



**?AKISQ'NUK FIRST NATION
STRATEGIC PLANNING**

REPORT

January 9 - 10, 2024



KTUNAXA NATION VISION

Strong, healthy citizens & communities speaking our languages & celebrating who we are & our history in our ancestral homelands, working together, managing our lands & resources as a self-sufficient, self-governing Nation

?AKISQ'NUK FIRST NATION MISSION

Through sound, responsible leadership, we will promote the well-being and economic self-reliance of our people by encouraging and fostering education and sustainable employment.

GUIDING PRINCIPLES

(December 2022)

Commitment

Knowledge

Discipline

Integrity

Justice

VALUES

(December 2022)

Lands

Family

Respect

Honesty

Compassion

Our Culture and Language

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Executive Summary

On January 9-10 the ʔAkisqʼnuk First Nation Chief, Council, and Senior Management met at Copper Point Resort, Invermere to engage in update the strategic plan created in December 2022.

The planning team:

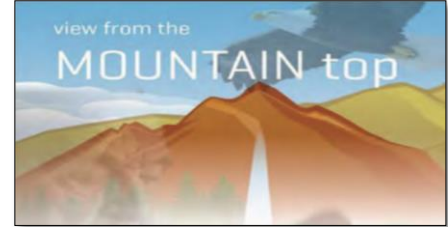
- Reviewed progress on the 2022 Plan.
- Reviewed and updated the Current State Assessment
- Updated the strategies, goals, action plans.
- Reviewed and updated the Risk Analysis.

The Strategic Priorities discussed at the planning session are:

- Governance
- Core Services
- Member Services
- Fiscal and Economic
- Lands, Resources, Infrastructure

THE VIEW FROM THE MOUNTAIN TOPS

This level of the system is occupied by leadership (Chief and Council) and denotes that leadership is entrusted with “making space” for their members to be successful.



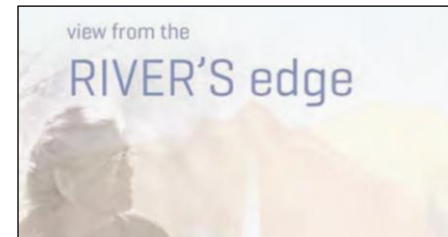
THE VIEW FROM THE TREETOPS

This level of the system is occupied by Senior Management and suggests that the role of senior staff is charged with the task of “defining the space” created by leadership



THE VIEW FROM THE RIVER'S EDGE

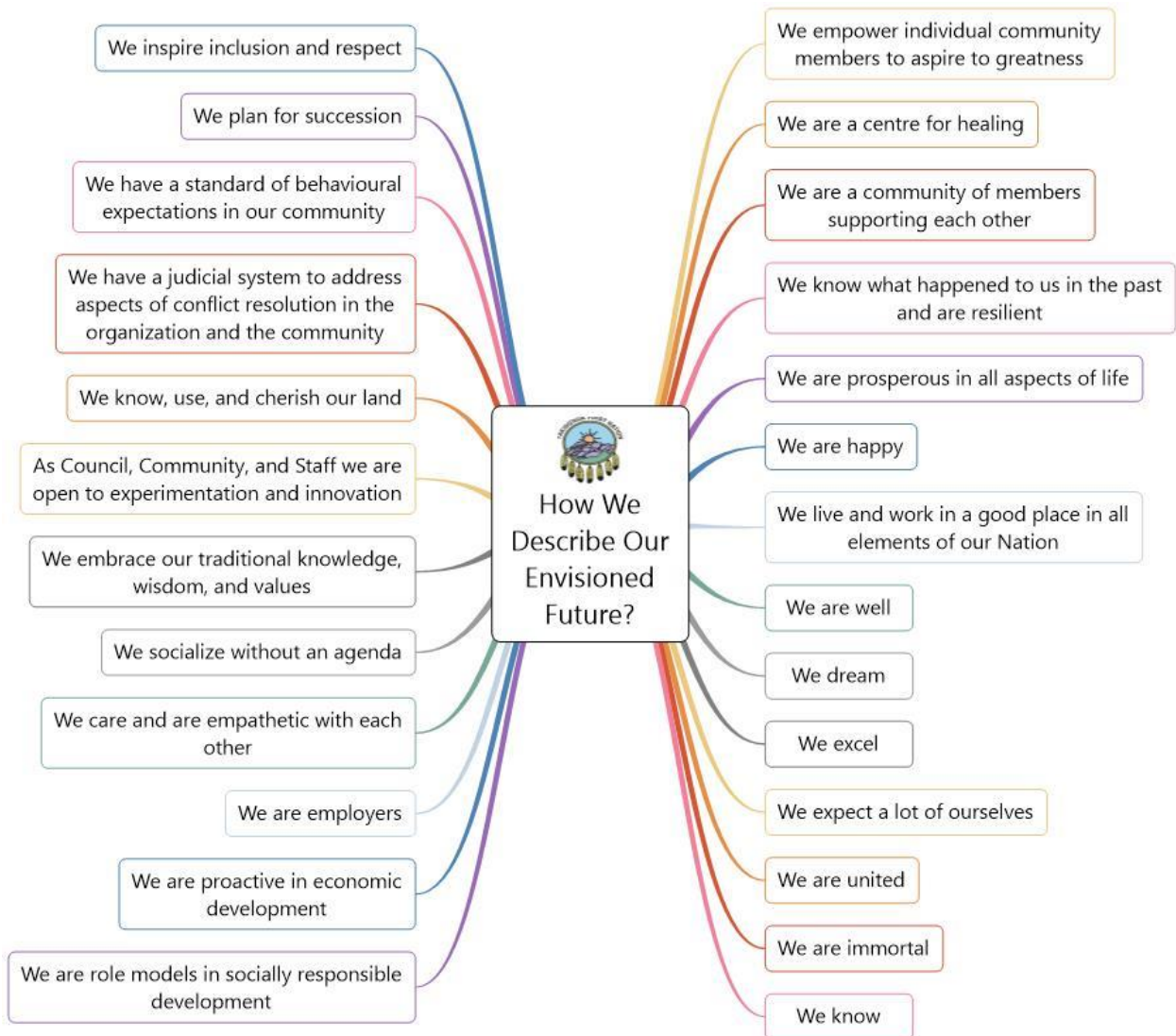
This is arguably the most important part of the system(s) in which we operate. Front-line workers and members occupy this level of the system. The ultimate goal of those at the Mountaintops, Treetops and River's Edge is “getting results’ that proactively address the needs and aspirations of those you are formed to serve.



*Source: ʔAsisqʼnuk First Nation
Comprehensive Community Plan]
March 30, 2016. Dan George Report.*



Envisioned Future



Strategic Workplan

Legend for the Lead Person

ADH	Associate Director of Health	CLR	Councillor Lillian Rose
CAN	Councillor Allan Nicholas	FEDD	Fiscal & Economic Development Director
CC	Communication Coordinator	LRID	Land Resources and Infrastructure Director
CDF	Councillor Darcy Fisher	MSD	Member Services Director
CDS	Chief Don Sam	SAO	Senior Administrative Officer
CJA	Councillor Janice Alpine	GC	Governance Coordinator

Governance

<p>Governance Goals:</p> <p><i>Contribute to, and support, the Nation's quality of life</i> <i>Utilize policies to guide governance matters</i></p> <p><i>Promote recognition of our rights at all government tables</i> <i>Meaningfully engage the community</i></p> <p><i>Establish a political presence</i> <i>Mentor leaders for the future</i></p> <p><i>Enshrine our rights, recognition, and reconciliation in</i> <i>Best practices in financial management</i></p> <p><i>Agreements with governments</i> <i>Adherence to the Financial Administration Law</i></p>					
Actions	Timeline			Lead Person	Status Update January 9, 2024
	Y1	Y2	Y3		
1) Review and revise compensation models and related Terms of Reference for Council and Community Member Committees; ensure consistency in terminology and definitions				CDS	Completed for Committees Governance policy amended for meetings and commensurate raise in compensation Analysis for full time Council positions is underway
2) Obtain Financial Management Certification through the First Nations Financial Management Board (FMB)				CDS	Initial policies completed, require updating
a) Update Financial Administration Law policies					
b) Complete FMB identified certification checklist					
3) Develop a formal onboarding process for new Chief and Council members; continually update knowledge				CDS	
4) Create a Governance Coordinator position to address the needs of Council and Committees; position reports to Council				SAO	Job description completed
5) Develop a plan to address relationships with KNC				SAO	Directed hiring of a Public Relations / Governance Relations team
a) Also a plan for relationships with other First Nations, federal, provincial, regional governments				Council	



Governance Goals:					
<i>Contribute to, and support, the Nation's quality of life</i>		<i>Utilize policies to guide governance matters</i>			
<i>Promote recognition of our rights at all government tables</i>		<i>Meaningfully engage the community</i>			
<i>Establish a political presence</i>		<i>Mentor leaders for the future</i>			
<i>Enshrine our rights, recognition, and reconciliation in Agreements with governments</i>		<i>Best practices in financial management</i>			
		<i>Adherence to the Financial Administration Law</i>			
Actions	Timeline			Lead Person	Status Update January 9, 2024
	Y1	Y2	Y3		
6) Create a communication outline on how to keep the community informed on governance related issues				CJA	
7) Engage external expertise to provide Chief and Council with effective governance professional development				SAO	
8) Clearly define the different and / or interrelated roles of governance and administration				SAO	
9) Establish a governance evaluation process				SAO	
a) Office of the Chief Councillor (as in AFN Election Code Appendix A)					
b) Governance committees					
10) Review all policies annually, revise if required, create new policies where required				Council	
11) Update Mandate Letters				Council	
12) Update the Comprehensive Community Plan				Council	
13) Finalize the Membership Code – Section 11 to Section 10				Council	
14) Develop an approach to holistic restorative justice in collaboration with law enforcement, with legal advice, and with advice from Elders				Council	
15) Engage Federal Adjudication to address by-law infractions by external parties				Council	
16) Determine how to address art, culture, and language including the process to access internal monies				Council	
17) Develop annual Chief and Council Work Plans				Council	



Core Services

Core Services Goals:					
<i>Contribute to, and support, the Nation's quality of life</i>		<i>Ensure a safe and productive workplace</i>			
<i>Enhance productivity through information technology</i>		<i>Understand satisfaction with services</i>			
<i>Ensure security of data and information</i>		<i>Contribute to Nation building through attraction, retention, and training of members</i>			
<i>Continually improve communications</i>					
Actions	Timeline			Lead Person	Status Update
	Y1	Y2	Y3		
1) Establish a best-in-class information technology structure that is appropriate for AFN and related entities				SAO	Procured hardware and software. Needs assessment scheduled 2024-2025.
2) Review operational policies and present recommendations to Council for approval; operationalize all policies; develop processes where required				SAO	
3) Create a communication and engagement delivery plan				SAO	
a) Utilize appropriate systems and tools to enhance communication with members and external entities					
4) Address gaps in human resources					
a) Conduct a human resources inventory; job descriptions, wage grids, exit interviews, etc.				SAO	Engaged external expertise; each role reviewed and job descriptions revised
b) Identify barriers to the attraction and retention of ?Akisq'nuk members				SAO	Language used in postings has been addressed This will be an ongoing initiative 70%-80% of 40 staff are ?Akisq'nuk members
c) Develop succession plans for all key positions				SAO	
d) Develop performance management, evaluation, and retention plans for staff including career development for employees and members, professional development plans, and self care for staff				SAO	PD budgets in each department Comprehensive approach required
e) Explore linking performance management and evaluation to compensation				SAO	



<p>Core Services Goals:</p> <p><i>Contribute to, and support, the Nation's quality of life</i></p> <p><i>Enhance productivity through information technology</i></p> <p><i>Ensure security of data and information</i></p> <p><i>Continually improve communications</i></p> <p><i>Ensure a safe and productive workplace</i></p> <p><i>Understand satisfaction with services</i></p> <p><i>Contribute to Nation building through attraction, retention, and training of members</i></p>					
Actions	Timeline			Lead Person	Status Update
	Y1	Y2	Y3		
f) Arrange for delivery of First Nations cross-cultural awareness sessions for all staff including resiliency and trauma-informed approaches to services				SAO	Ad hoc approach to date
5) Implement a process to understand if we are meeting quality of service delivery standards				SAO	
a) Identify areas to pursue accreditation (e.g. finance, health, lands, water, etc.)					
6) Standardize and implement a brand style guide				SAO	
7) Develop and implement a standardized approach for administrative reporting to Council				SAO	
8) Ensure the office presents a professional, clean, welcoming, and hospitable image				SAO	
9) Review the engagement of legal expertise and develop a more effective, efficient, and aligned approach				SAO	
10) Address the backlog of reporting obligations				SAO	



Member Services

Member Services Goals:					
<i>Contribute to, and support, the Nation's quality of life</i>		<i>Think outside the box when developing programs</i>			
<i>Maximize efficiency of program areas</i>		<i>Restructure the department to maximize effectiveness</i>			
<i>Fill vacant positions</i>					
Actions	Timeline			Lead Person	Status Update
	Y1	Y2	Y3		
1) Clearly define the strategic direction and scope of Member Services				SAO	
2) Schedule follow up meeting to specifically discuss Member Services (Health, Education, Housing, Social, etc.)				Council	
3) Review the department structure, identify challenges, and determine how to fill gaps in service delivery				MSD	Salopek reviewed job profiles; updated and approved
a) Review program areas and make recommendations for more effective use of financial and people resources				MSD	Salopek reviewing services Reviewing budgets in light of membership growth and service ADH reviewing processes and policies for compliance and reporting Local Education Agreement reviewed
b) Focus on workforce development including utilizing casual employees				MSD	Salopek is engaged in this work
4) Develop a community wellness strategy and implementation plan				MSD	This is encompassed in #1 above as is the FNHA Health Plan



Fiscal and Economic

Fiscal Goals: <i>Contribute to, and support, the Nation's quality of life</i> <i>Improve efficiencies in financial practices</i> <i>Attain FMS certification</i> <i>Improve the contract management process</i> <i>Meet reporting requirements of external funders</i>		Economic Goals: <i>Establish the Economic department</i> <i>Encourage new business development</i> <i>Build the economic strength of the Nation</i>			
Actions	Timeline			Lead Person	Status Update
	Y1	Y2	Y3		
1) Fiscal				SAO	These elements are part of the work with FMB FMB is doing capacity work Training with Council component postponed to 2024
a) Review financial practices with a view to utilizing technology more effectively					
b) Implement a contract management system					Procured robust system that includes document management. Populating system underway. Same system as KNC.
c) Update the cash management policy and processes					Direction received from Council; report to Council early January 2024; next step is the policy
d) Update the Financial Administration Law					
e) Update the FAL related policies					
f) Review tax administration processes					Comptroller participated in training
g) Develop and monitor the external fiscal reporting process to funders					Working on reducing the backlog and a process to keep on top of reporting
h) Develop process manuals for each function					
i) Identify sources of program funding					This part of Salopek's work and links to Economic
2) Economic				SAO	
a) Develop department structure, policies, and procedures					Created business side and structure Hired Ec. Dev. Officer; Ec. Dev. Plan being updated
b) Conduct analysis of existing initiatives: Campground; Recreation Centre; Guide					Plans underway as part of Master Plan



Fiscal Goals:		Economic Goals:			
<i>Contribute to, and support, the Nation's quality of life</i>		<i>Establish the Economic department</i>			
<i>Improve efficiencies in financial practices</i>		<i>Encourage new business development</i>			
<i>Attain FMS certification</i>		<i>Build the economic strength of the Nation</i>			
<i>Improve the contract management process</i>					
<i>Meet reporting requirements of external funders</i>					
Actions	Timeline			Lead Person	Status Update
	Y1	Y2	Y3		
Outfitting Territory; Commercial Lot; Indian Beach Estates, etc.					
c) Develop a plan to expedite water rights and related compensation					This is both a governance and economic issue
d) Evaluate community economic development opportunities					This has generally moved to the LP Administration is focused on supporting economic self reliance and entrepreneurship
e) Encourage / incubate entrepreneurialism					
f) Monitor existing Impact Management and Benefit Agreements (IMBAs)					
g) Create a function / role to address and negotiate with government, industry, and on new IMBAs					This is linked to Lands and Resources initiatives
h) Manage current revenue agreements and negotiate new agreements					This is linked to Governance Approach has been passive and needs to be proactive
i) Renegotiate Indian Beach Estates Head Lease to maximize opportunities for ?Akisq'nuk and its members; include a membership consultation strategy					Ongoing - Expires in 2026 Linked to Lands Mandate required from Council This requires collaboration with Council



Lands, Resources, Infrastructure

<p><i>Contribute to, and support, the Nation's quality of life</i></p> <p>Lands, Resources, Infrastructure Goals: <i>Better presence in Northern part of the territory</i> <i>Address Land use</i></p>		<p><i>Mitigation related to emergencies</i> <i>Response to invasive species</i></p>			Lead Person	Status Update
		Y1	Y2	Y3		
1)	Review department structure with a view to creating Territory-focused departments: Lands (on and off reserve), Resources (extraction on and off reserve; cultural heritage resources), Infrastructure (on reserve)				LRID	
2)	Fill vacant positions through employment or contractors				LRID	Hire, secondment, contract positions Salopek engaged to update position descriptions
3)	Address need for additional space through new facilities or renovations of existing				LRID	Uncertainty with new building; quotes received for temporary space
4)	Develop a Land Code that formalizes how we designate, utilize, and protect AFN lands and leads to the development of policies and processes				LRID	
5)	Finalize the Home Site Land Allocation Policy				LRID	With Council for review, comments, and updating Process is in place
6)	Enhance the Emergency Management Plan to include natural disasters				LRID	Hired EOC (under Member Services) who is working on the Plan and training Also hired a Fire Smart Worker
7)	Assess the invasive species situation and develop an action plan				LRID	In process
8)	Secure funding for upgrades to North Community water system				LRID	Design submitted Technical comments received from ISC Final application scheduled for March 31/24
9)	Conduct a feasibility study on South Community water system				LRID	Initial conversation with ISC
10)	Coordinate provincial and proponent-based referrals				LRID	Working with KNC Regulatory Engagement Coordinator will assist
11)	Develop activities for members to understand and practice rights in the territory				LRID	Initial work on traditional activities



<i>Contribute to, and support, the Nation's quality of life</i> Lands, Resources, Infrastructure Goals: <i>Better presence in Northern part of the territory</i> <i>Address Land use</i>		<i>Mitigation related to emergencies</i> <i>Response to invasive species</i>			
Actions	Timeline			Lead Person	Status Update
	Y1	Y2	Y3		
12) Develop by laws, by-laws, and /or policies for all land questions on Columbia Lake IR#3.				LRID	
13) Complete two Additions to Reserve; determine if two fee simple properties are to be included in the ATRs				LRID	Close to completion



Risk Analysis

Risks can hinder or prevent fulfillment of the strategic plan. Managing risks enables an organization to anticipate and prevent risks from manifesting; or mitigate risks that cannot be prevented. A basic risk analysis answers the question: What could jeopardize or derail our Strategic Plan?

Risk Factor	Likelihood of this Occurring (High, Medium, Low)	How can we prevent or mitigate the Risk?
Understaffing; not filling staff positions; competition for people		Develop the HR strategy particularly focusing on recruitment and retention. This has been addressed in some departments; still a risk in other departments.
Large backlog in funding reporting to ISC		A contractor has been engaged. Develop a plan to catch up on the last 3 years of FNHA and 5 years of Assisted Living reports. Provide professional development training to staff. Contact ISC for assistance with training. Backlog reduced 33%.
Cyber security breaches		Provide training. Keep IT up to date. Ensure staff is kept informed of any suspicious or fraudulent emails, text messages, and voice mails. Address remote access to information. Engage IT expertise.
Data storage and retrieval		Ensure quality assurance processes are in place. Moving to encrypted cloud-based software.
Staff, members, and Council resistance to organizational change		Apply change management methodologies including communication, engagement, and awareness.
Change in Nation governance, including KNC		Orientation and onboarding of newly elected people. Professional development. Communication.
Natural Disasters		Preparation. Emergency management planning. Partnerships.
Reliance on OSR from one agreement		Management of agreement. Explore other sources of revenue. Investments.
Change in relationships with federal, provincial, regional, municipal governments		Educate. Government Relations Strategy. Effective Chief and Council.

Strategic risks are monitored through use of a risk register that is reviewed as a standing agenda item at meetings.



Current State Assessment

Modified SWOT Analysis

This modified SWOT Analysis reflects the current state as at December 2022.

What is currently working well?

1. Brought on contracted human resource expertise
2. Current organization structure emerged from strategy session 4 years ago
3. Internal management relationships
4. Governance and internal management relationships are improving through candor and open conversations
5. Working as a team – collaboration between governance and internal management
6. Approach to policy development
7. Collaboration between departments
8. Financial Audit and Investment Committee

What could be working better?

1. Communication – interpersonal and with community
2. Departmental mandate letters need to be updated
3. Clarity on roles and processes – clarity on expectations; ongoing awareness of role separation and collaboration between Council and internal management
4. Onboarding of new Chief and Council
5. Onboarding of new staff
6. Review of organization structure – new positions required particularly in governance and policy
7. Review and updating of human resource policies
8. Updating Policies and Financial Administration Law – require a policy analyst
9. Council financial oversight – timely financial reports
10. Problem solving and conflict resolution
11. Professional development for governance and management
12. Delivery of operational excellence in member services
13. Allowing full engagement of Council
14. Professionalism in office environment; office culture that is welcoming; the image we present when people come to the office
15. Standardization and polishing of our brand and how it is used: font, spelling, logo, signage, messaging, etc.
16. Polishing our image – how our community looks
17. Supporting Committees: Elders, Finance, Lands, Education, Parent Advisory



PESTLEC ANALYSIS

This PESTLEC Analysis analyses the external environment and identifies issues which are considered in the Strategic Plan.

Political Issues

- Federal, Provincial, and Regional legislation that goes against First Nations – leverage approaches which impact rights and titles (UNDRIP Implementation Act; Distinctions Based Approach to BC First Nations)
- Provincial and Federal Acts related to the United Nations Declaration on the Rights of Indigenous Peoples
- Dealing with International Joint Commission - water pollution
- Encroachment of industry on rights and title
- Encroachment by other First Nations and other Indigenous groups in our traditional territory
- Political and Administrative capacity to deal with all levels of government and political issues
- Capacity to deal with Non-Governmental Organizations and intervenors (e.g. Chambers of Commerce, BC Wildlife Federation, etc.)
- Salmon restoration
- Addressing Inter-Nation environmental issues and approaches
- KNC governance structure and agreements – responsibilities to communities
- Columbia River Treaty
- Indigenous Protected Cultural Area, Qatmuk / Jumbo – take a larger and active role
- Changes in legislation and demands of FN government
- Leveraging FN Summit, Union of BC Chiefs, and BC AFN, and national AFN
- Changing nature of relationship between Ktunaxa Nation Council Society and communities
- Unfinished business of BC Treaty process
- Own-sourced revenue mechanisms and revenue sharing agreements
- Image and profile of the Nation

Economic Issues

- Capacity to realize potential opportunities internally and externally
- Structure and financing in place for LP, including but not limited to:
 - Lakefront property
 - Campground
 - Indian Beach Estates
 - Commercial lot development
 - Guiding Outfit territory
 - Real estate
- Proposal for entrepreneur financing developed
- Business entity structure in place
- Requirement to move at the speed of business
- Financial resources earmarked to Legacy – ongoing discussion as part of OSR
- Ensure the engagement of members - employment, prosperity, etc.
- Macro Economic Issues: labour shortage, inflation
- Natural Resource development
- Reporting for funding – ISC
- Land purchase
- Land code – develop zoning
- Prosperity planning for individuals
- Per capital distribution
- Managing wellness
- Need for infrastructure – water, sewer, waste disposal



Socio-Cultural Issues

- Culture and language cross-cuts all issues
- Cultural knowledge and language transmission
- Ktunaxa values
- Disparity between the hiring of non-Indigenous people and our own people
- The practice of art and craft is an indicator of a healthy culture; these talents need to be encouraged
- Transitional programming is required for people who are reintegrating into the community
- Intergenerational trauma
- Addictions - requirement for treatment supports
- Justice
- Restorative justice
- Poverty
- Need for productive and healthy engagement between Council and community
- Lateral violence and oppression
- Housing
- Safety
- Salmon restoration
- Food security; food sovereignty
- Trauma informed approaches to practice
- Managing wellness
- Mental health
- Increase of +40 members – no say in membership; need to understand implications
- Orientation for new members
- Life skills, work skills, home and vehicle maintenance skills
- Need to collect data on the population and related needs today and in the future: youth, education, aging population
- Require clarity on the obligation to the off-reserve population
- Racism: internalized and systemic
- Belief systems: mainstream religion, traditional Ktunaxa beliefs and practices

Technological Issues

- Close to having free or subsidized fibre optic connectivity to each home; contract management
- Modernization of communication infrastructure required
- Inconsistent cell coverage in the community
- Need for education on technology
- Data and document management, storage, retrieval, and security
- Policies and processes related to hardware, software, and information management
- Privacy related to personal information
- Cyber security including training and awareness
- Requirement for hardware to enable remote work; requires keeping on top of new technologies
- Requirement to strategically plan for updated and professional technology in boardrooms, and considering a new building
- Need communications expertise to help plan for technological improvements
- Transition from hard copies to electronic documents
- Technological knowledge of staff and members – requires training
- Ease of accessibility impacts individual personal time and work / life balance

Legal Issues

- Human resource issues
- Specific claims
- Inherent Indigenous rights and title
- Intergovernmental agreements
- Membership related issues and time frames
- Restorative justice



- Risk management
- Due diligence
- Policy for development of community by-laws
- Crime on reserve
- Land tenure
- Wills and estates, including executor training
- International residency issues
- Social assistance for per-capita distributions
- Membership discrimination (current vs. new members)
- Management and distribution of Trusts

Environmental Issues

- Coal impact on water – selenium pollution
- Water supply located below a dump
- Cannot access water rights from the time reserves were established
- Resource extraction impacts on traditional territory; historical grievances
- Wildfires, Earthquakes, Drought – emergency preparedness and recognition of traditional Ktunaxa forestry and environmental management
- Columbia Lake and Lake Windermere water quality
- Columbia Lake recreational impacts
- Salmon restoration
- Fisheries - water quality and availability; access to water rights
- Wildlife management
- Food security related environmental health – agriculture impacts on the land; health of wildlife
- Climate change impacts on traditional foods and medicines
- Response to carbon emissions: solar panels on homes
- Access to traditional lands
- Access to water; rainwater harvesting

Competitive Issues

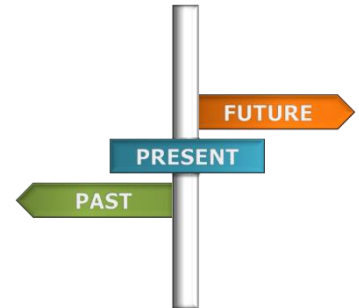
- Competition for staff
- Competition for traditional rights and title versus a collaborative approach between bands
- Competition for natural resources
- Agreements between municipalities and other Nations
- Competition for access to programs and services versus a collaborative approach between bands
- Competition related to economic development
- Competition for access to Elders and Knowledge Keepers
- Competition for KNC services; decentralization of services to Nations as rights and title holders



Appendices

Strategic Planning

A solid plan, which is agreed to by all who are engaged in the process, not only sets the stage for moving toward the future but is used as a basis for making decisions and taking actions that shape and guide the future of the organization. Strategic Planning involves looking at and learning from the Past, examining the Present, and building a path toward the Future.



The Strategic Plan Bridges the gap between what is today and what could be in the future

Strategic Priorities	Action Plans
Financial Implications	Timelines
Risk Management	Goals
Accountabilities	

THE PRESENT

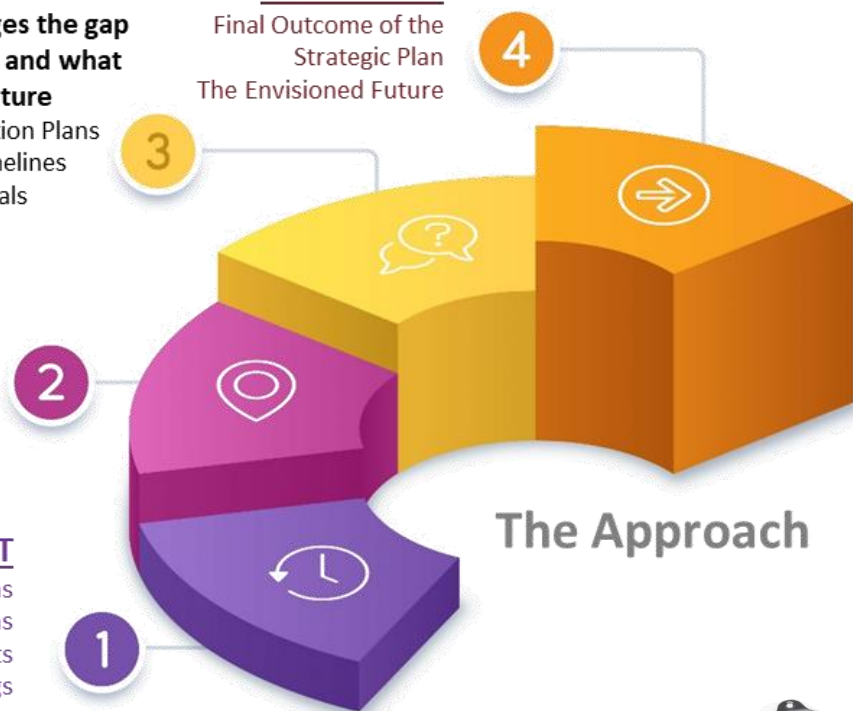
SWOT Analysis
PESTLEC Analysis
Stakeholder Analysis

THE PAST

Strategic Plans
Business plans
Accomplishments
Learnings

THE FUTURE

Final Outcome of the Strategic Plan
The Envisioned Future



A good plan:

- meets the SMART test.
- focuses resources on critical issues.
- ensures that everyone is working toward the same goals.
- develops a basis for ongoing assessment and adjustment of direction in response to an ever-changing environment.



Sample Workplan: Strategic Priorities and Supporting Activities

Strategic Priority			
Goals			
Action Plans	Accountable (The Lead Person)	Timeline (By When)	Progress Update Notes (Monthly, Quarterly)
1.			
2.			
3.			
4.			

Strategic Planning Tools

The Council will find these strategic planning tools helpful as it discusses the current state and formulates the new Plan.

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SWOT Analysis

SWOT is an effective way to understand what is working and what could be working better. Carrying out an analysis using the SWOT framework helps to focus Action Plans into areas of strength and where the greatest opportunities lie. A SWOT Analysis can be illuminating - both in terms of pointing out what needs to be done, and in putting problems into perspective. **A modified SWOT can also be used to engage the organization's stakeholders by addressing two questions: What is currently working well? What could be working better?**



PESTLEC Analysis



Issue identification, internally and externally, is most effectively addressed when discussed in the context of the political, economic, socio-cultural, technological, legal, environmental, and competitive elements that impact the organization.



R.A.C.I.

Implementing a Strategic Plan can be a complex process. Clearly identifying the tasks and roles will ensure that preparations and implementation are as effective as possible.

The final Strategic Plan should include a Work Plan that identifies all who will be involved in implementation, the tasks required for implementation, and clear role definition.

R.A.C.I. is an effective tool to clarify roles and responsibilities.

RESPONSIBLE 'THE DOERS'

- ⊗ Individual(s) who do the work to achieve the task/deliverable.
- ⊗ The accountable person defines the degree of responsibility.
- ⊗ R's can be shared.

ACCOUNTABLE 'THE BUCK STOPS HERE'

- ⊗ The individual who is ultimately answerable for the correct and thorough completion of the deliverable or task.
- ⊗ A's delegate to R's and sign off or approve work that R's perform.
- ⊗ There **must be only one** Accountable person specified for each task or deliverable.

CONSULTED 'IN THE LOOP'

- ⊗ Those whose opinions are sought, typically subject matter experts.
- ⊗ Two way communication is important with C's.

INFORMED 'KEEP IN THE PICTURE'

- ⊗ Those who are kept up to date on progress, often on completion of the task or deliverable.
- ⊗ Typically there is just one-way communication with I's.

Guidelines:

- Keep Accountability and Responsibility at the lowest possible level
- There can be only one Accountable person per Action Plan
- Authority must accompany Accountability
- Minimize the number of Consulted and Informed individuals
- All roles and responsibilities must be documented and communicated

Sample RACI Matrix

	Name A	Name B	Name C	Name D	Name E
Task 1	I	A	R		R
Task 2	R	I	A	C	R
Task 3	A		R	C	
Task 4	I	R	R	A	C
Task 5		R	R	A	I



Monitoring Risk

Managing risks enables an organization to anticipate and prevent risks from manifesting; or mitigate risks that cannot be prevented. A basic risk analysis discussion should be part of the council / senior administration process and answers the question: What could jeopardize or derail our plans?



A Risk Register is a living document, a master document, that is updated regularly. It is a tool that plays an important part in your Risk Management Plan, helping you to track issues and address problems as they arise.

A risk is the possibility that an event will negatively affect a company. The risk register starts, of course, with a risk management plan. The risk register should be viewed as a management tool that is reviewed and updated and which enables the organization to identify, assess, and manage risks down to acceptable levels. The register provides a framework in which problems that threaten the delivery of the anticipated benefits are captured. Actions are then instigated to reduce the probability and the potential impact of specific risks.

Risk Categories might include:

- External: regulatory, environmental, market, legislative
- Internal: service, customer satisfaction, cost, quality
- Technical: changes in technology
- Unforeseen: risks which may arise that were not previously contemplated

Strategic risks should be monitored through use of a risk register that is reviewed as a standing agenda item at senior management and board meetings.

Some organizations start with a very basic risk assessment as follows:

BASIC RISK MANAGEMENT REGISTER

Risk Factor	Likelihood of this Occurring (High, Medium, Low)	How can we prevent or mitigate the Risk?

These gauges can be copied into the Risk Register as visuals to identify the Likelihood, Probability, Risk Impact, and Risk Rating. They can be resized if required.



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