staff requirements? (ie what staff will be required in the future or what is needed now for treaty negotiations?)*
54. *What percentage of persons employed by the organization are members of the Nation?*
55. *What is the average length of employment of existing staff?*
56. *Are staff members adequately compensated for their employment?*
57. *Is there wage equity or fairness within the organization?*
58. *Is there wage equity between the organization and the external environment (outside the Nation)?*
59. *Is there a difference in qualifications between your staff and persons doing similar work in the external environment (outside the Nation)? If so, what impact does this have?*
60. *Does the organization have ways of making up for a lack of expertise? (If so, what are they?)*
61. *Does a lack of expertise undermine the health and effectiveness of the organization?*
62. *Would you describe the staff as flexible and responsive to change?*
63. *Do staff have effective means of adjusting to change? Of forecasting and responding to change?*
64. *Are there any organizational weaknesses which undermine staff performance? (If so, what are they?)*

Community Human Resources Questions

65. Does the organization have a method for equipping staff with new skills/knowledge as they are required? (If so, what are they?)
66. Do staff have the tools and equipment necessary to do their work effectively?
67. *What is the current population of the Nation? By age group? By gender? Employable versus unemployable?*
68. *Are current demographic or population projections available for planning purposes?*
69. *Is there coordination and consultation between The Nation's human resource planning and existing educational institutions? Between the Nation and students?*
70. *Is the community aware of projected human resource requirements in a post-treaty environment?*
71. *If so, how is this communicated?*
72. *Are the political leaders aware of the human resource requirements in a post-treaty environment?*
73. *Has an inventory of existing human resources been undertaken?*
74. *If yes, how does it relate to projected human resource requirements for both treaty negotiations and post-treaty governance? (Does the Nation presently have available the human resources it needs to negotiate and implement a treaty?)*
75. At what rate is the population growing?
76. What is the high school completion rate?
77. What is the current unemployment rate? How does it compare with the unemployment rate within the region?
78. Are the persons currently unemployed or underemployed mainly drawn from one part of the economic sector (ie fishing, forestry)
79. What percentage of high school graduates continue their studies? What is the completion rate for post-secondary studies?
80. What percentage of the population leave the community annually?
81. What percentage return?
82. What percentage of the Nation's population reside outside the Nation's territory? (Are there any specific reasons why people live away from home?)

Economy Questions

83. Is a grade breakdown available for the current student population?
84. What obstacles (social, political, economic, attitudinal) exist in regards to increasing available human resources in required skill areas?
85. What measures are being taken to overcome those obstacles?
86. What measures are required to overcome those obstacles?

87. *What is the total annual budget of the Nation's governing body (the cost of administration)?*
88. *What percentage of the budget is spent locally within the Nation?*
89. *Does the Nation have an economic development agency? If not, why not?*
90. *If so, how effective is it?*
91. *Does an economic development plan exist for post-treaty land/resource management?*
92. *Is the general population supportive of economic development initiatives?*
93. *If not, why not?*
94. *Does a natural resource inventory exist of the Nation's territory?*
95. What is the gross annual income of the Nation? (ie The total amount of money received each year by all of the membership living on reserve)
96. What percentage of that income is spent outside the Nation?
97. What income sources can be identified?
Salaries and Wages?
Income Assistance (EI, SA, OAP)
Business Income
98. What percentage of the resident population participates in the regional economy (by sector)? (ie How many employed in fisheries, agriculture, tourism, etc.)
99. What is the potential participation rate (by sector)? (ie How many could be employed?)
100. How successful has the Nation been in implementing economic development initiatives?
101. If less successful than desired, what are the contributing factors?

Community Infrastructure Questions

102. What action should be taken to ensure greater success in the future?
103. Does the Nation have experience with joint venturing?
104. If so, how might that experience be described?
105. What proportion of existing economic development initiatives exist independent of the Nation's governing body? (ie are entrepreneurial or member owned?)
106. Has the Nation experienced conflict between economic development and traditional land use patterns?
107. Is there currently a process for dealing with the conflict?
108. If so, how effective is it?
109. How might this issue be dealt with in the future?
110. How vulnerable is the local economy now to regional, national or international trends? In a post-treaty environment?
111. Has the Nation developed means to monitor those trends to maximize positive benefits and/or minimize negative impacts.
112. *Has planning been undertaken to address future population growth demand for housing? For a different demographic mix? (ie different age groupings; larger or smaller families; more single people) For a significant influx of persons presently not resident in the community?*
113. *Is the community infrastructure (roads, water supply, sewage, garbage disposal, hydro, means of transportation) adequate for existing needs? For projected needs? For a post-treaty environment?*
114. *Are community facilities (schools, hospitals/medical clinics, halls, office space, etc.) adequate for existing needs? For projected needs? For a post-treaty environment?*
115. *Does a community infrastructure plan exist. If not, why not?*
116. *Does a land use plan exist? If not, why not?*
117. *Does a land use and zoning plan exist for a post-treaty environment? If not, why not?*
118. Is the community's housing supply adequate to meet existing needs?

119. What percentage of the community's houses are:
 Very adequate
 Adequate
 Marginal
 Need replacement
 Derelict or empty
120. Does the housing supply adequately meet the present demographic makeup of the community?
121. Is there a variety of housing types available in the community?
122. What percentage of the Nation's operating budget is allocated to capital projects?
123. Does social housing have an impact on the community? If so, what is the nature of the impact?
124. Do Certificates of Possession have an impact on the Nation?
125. Is there adequate public transportation available to members to access employment or educational opportunities?
126. Is it relatively easy for members to relocate to other reserves in the territory for employment or educational reasons?

Glossary of Terms

Comprehensive or Strategic Plan

For the purposes of this survey, a comprehensive or strategic plan is defined as a set of projected activities which encompass all aspects of the Nation's affairs and which seeks to coordinate the Nation's resources (human, financial and physical) towards the achievement of a set of clear and explicit objectives.

Resources

Includes human, physical, natural and financial resources.

Organizational Structure

The way an organization has structured itself in terms of lines of authority and responsibility as well as functional units with specific responsibilities.

Model Resources Plan

Introduction

The Model Resources Plan (the Plan) is designed to assist First Nations in moving from a capacity assessment stage to a capacity building stage. As no First Nation is the same as another, it is not possible to prescribe, in detail, exactly what is required for a Nation to enhance its capacity to negotiate and implement treaties. As such, the Model Resources Plan is intended to only be a guide or a tool to assist First Nations to identify their requirements and prioritize their objectives and to assist in the acquisition of those resources they need to move forward. It is intended to build upon the Capacity Assessment Phase and looks to incorporate the data that has been accumulated to date.

Developing a Strategy

The Resource Plan may also be part of a broader strategic plan which addresses the task of moving from where the Nation is at present (ie negotiating a treaty) to where it wishes to be in the future (ie full treaty implementation). The term 'strategic' is used here intentionally as the strategic plan should address all of the elements necessary for movement to occur, including but not limited to:

- financial requirements
- human resource requirements
- infrastructure requirements
- resource management requirements
- economic development requirements

The plan should be multi-year in terms of timeframe, with specific milestones or objectives set for each year. The milestones should be observable and measurable, with contingencies in place should the milestone or objective not be achieved as planned.

Overview of First Nation (Optional)

This section of the Plan should describe the First Nation to the reader in sufficient detail so as to allow the reader to better understand the following:

- i. the physical location of Nation and its community(s), including any aspects of the location or geography which may affect capacity building (ie remoteness, travel and transportation issues [including costs], weather conditions, etc.)
- ii. a short history of the Nation including its Tribal affiliation, language group and any distinctive characteristics of its history, especially those which may have impacted its capacity building potential (ie residential school experience)¹
- iii. a review of previous program or service initiatives which demonstrate the Nation's ability to address issues, manage finances and provide good government to its members (examples of successful programs, Band audits, etc.)
- iv. its present Treaty aspirations, including the current Stage of negotiations and any issues which have flowed from participation in the Treaty process to date.

The preceding could be presented as a narrative or in point form, depending upon the Nation's preference.

Proposed First Nation's Governance Structure

While the Nation may have not yet developed a detailed plan for governance in a post-treaty environment, this section could be used to identify those principles which may guide the design of such structures in the future. Such principles could include any or all of the following:

- Transparency or Openness
- Accountability
- Representation
- Accessibility
- Cultural Sensitivity
- Flexibility

Tied to the statement of principles, the Nation's Mission Statement could be used to establish the context in which government would function in the future. It could identify the

values which will drive the government and, indirectly, aid in the establishment of government priorities.

Guiding Principles for Human Resource Development

Central to the development of capacity is the ability to develop human resources within the Nation. Without skilled, motivated individuals, desired increases in capacity will not be achieved. However, efforts in the past aimed at human resource development have often failed to be as successful as they might be because of a failure to clearly state the principles which must underlie such initiatives. Such principles could include any or all of the following:

- Education initiatives must be community-based
- Initiatives must address specific community needs, both short and long-term
- Initiatives must complement specific and viable career paths
- Initiatives must incorporate transferability and accreditation
- Initiatives must incorporate, where relevant and appropriate, cultural knowledge and culturally sensitive methodologies

Human Resource Development

In terms of Human Resource Development, it may be useful for the Nation to consider such development as being essentially twofold in nature. Firstly one has the 'government sector', which will have specific human resource needs and, secondly, the 'private sector', which will have its own set of needs and opportunities. To mix these needs together may result in the development of inappropriate education/training initiatives. The first sector, 'government' is limited in its ability to offer viable, long term employment to a large segment of the Nation's population. While in the past the Band Office may have been the single largest employer in a community, this has usually been accompanied by the majority of the employable population not being active participants in the 'private sector'.

This Resource Plan suggests that the needs of the two sectors, while complementary, are different and should be considered as such. The human resource needs of the government sector are very much driven by the scope and nature of proposed

government activities. What services and programs will be delivered by the government? What kind of employees will be needed to implement those services and programs and, if recruited, how will their services be retained over time? In answering those questions, the Nation will begin to identify the specific types of employees they will need, along with the requisite skills, training or education the employees will be expected to have. This information, in turn, can be used to encourage individuals to select certain career paths, with some confidence that the paths will lead to employment.

However, it is unlikely that the Nation will be in a position to offer employment to more than a relatively small number of members. The employment needs of the remaining larger group must be addressed in a different fashion. This is where the so-called 'private sector' needs to be considered. In developing human resource initiatives for the general population of the Nation, government must scan the broader regional horizon for viable employment opportunities in a variety of sectors. It should consider the results of the Capacity Assessment when undertaking this review. Specifically the Resource Plan could comment on the following:

- What sectors are active in the region and which enjoy the most potential for growth and employment?
- What are the Nation's existing participation rates in those sectors and what are the target participation rates?
- What are the educational prerequisites for participation in the various identified sectors and what types of jobs will be available?
- What means will the Nation employ in order to increase participation rates?
- How will it measure the success of its human resource development initiatives?
- How will it engage the Nation's employable population (and projected employable population) in those initiatives?

While these are difficult questions to answer, they would appear to be central the development of a meaningful and achievable Resource Plan.

First Nation's Demographic Information

A Resource Plan should be based on, amongst other things, a sound understanding of the demographic character of the Nation. A portion of the Assessment Survey asked the respondent to identify specific pieces of demographic information. This section of the Resource Plan is where the information could be discussed in some detail. Inasmuch as capacity building is forward looking, the Nation should present a demographic profile of itself which considers both the present and the future. The profile should also assist in determining both short term and long term initiatives. Specific demographic information which could assist in planning for the future include:

Population Projections

- Existing and projected population estimates for the Nation in regular 5 year intervals
- Ways that the population can be segmented:
 - * by gender
 - * by age groups
 - * by average family size
 - * by employable versus unemployable
 - * by employed versus unemployed
 - * by education levels
- Existing and projected birth and mortality rates
- Existing and projected immigration and emigration rates

Labour Force Demographics

This section of the Resource Plan should build upon information initially described in Section 5 of the Resource Plan. Specifically, it could describe:

- Existing employment rates
- Proposed annual employment targets over a five to ten year period
- Existing income sources
- Proposed income sources by type and by percentage of the population

It could also describe, in more detail, the types of employment which could be available in both the 'government' and the 'private' sectors. This could take the following form:

By the Year X, the Nation proposes to secure the following full-time employment opportunities:

Government Sector (Example Only):

Community Planner	(1)
Natural Resource Planner	(1)
Certified Accountant	(1)
Registered Nurse	(1)
Public Health Nurse	(1)
Social Worker	(2)
Child Care Counsellor	(2)
Teacher	(5)

Private Sector (Example Only):

Retail	(4)
Tourism	(10)
Hospitality	(10)
Recreation	(5)
Manufacturing	(20)
Service	(5)
Construction and Trades	(20)
Natural Resources	(20)

**School
Participation/
Completion Rates**

Information in this section should identify existing school participation/completion rates for both children and adults. Information could be displayed as follows:

School Participation Rates: (By actual numbers)

1998						
Gender	Grade					
	1	2	3	4	5	6
	7	8	9	10	11	12
M						
F						
1999						
	1	2	3	4	5	6
	7	8	9	10	11	12
M						
F						
2005						

I	2	3	4	5	6
7	8	9	10	11	12

M
F

By projecting ahead, it is possible to estimate the actual number of students who should be graduating in any given year. This, in turn should allow for the identification of target school completion rates which can then be compared against actual. This data can be used to measure the effectiveness of counselling and 'stay in school' initiatives undertaken by the Nation.

Human Resource Requirements

This section of the plan should identify those human resources required to both negotiate treaties and, in the long run, implement treaties.

Immediate

Negotiation Phase

This section should focus on the skills and knowledge the Nation needs to successfully negotiate a treaty. It should also attempt to cluster the skill and knowledge requirements so specific staff positions can be identified. Existing positions within the government can then be compared with what is required and shortfalls identified. Filling the gaps can then be approached in a planned and organized manner such that expertise requirements can be identified before their absence adversely affects the Nation's ability to proceed through the treaty process. Examples of skill and/or knowledge requirements which may be needed include:

- natural resource expertise
- land management expertise
- money management expertise
- policy expertise
- demographic planning expertise

Long-Term

Treaty Implementation

This section would look at the long term staffing needs of the Nation as they would exist after a treaty has been completed. It is expected that such projections would be closely tied to the specific content of the treaty and would attempt to answer questions such as:

- What programs or services will the Nation deliver after a treaty is completed?
- What staff will be required to implement those programs and services?
- What new responsibilities will the government have after the treaty is completed? (ie. money management; investment management; law making; relations with other jurisdictions; natural resource management; etc.)

It is expected that this section will complement the earlier sections of the plan which relate to education and training and career counselling for members of the Nation.

Other Capacity Building Requirements

This section of the plan should consider the physical requirements of the Nation if the capacity to negotiate and implement treaties is to be realized. It should incorporate information about how the Nation's population will change in the future and what will be needed to accommodate those changes. It should answer such questions as:

- What improvements to the Nation's infrastructure will be required?
- What new or expanded facilities will be needed?
- What tools or equipment are needed to support treaty negotiation and implementation?

Proposed Training/ Education Initiatives

This section of the resource plan should detail the training and educational initiatives the Nation proposes to undertake in order to achieve its capacity building objectives. As noted in Section 6.2, the type of training which is required will depend upon the projected employment needs of the Nation, both in terms of 'government' and the 'private sector'. However, certain options can be identified at this time.

- Career counselling which encourages students to pursue career paths which coincide with the human resource requirements of the Nation
- Pre-school 'Head Start' type programs which enhance children's ability to succeed in school
- Parenting skills training to assist parents to support and enhance their child's educational experience

- Counselling services which proactively work to keep children in school
- Life skill and adult basic education courses for persons wishing to re-enter the workforce
- On-site training programs in selected 'private sector' employment areas (ie hospitality/service industry; tourism; etc) based on available and projected regional employment opportunities
- Scholarship programs which reward academic excellence

Funding Support Requirements

The final section of the plan should be a realistic estimate of the costs associated with achieving capacity to both effectively negotiate a treaty and to implement the treaty once it is completed. The funding plan or budget should be multi-year in scope and allow for cost increases due to inflation. It should also attempt to identify funding which the Nation will be able to generate itself once a treaty is completed (ie. tax revenue; lease revenue; natural resource revenue; etc.) and any shortfalls which may occur. between what is generated and what it will actually cost to run the Nation's government.