



Capacity Assessment Tool



Vuntut Gwitchin Government

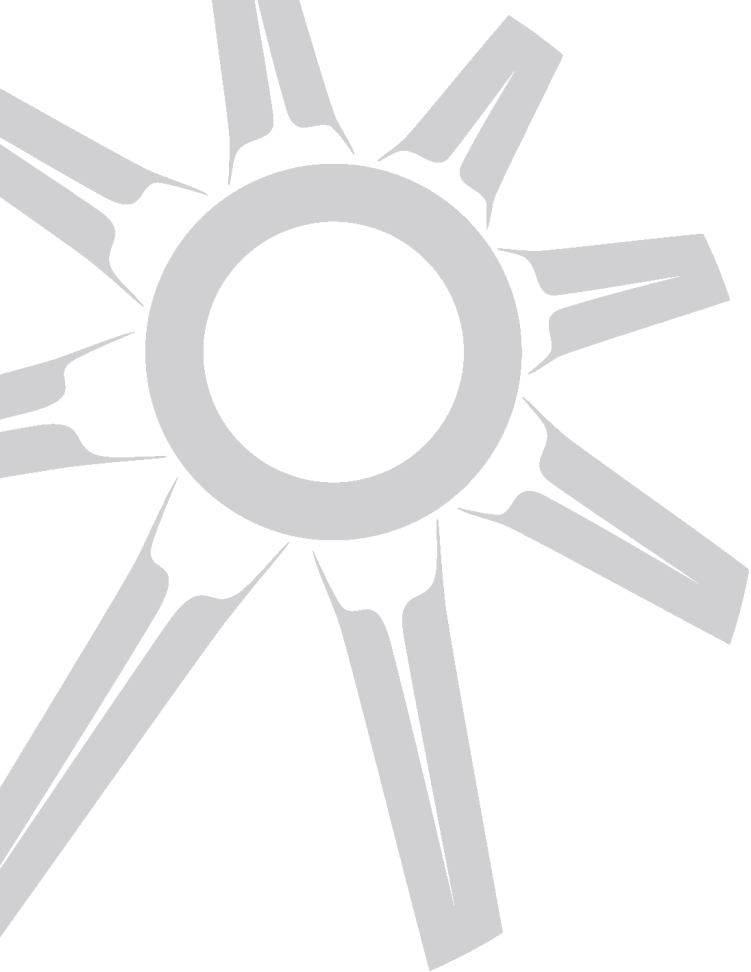


Carcross/Tagish First Nation



© 2013 Government of Yukon all rights reserved

All materials, content and forms contained in this document/website are property of Yukon Government and may not be copied, reproduced, distributed or displayed without Government of Yukon's express written permission.



Capacity Assessment Tool

The Government of Yukon along with Carcross/Tagish First Nation, Kwanlin Dün First Nation and Vuntut Gwitchin First Nation supported the development of this tool.



Acknowledgements

Thank you to the following supporters and contributors:

First Nation Governments

- Carcross/Tagish First Nation, Heritage, Lands and Natural Resources
- Champagne and Aishihik First Nations
- Kwanlin Dün First Nation, Lands, Resources and Claims Implementation Department
- Vuntut Gwitchin First Nation

Government of Yukon

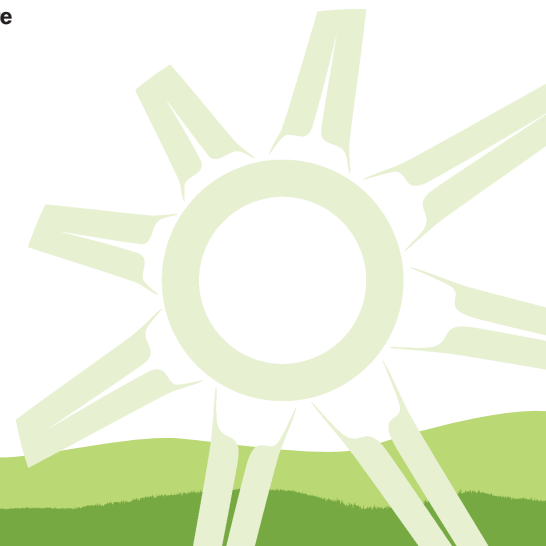
- Economic Development, Regional Economic Development
- Executive Council Office, Communications, Governance Liaison / Capacity Development, Land Claims Implementation Secretariat

Other

- Council of Yukon First Nations
- Aristotle's Rabbit, Anne Tayler
- Jeananne Lindstrom
- Publication design by Tarius Design, Whitehorse Yukon
- Website development by Subvert Marketing Inc.

TABLE OF CONTENTS

2	Introduction
3	SECTION 1
3	How to use the Tool
4	Why do a Capacity Assessment?
5	Recommendations for a Capacity Assessment Tool
9	SECTION 2
10	Determining a Facilitator
12	Capacity Assessment Terms of Reference
18	Facilitator's Preparation
31	SECTION 3
32	Understanding the Department
44	Departmental and External Levels
45	Departmental Level
60	External Level
64	SECTION 4
65	Information Gathering Process
67	Reporting
67	Next Steps
68	SECTION 5
69	Implement Recommendations
76	SECTION 6
77	Evaluate
80	SECTION 7
80	Appendix A: Definitions
82	Appendix B: Worksheets
117	Appendix C: Checklists
121	Appendix D: Confidentiality Template
122	Appendix E: Resources
125	Appendix F: Photo Credits



Introduction

This is a made-in-Yukon capacity assessment tool recognizing the unique Yukon governance landscape. It is based on local First Nation knowledge and recommendations, and on existing capacity assessment tools. It is designed to be an informative and practical tool that can be used at the departmental level within a government.

This tool was developed based on the recommendations from the Carcross/Tagish First Nation, Kwanlin Dün First Nation, and Vuntut Gwitchin First Nation governments.

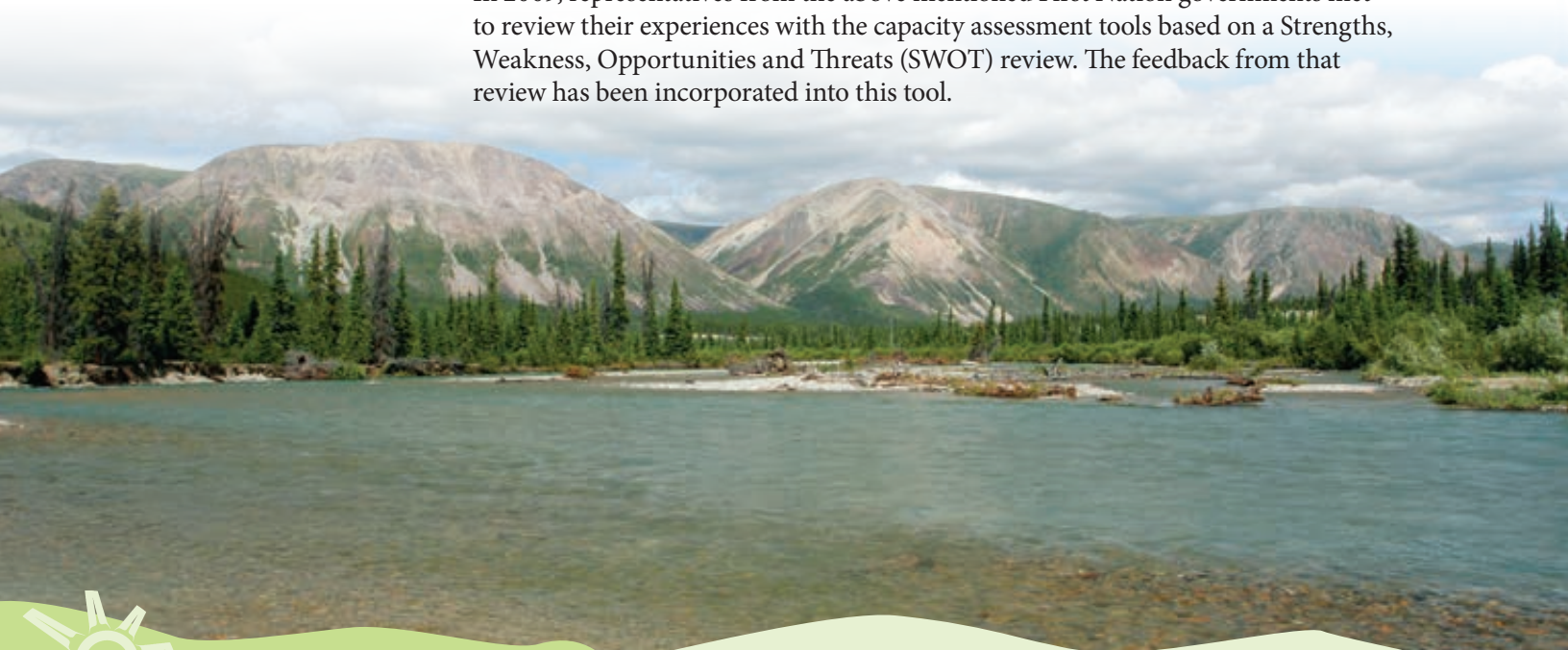
This assessment tool is just one of many ways to approach capacity assessment. The needs and circumstances of the department should determine the direction of the capacity assessment. If the process suggested in this tool is not appropriate in certain circumstances, or if it is not a good fit for a particular department, this tool can be modified and there are a number of other approaches available. (See Appendix E, page 122.)

Background

In 2006-07, the Carcross/Tagish First Nation, Kwanlin Dün First Nation, and Vuntut Gwitchin First Nation participated in a capacity assessment of their lands, heritage and natural resource departments funded through the Regional Economic Development branch of the Government of Yukon.

In 2007, the Government of Yukon, in partnership with the above mentioned three First Nation governments, successfully received Northern Strategy funding for the Capacity Assessment and Development for a First Nation Lands and Resources Management and Development Project. This tool is created out of the recommendations from this project and existing capacity assessments.

In 2009, representatives from the above mentioned First Nation governments met to review their experiences with the capacity assessment tools based on a Strengths, Weakness, Opportunities and Threats (SWOT) review. The feedback from that review has been incorporated into this tool.



SECTION 1

How to use the Tool

There are five steps to consider and each step guides the department through a capacity assessment process.

- 1. Organize and Plan:** this step helps with planning before conducting the assessment. It also involves determining and identifying a facilitator.
- 2. Conduct Capacity Assessment:** this step is work you need to do to complete a capacity assessment.
- 3. Summarize and Interpret Results:** this step pulls all the information gathered into one organized document.
- 4. Implement Recommendations:** this step moves actions forward and helps determine who is responsible for those actions.
- 5. Evaluate:** this step allows participants to evaluate the assessment and determine how well it worked for the department.

The tool also provides the following:

- Definitions (See Appendix A, page 80.)
- Worksheets (See Appendix B, page 82.)
- Checklists (See Appendix C, page 117.)
- Confidentiality template (See Appendix D, page 121.)
- Resource list (See Appendix E, page 122.)
- Photo credits (See Appendix F, page 125.)

***Please note:** Photocopying the forms before using is recommended to get the most use from the worksheets and checklists.*



Why do a Capacity Assessment?

Capacity

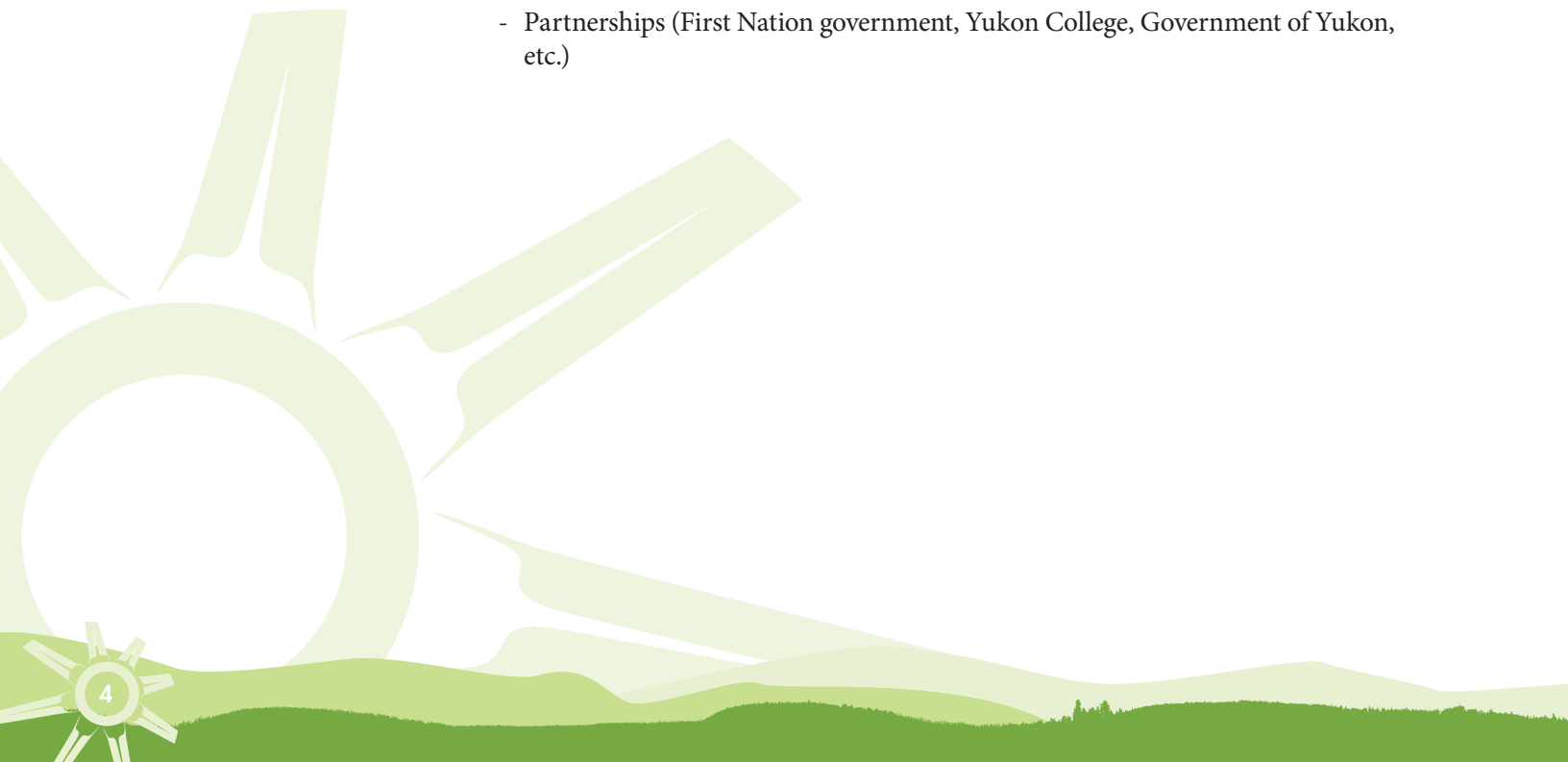
Capacity is the power of a person, system or government to perform or produce. It is the ability of individuals or government units such as departments, to perform functions successfully.

Capacity Assessment

Capacity assessment is a process to determine the existing ability of the government and its ability to perform required government functions.

The findings of a capacity assessment process can be the foundation for any of the following:

- To inform future planning:
 - Strategic plan
 - Budget plan
 - Work plan
- To identify requirements for departmental realignment (to meet goals and objectives of a strategic plan) operations, improvements or areas of strength:
 - Staff
 - Skills
 - Departmental knowledge
- To plan for future change:
 - Transition
 - Succession planning
 - Reorganization
 - Project planning
 - Enhance staff training
 - Educational
 - Partnerships (First Nation government, Yukon College, Government of Yukon, etc.)



Recommendations for a Capacity Assessment Tool

These recommendations were identified through the experience of the Carcross/Tagish First Nation, Kwanlin Dün First Nation and Vuntut Gwitchin First Nation.

1. Organize and Plan

- It is helpful to have a strategic plan in place before beginning the capacity assessment. Capacity development planning is a clear link between budget, work and strategic planning. A strategy is helpful in understanding the priorities and vision for the future of the department. If a strategic plan is not in place, it may be advisable to complete one before conducting a capacity assessment.
- It is a good idea to clearly communicate the purpose of the capacity assessment.
 - Why it is taking place?
 - Who will use the findings?
 - How will the findings be presented?
- It is a good idea to involve key employees throughout the process.
 - To develop the terms of reference and work plan
 - To review workshop agendas and the final report

This may increase understanding and help develop a sense of ownership of the process

- It is recommended to critically review who will conduct the assessment.
 - An internal employee
 - A consultant
- It is helpful to consider how you want to use these findings, and how you might be able to implement what you have learned. Below are a few areas to consider.
 - To inform future planning
 - To identify requirements for departmental change (to meet goals and objectives of a strategic plan) operations, improvements or areas of strength
 - To plan for future change

Feedback from the three pilot projects indicate a preference for an external consultant, who is familiar with the government, to undertake the assessment. There are pros and cons to each approach and proper design of the assessment can maximize the pros and minimize the cons. See Page 10 for further detail.

2. Conduct Capacity Assessment

Participation

Capacity assessments are commonly done at the department level because there can be more flexibility over what happens within the department. However, the assessment process may benefit from considering external influences: *the external level*. This broader viewpoint considers activities of the department that can be influenced by the activities or priorities of the rest of government (other departments, political leadership/council, etc.), community (Elders Council, Youth Council and Housing Committee, etc.), First Nation governments, other governments, businesses and non-government and non-profit organizations.

Level

A capacity assessment can analyze two levels

1. Department Level
2. External Level (other areas of your government, community, First Nation governments, development corporations, other governments, businesses and non-government organizations)

3. Summarize and Interpret Results

- It is helpful to provide participants with post-assessment feedback to acknowledge their efforts and learn about the capacity assessment findings.
- It is beneficial to present the findings simply and concisely. Keep recommendations realistic. If aggressive long-term goals are identified, it is helpful to develop a step-by-step process to support reaching these goals.
- It is useful to follow up with employees and management immediately after the assessment to discuss the findings and identify implementation strategies for any action items.

4. Implement Recommendations

- It is helpful for departments to dedicate time and resources to fully benefit from the assessment's research, analysis and recommendations. Using capacity assessment recommendations in everyday planning, practice and priority setting can support departmental success.
- Prioritizing recommendations, and developing a work plan, which might include allocating responsibilities, timelines, etc., to support implementation of your assessment findings, could be used to ensure the work from the assessment moves forward.



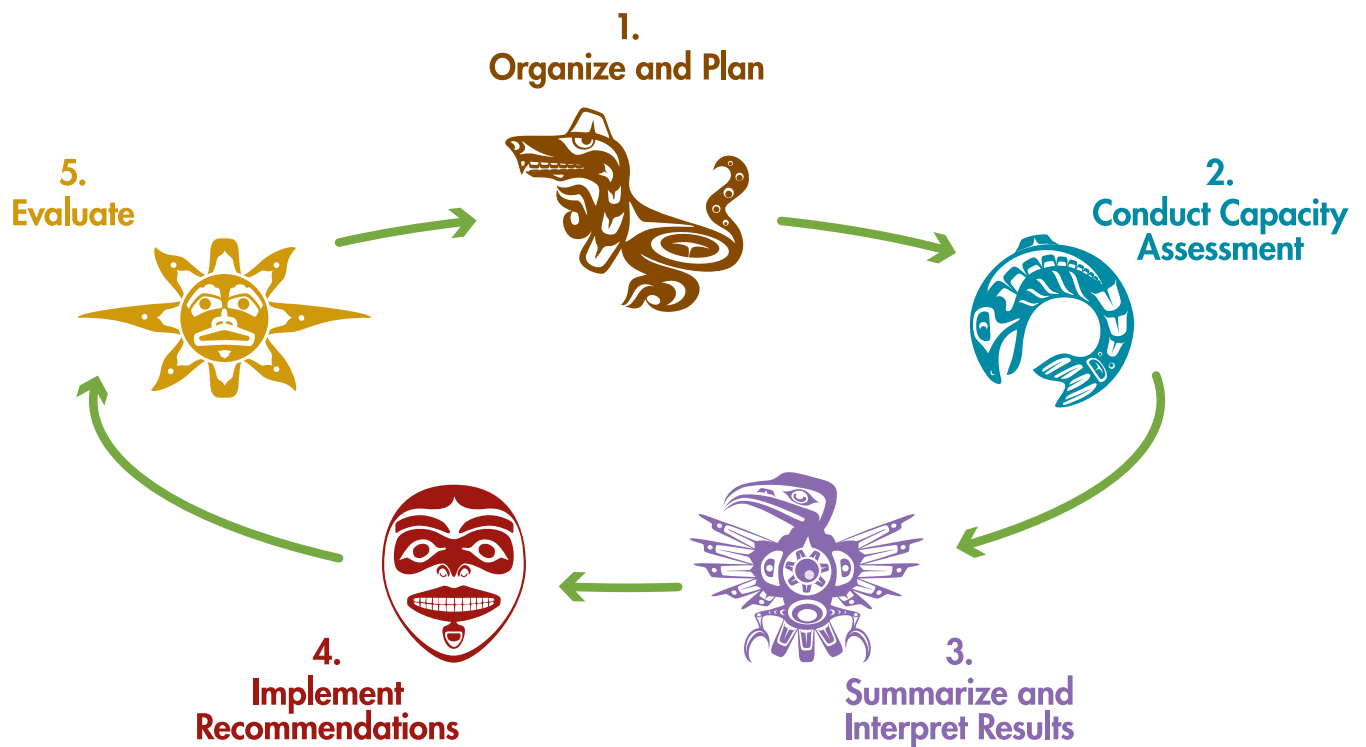
- A department could be committed to a regular review of their capacity assessment and to making minor adjustments as the department develops. Full capacity assessments can be undertaken whenever the department, or the government as a whole, has a critical shift in direction, planning or decision making.

5. Evaluate

- It is helpful to evaluate the implemented recommendations to ensure these meet the purpose of the capacity assessment and to determine its success.
- This step may complete the cycle or may prompt a review of the assessment.
- An evaluation could also be done at the end of projects, end of fiscal year, the next staff meeting, etc.

Figure 1.

CYCLE OF A CAPACITY ASSESSMENT







SECTION 2

Organize and Plan

- Determining a Facilitator
- Capacity Assessment Terms of Reference
- Facilitator's Preparation
 - Title for capacity assessment
 - Purpose for capacity assessment
 - Determining participants
 - Information gathering



Determining a Facilitator

A facilitator is someone who helps a group of people understand their common objectives and assists them in planning and achieving these without taking a particular position in the discussion. This individual should have the skills and attitude to draw out views from a broad range of participants.

Facilitator

This capacity assessment tool is best used with the assistance of an external facilitator. This individual should have the skills and attitude to draw out views from a broad range of participants. It is helpful if the facilitator is familiar with the department's responsibilities and with the community. To assist the facilitator with this understanding, a summary of the department can be completed beforehand. This might include any of the following:

- Past reports
- Financial, project, strategic and departmental plans
- Capacity assessments
- Vision, mission and mandate
- Direct observations

Employee or consultant

Who will facilitate and take on the assessment? If an employee, do they have the time and training to undertake the work? What training do they need? If a consultant is hired, is there funding and time available to manage the contract? As mentioned in the recommendations by the three First Nation governments, there are pros and cons to each approach and proper design of the assessment can maximize the pros and minimize the cons.

Pros and cons of hiring a consultant

Pros	CONS
<ul style="list-style-type: none"> • Impartial to department • New perspective • Less drain on department's capacity • Could be hired to provide capacity mentorship for department • No need to backfill behind employee • Dedicated time to commit to project • People may be more honest or direct with their feedback (presuming confidentiality plan or agreement is in place). (See Appendix D, page 121) 	<ul style="list-style-type: none"> • Increase costs • May lack department or community knowledge

There is no one answer that fits every department. The department may want to reduce costs by hiring a consultant for parts of the assessment such as facilitating a staff retreat or conducting the information-gathering phase.

If an employee is chosen, their position can be backfilled to ensure they have dedicated time for the capacity assessment to facilitate a successful outcome.

Determining a facilitator worksheet

LIST OF POSSIBLE FACILITATORS	PROS	CONS
<input type="checkbox"/> Staff <input type="checkbox"/> Consultant		
<input type="checkbox"/> Staff <input type="checkbox"/> Consultant		
<input type="checkbox"/> Staff <input type="checkbox"/> Consultant		
<input type="checkbox"/> Staff <input type="checkbox"/> Consultant		
<input type="checkbox"/> Staff <input type="checkbox"/> Consultant		
<input type="checkbox"/> Staff <input type="checkbox"/> Consultant		

(See Appendix B, page 111 for blank question and answer sheet)

Capacity Assessment Terms of Reference

Terms of reference help guide the project. Creating a terms of reference is one of the most important elements of a capacity assessment process. The terms of reference provides the basis for work that needs to be completed, tools and resources required and where these will come from and how the project will be completed.

Title

A title for the capacity assessment should be identified. The title might have the department's name and include the area being assessed.

Purpose

The first step in planning a capacity assessment process is to determine why the department wants to do an assessment.

- To inform future planning:
 - Strategic plan
 - Budget plan
 - Work plan
- To identify requirements for departmental realignment (to meet goals and objectives of a strategic plan) operations, improvements or areas of strength:
 - Employee
 - Skills
 - Departmental knowledge
- To plan for future change:
 - Transition
 - Succession planning
 - Reorganization
 - Project planning
 - Enhance staff training
 - Educational
 - Partnerships (First Nation government, Yukon College, Government of Yukon, etc.)

The terms of reference could also be completed by the facilitator.

Communication

- How will the information be gathered and shared?
- The exchange of information both formal and informal can provide a better understanding of the process and involvement among participants. You may also need to consider how you will be communicating externally to the participants such as chief and council, the community, other departments, etc.

Feedback options

- How will feedback be provided?
- Who is the feedback being provided to?
- At what stages will participants be providing feedback? (after the information has been grouped, before the final report is completed, etc.)

Confidentiality

- How will the data collected remain confidential?
- Will a confidentiality agreement be signed? (See Appendix D, page 121.)
- It is recommended to take steps to protect the privacy of participants with the information that has been shared by them and the facilitator.

Roles and responsibilities

- Who will be doing what? Are these roles and responsibilities clearly written out?

Deliverables

- What are the items that will be produced from the capacity assessment?

Influences

- What are some of the factors to consider that might support or delay the capacity assessment? These could be departmental changes and decisions, staff turnover, project timelines changing, etc.

Cost, budget and resources

- What is the estimated cost and where will the funding come from? Are there additional resources required such as office space, meeting rooms, printing, etc.?

Work plan

- What will the schedule look like and what is the timeline? The facilitator should consider the time required to prepare for all stages of the process.
- What might be some tasks that could be done before conducting the capacity assessment to ensure there is sufficient time allocated to the process? The process may involve a two or three day workshop, individual interviews, surveys, etc.

For a capacity assessment to be useful, clear goals and objectives should be identified.

Terms of reference worksheet

<p>TITLE Write the official title for this assessment.</p>	
<p>PURPOSE, GOAL OR RATIONALE Define the purpose and the reason for the capacity assessment.</p>	
<p>COMMUNICATION List the communication methods.</p> <ul style="list-style-type: none"> • Interviews • Focus Groups • Surveys • Retreats 	
<p>FEEDBACK OPTIONS List the feedback methods.</p> <ul style="list-style-type: none"> • Interviews • Surveys • Focus Groups • Retreats • Meetings 	
<p>CONFIDENTIALITY</p> <ul style="list-style-type: none"> • Explain how confidentiality will be maintained with the compiled data. • Explain how this information will be communicated to the participants. 	

ROLES AND RESPONSIBILITIES Define and list who will be involved and their roles and responsibilities.	
DELIVERABLES List the deliverables. <ul style="list-style-type: none">• Reports• Work plans• Data analysis• Data storage• Recommendations• Research	
INFLUENCES List influences or factors that may support or delay the assessment. <ul style="list-style-type: none">• Budget restraints• Departmental change• Staff turnover• Project timelines, etc.	
COST, BUDGET AND RESOURCES <ul style="list-style-type: none">• Provide an estimated cost.• Identify a budget source.• List other required resources.	
WORK PLAN Develop a work plan.	





Facilitator's Preparation

Title of the capacity assessment

The title for the capacity assessment will reflect the scope and purpose of the process. The title will include the name of the department and the specific need. In short, the title will state what area will be assessed, and why it will be assessed.

Title worksheet

TITLE OF THE CAPACITY ASSESSMENT	

Purpose for the capacity assessment

Specify the purpose of the assessment. The following words may help capture the purpose of the assessment.

- To increase
- To improve
- To develop
- To advance

Purpose worksheet

PURPOSE FOR THE CAPACITY ASSESSMENT

Determining the participants

Employees can provide information about the performance of the department as it relates to capacity. This may also support a sense of ownership of the process.

List the participants and their position within the department in the table below.

Participants worksheet

PARTICIPANTS	POSITION WITHIN DEPARTMENT

Information gathering: methods to gather Information

There are several methods that can be used to gather information from the participants. It is important to explain that information gathered will be kept confidential and reporting this information will not be recorded word for word. This step should be taken to protect the privacy of participants.

Below are some suggested methods for gathering information.

- Direct observation
- Interviews
- Survey or questionnaires
- Group approaches:
 - Focus groups
 - Employee circles
 - Meetings
- E-Tools - email, website, facebook, etc.
- Documentation and verbal accounts review:
 - Summary of findings from previous reports and assessments
 - Job descriptions
 - Historical verbal accounts
 - Operational frameworks
 - Strategic plans and work plans
 - Policy, program and service reviews
 - Agreements and memoranda of understanding with partners
 - Annual reports



Methods to gather information worksheet

Identify the methods and details being used for this assessment.

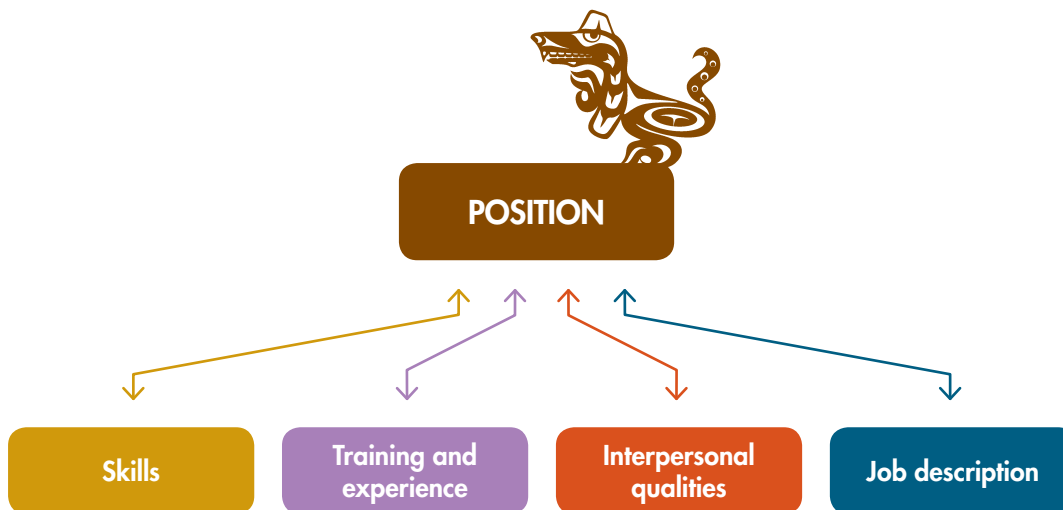
METHOD	DETAILS
Direct observation	
Interviews	
Surveys and questionnaires	
Group approaches	
E-Tools	
Documentation and verbal accounts review	

Information gathering: positions and skills required to get the job done

Depending on the department's need, the background/ gathering information may include looking at the positions and the skills required to carry out the function of the department. The facilitator will want to gather this information from the department ahead of conducting the assessment.

Position requirement includes the skills, training, experience and personal suitability or "interpersonal" qualities that are required for certain positions. This capacity assessment focuses on the capacities required for the position rather than on the individual in the position.

- Skills
- Training and experience
- Interpersonal qualities
- Job description



Skills

Examples of skills that might be required in a certain job position

- Organizational skills
- Facilitation skills
- Technical skills
- Communication skills
- Leadership skills
- Management skills

Positions and skills required worksheet

What skills are required to perform this particular job well?

POSITION	SKILLS REQUIRED

What are the training, knowledge or experience required to perform a particular job well?

Training, Knowledge and Experience

- First Nation government structure knowledge
- Department knowledge
- Culture knowledge
- Community knowledge
- Project management experience
- Education (certifications, college diploma, university degree)



TRAINING KNOWLEDGE AND EXPERIENCE NEEDED FOR POSITION



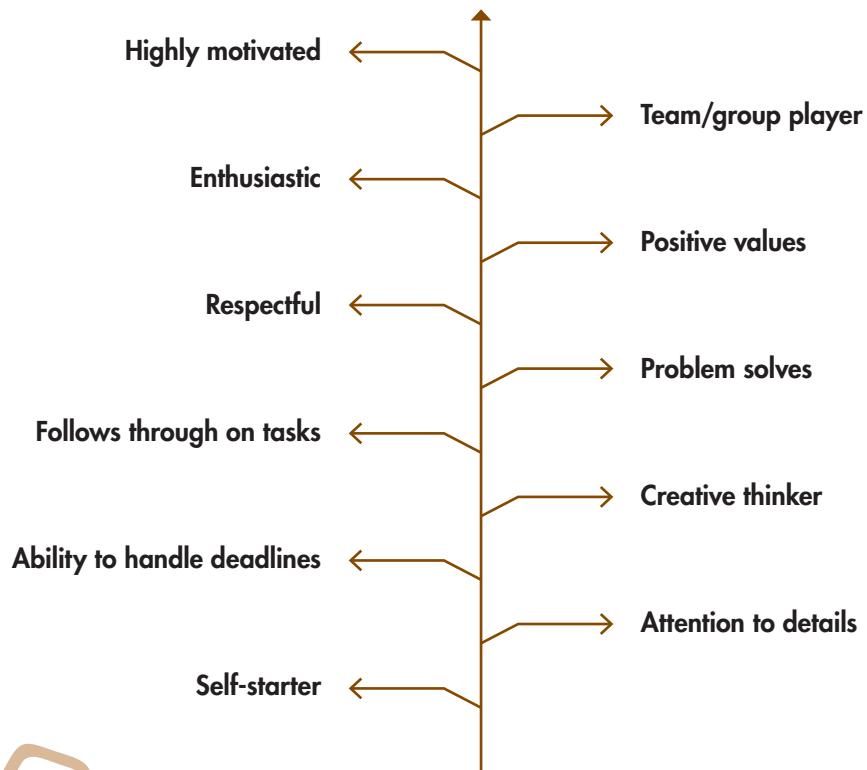
First Nation government structure knowledge worksheet

What is the First Nation government structure knowledge required for this particular job?

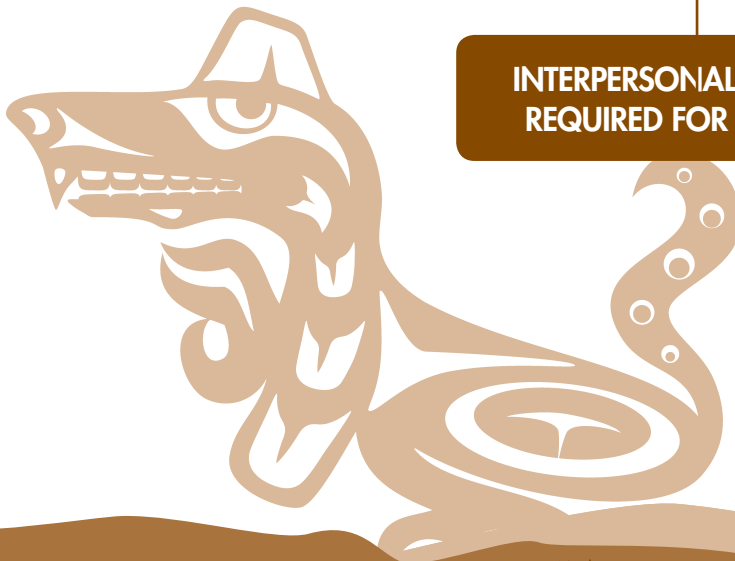
POSITION	FIRST NATION GOVERNMENT STRUCTURE KNOWLEDGE

Interpersonal Qualities

- Highly motivated
- Team/group player
- Enthusiastic
- Positive values
- Respectful
- Problem solves
- Follows through on tasks
- Creative thinker
- Ability to handle critical deadlines
- Attention to details
- Self-starter



**INTERPERSONAL QUALITIES
REQUIRED FOR POSITION**



Interpersonal qualities worksheet

What are the interpersonal qualities required to perform this job?

POSITION	INTERPERSONAL QUALITIES REQUIRED

Job description summary worksheet

Are the current duties correctly reflected in the department's job descriptions?

Do the job descriptions reflect the department's mandate?

POSITION	DUTIES REQUIRED
KEY ISSUES AND COMMENTS	

POSITION	DUTIES REQUIRED
KEY ISSUES AND COMMENTS	

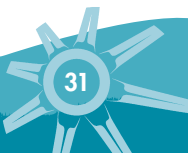




SECTION 3

Conduct Capacity Assessment

- Understanding the Department
- Departmental and External Levels



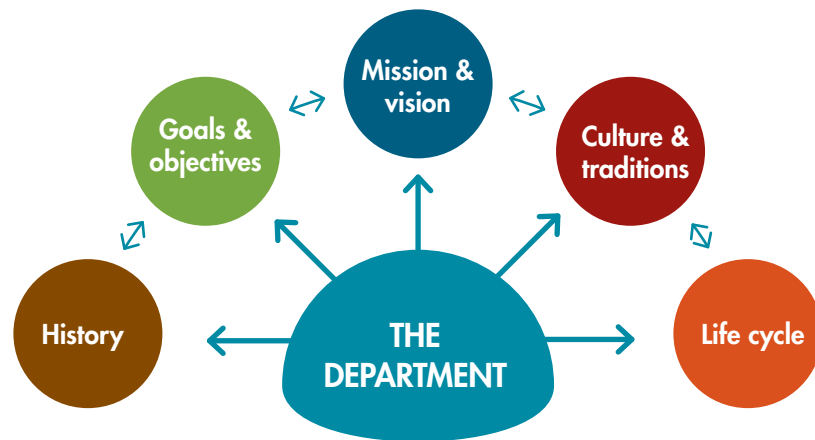
Understanding the Department

To understand capacity assessment, it helps to understand how capacity assessment fits into the overall picture of capacity development and to get a sense of where capacity actually exists within the department.

Every department is unique and has been established for specific reasons. To understand the department it may be helpful to consider the following:

- History
- Goals and objectives
- Mission and vision
- Culture and traditions
- Life cycle

A department's history provides a story of why it was created, the milestones, successes, major changes, challenges and other events that may have taken place. This history could be gathered from both oral and written sources.



History worksheet

What are the main milestones, successes, major changes, challenges and other relevant events in the history of the department?

MILESTONES	
SUCCESSES	
MAJOR CHANGES	
CHALLENGES	
OTHER	

(See Appendix B, page 111 for blank question and answer sheet)

Goals and objectives

Goals describe future expected outcomes or desires of the department. They provide program direction. They focus on the end result rather than the process to get to the result.

Objectives are clear, realistic, specific, measurable, and time-limited, statements of action which when completed will move towards a goal. Objectives explain how to meet a goal.

The department's strategic plan can guide this understanding.

EXAMPLES:

Department goal

- Develop a land and resource management regime on settlement land

Department objective

- Research existing land management regimes



Goals and objectives worksheets

Identify the goals and objectives of the department.

Goal 1	
Objective 1	
Comments	

Goal 2	
Objective 2	
Comments	

Goal 3	
Objective 3	
Comments	

Mission/vision (optional)

Think about how the mission or vision influences or determines the activities of the department.

Do the various areas and employees within the department follow the mission or vision? Is the mission or vision used or considered when developing or implementing projects and programs? It is helpful for employees to be aware of, and understand the mission or vision and how they contribute towards achieving these.

- Projects
- Program delivery
- Program development
- Program structure
- Program implementation

Some departments may not have this established yet or may be using this tool to develop a mission or vision. The section is optional for that reason.



Mission/vision worksheets (1 sheet)

What is the department’s mission/vision?

DEPARTMENT’S MISSION/VISION STATEMENT

To what extent does the department reflect the mission or vision when developing programs and projects?

PROGRAMS AND PROJECTS	DETAILS

Culture and traditions (optional)

What are some of the cultures and traditions or governance structures of your First Nation government? Example: respect/care for environment, healthy community, family, traditional First Nation governance structure, etc.



Culture and traditions worksheets

What is the culture and some of the traditions of your government?

How might these impact your department?

Culture	
Tradition(s)	
Impact details	

Culture	
Tradition(s)	
Impact details	

Culture	
Tradition(s)	
Impact details	

Life cycle

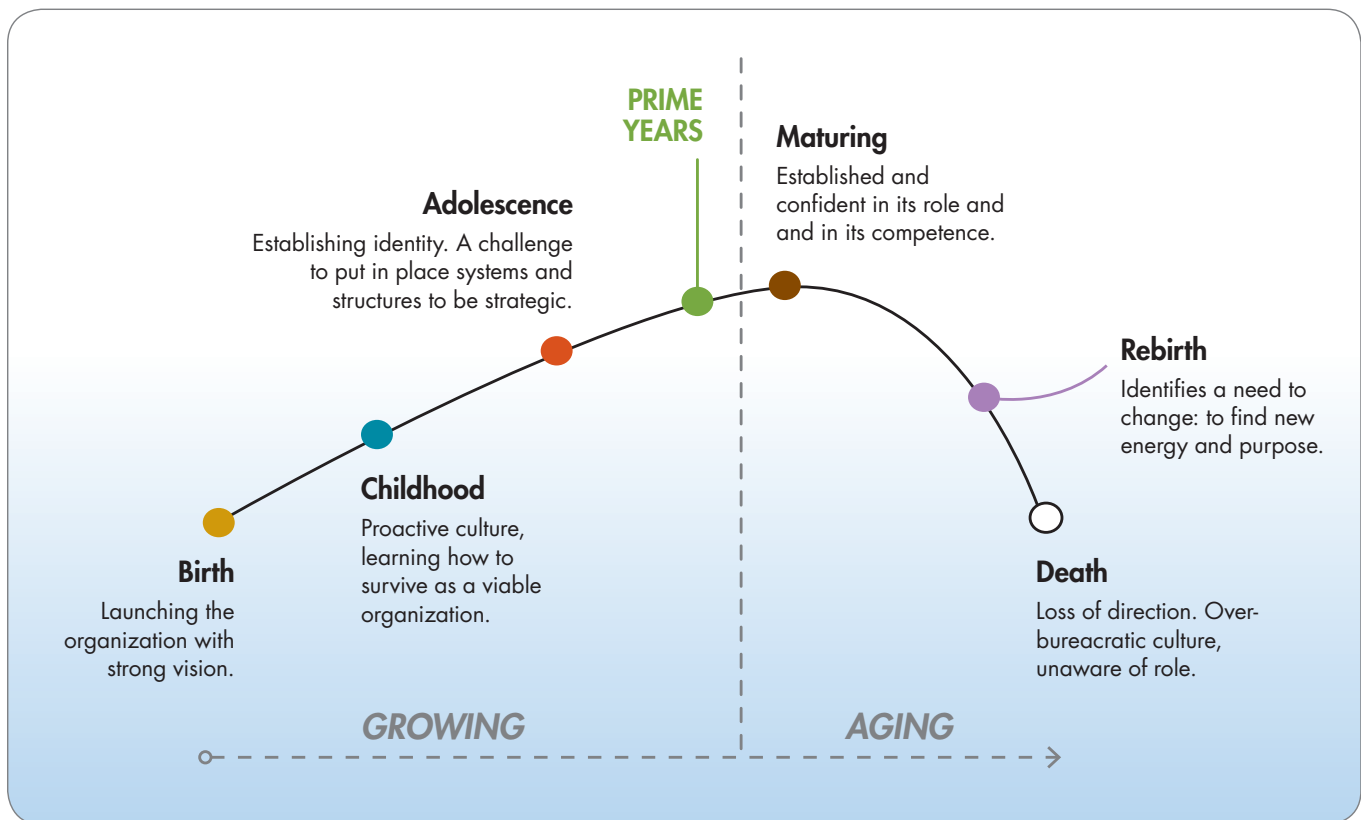
It is important to consider the life cycle of the department. Every department – and the areas within – go through cycles the same as governments, non-profit organizations, agencies, corporations and businesses.

Being informed on where the department fits within the government will help to understand the culture, the pressures and the forces influencing or limiting change.

Knowing where the department fits on the diagram below provides further understanding for a capacity assessment.

Life cycle worksheet (2 sheets)

Where do you think your department is on the life cycle? Mark the spot on the diagram.



Summarize how capacity assessment might be affected by the position of your department along the life-cycle line.

LIFE CYCLE STAGE	DETAILS

Departmental description summary worksheet

DEPARTMENT	
HISTORY	
GOALS AND OBJECTIVES	
MISSION/ VISION	
CULTURE AND TRADITIONS	
LIFE CYCLE	



Departmental and External Levels

The department often does not have control over the external level. However, identifying and understanding how it affects and influences the department is important.

There are a variety of areas where capacity can be reviewed in the department.

- **Departmental Level** - policies, procedures and management in the department

There are areas that may impact or influence capacity.

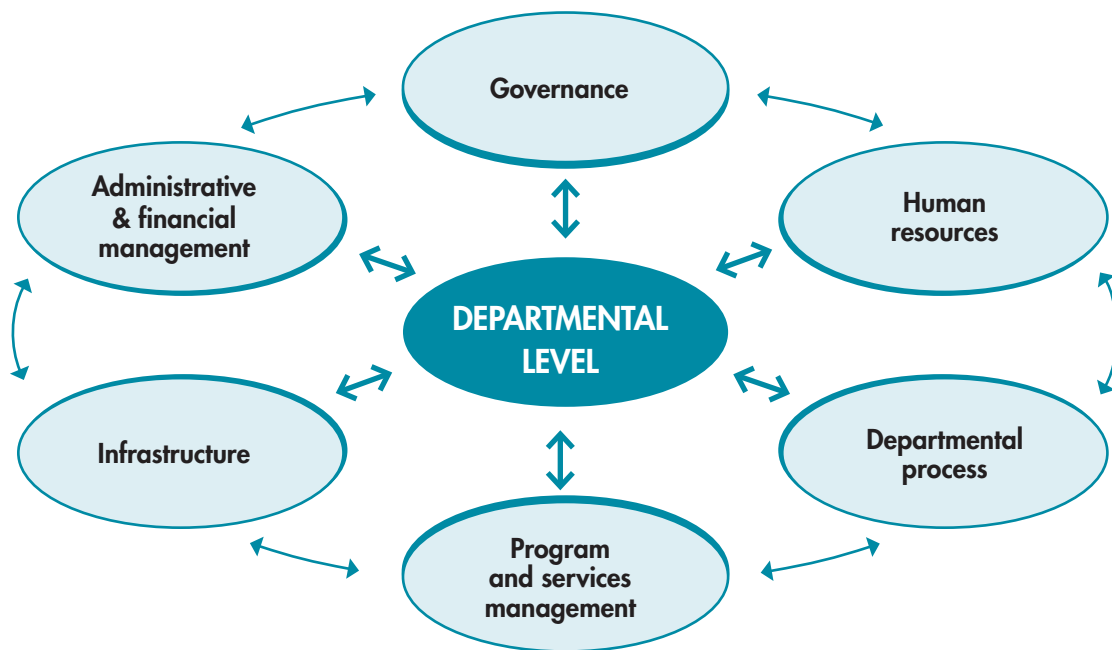
- **External Level** - influence of the broader government and external parties or relationships



Departmental Level

Departmental capacity can be assessed in the following areas. Not all areas have to be assessed and can be grouped together. For example, department process, and program and service management could be paired.

- Governance
- Administrative and financial management
- Human resources
- Infrastructure
- Program and services management
- Departmental process



Governance

Governance provides structured direction for a department to successfully operate. It provides the department with the means and structure to plan, develop and implement its programs. Governance is what the government does. Questions can be added or removed as necessary.

Governance worksheets (4 Sheets)

Questions can be added or removed for the areas.

GOVERNANCE QUESTIONS TO CONSIDER	RESPONSES
Does the departmental structure facilitate or delay movement towards the goals and objectives of your department?	
Identify the ways in which the departmental structure facilitates or delays that movement.	
To what extent does governance affect or impact the performance of your department?	
Describe how governance affects performance within your department.	

GOVERNANCE DOCUMENTATION QUESTIONS TO CONSIDER	RESPONSES
<p>Does your department have regulations, acts and policies in place that support what it does?</p>	<p></p> <p></p> <p></p> <p></p>
<p>List relevant documents.</p>	<p></p> <p></p> <p></p> <p></p>

GOVERNANCE TRANSITION QUESTIONS TO CONSIDER	RESPONSES
<p>To what extent does your department have plans in place to manage transitions effectively and smoothly?</p> <p><i>Note: Transition may impact the area of governance.</i></p>	<p></p> <p></p> <p></p> <p></p>

GOVERNANCE TRANSITION QUESTIONS TO CONSIDER	RESPONSES
<p>To what extent does new leadership understand the goals and various functions within your department?</p> <p><i>Note: Transition may impact the area of governance.</i></p>	<p></p> <p></p> <p></p> <p></p>

Administrative and financial management

Administrative and financial management is the department's established processes and procedures that support its ability to make informed decisions and allocate resources within a department including financial planning, financial accountability, financial statements and systems.

Administrative and financial management worksheets (4 sheets)

ADMINISTRATIVE QUESTIONS TO CONSIDER	RESPONSES
<p>To what extent does your department have processes and procedures in place for day-to-day operations? (organizational chart, filing system, operations manual, etc.)</p>	

PLANNING QUESTIONS TO CONSIDER	RESPONSES
<p>In what ways does your department carry out financial planning?</p>	
<p>Does your department's financial planning support the priorities of a strategic plan, policies or procedures?</p>	

ACCOUNTABILITY QUESTIONS TO CONSIDER	RESPONSES
<p>Is there regular reporting that is on time, updated, shared and audited?</p>	
<p>Does management review statements regularly and are employees trained to interpret financial information?</p>	

STATEMENT OF SYSTEMS QUESTIONS TO CONSIDER	RESPONSES
<p>Are there financial systems in place such as balance sheets, expense sheets, etc., that support the performance of the department?</p>	

Human Resources

The human resource function is responsible for ensuring that the government's staffing needs are met to achieve its goals and objectives. This function ensures the right person is in the right position and that employee needs are met through planning, staffing, development, recognition and the maintenance of effective relationships.

Human resources worksheets (3 sheets)

STAFFING QUESTIONS TO CONSIDER	RESPONSES
<p>Does your department have adequate staffing procedures such as hiring practices, job descriptions and new employee orientation to ensure that staffing needs are met?</p>	
<p>Does the department use creative or innovative methods to reach potential candidates and engage a broader cross-section of the workforce ? (targeted marketing, entry level training programs, job-sharing, flexible work arrangements, etc.)</p>	
<p>Does the department have a personnel policy, or other related human resource policies? (Collective Agreement, etc.)</p>	

STAFFING DEVELOPMENT QUESTIONS TO CONSIDER	RESPONSES
<p>Is there a training and development policy? Are employees encouraged to learn and develop? Does mentoring occur? If so, who does the mentoring? Is it formal or informal?</p>	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
<p>Is there a succession plan?</p>	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
<p>Is there a budget or other supports available for training for employee development?</p>	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/>

APPRAISING AND AWARDED EMPLOYEES QUESTIONS TO CONSIDER	RESPONSES
<p>What type of rewards or benefits does your department offer to employees? (sick leave, training for conferences, community dinner, employee events, time off for hunting, holidays, etc.)</p>	Multiple empty rows for responses
<p>Is there a clear relationship between performance and rewards?</p>	Multiple empty rows for responses
<p>Are your department's methods for employee assessment and rewards perceived as fair?</p>	Multiple empty rows for responses

Infrastructure

Infrastructure includes basic conditions in place for the department to function and do its work – including facilities management (buildings) and technology management.

Infrastructure worksheets (4 sheets)

FACILITIES QUESTIONS TO CONSIDER	RESPONSES
<p>Does your department’s buildings and offices support employee performance?</p>	

HOUSING QUESTIONS TO CONSIDER	RESPONSES
<p>Is there adequate housing available for employees?</p>	
<p>Does the housing meet the needs of the employee and families?</p>	

TECHNOLOGY QUESTIONS TO CONSIDER	RESPONSES
<p>To what extent do technological resources affect the performance of your department? (up-to-date computer programs, email, etc.)</p>	

IMPACTS OF TECHNOLOGY QUESTIONS TO CONSIDER	RESPONSES
<p>To what extent does technology have a direct or indirect impact on the department's ability to function? (e.g. email system is outdated making it difficult to communicate with outside parties)</p>	



Program and service management

Program and service management represents the main activity or responsibility of a particular department - including planning, implementing, and monitoring.

Program and service worksheets (4 sheets)

PLANNING QUESTIONS TO CONSIDER	RESPONSES
<p>To what extent does your department plan its programs/projects?</p>	
<p>Do programs and projects have plans that are linked to the department's priorities or strategies?</p>	
<p>Do the plans have policy support, timelines or budget? Are roles and responsibilities identified?</p>	

IMPLEMENTATION QUESTIONS TO CONSIDER	RESPONSES
<p>Do current policies support the delivery of programs and services?</p>	
<p>Are projects completed on time and on budget?</p>	
<p>To what extent does your department review and evaluate programs or projects?</p>	

EVALUATION QUESTIONS TO CONSIDER	RESPONSES
<p>Are there evaluation tools in place?</p>	Empty response area for the first question
<p>Explain the review and evaluation processes and list any evaluation tools.</p>	Empty response area for the second question

MONITORING QUESTIONS TO CONSIDER	RESPONSES
<p>To what extent does your department monitor its programs or projects? List and describe the various methods used.</p>	Empty response area for the first question
<p>Explain the monitoring process and list any tools.</p>	Empty response area for the second question



Departmental process

Established departmental processes and practices help a department with planning, problem-solving, decision-making, communicating information and evaluating. These various methods both contribute to stability and support change within the department.

Departmental process worksheets (2 sheets)

PROBLEM-SOLVING AND DECISION-MAKING QUESTIONS TO CONSIDER	RESPONSES
<p>To what extent does existing problem-solving and decision-making processes support your department and its functions?</p>	

COMMUNICATION QUESTIONS TO CONSIDER	RESPONSES
<p>Does your department's communication system effectively support its performance?</p>	
<p>Does information get passed along to all levels within the department?</p>	

External Level

The department is impacted or influenced by an external level. This could be internal to government (other departments, leadership, etc.), First Nation governments, development corporations, community, other governments, businesses and non-government organizations. This external level influences or impacts the department in different ways.

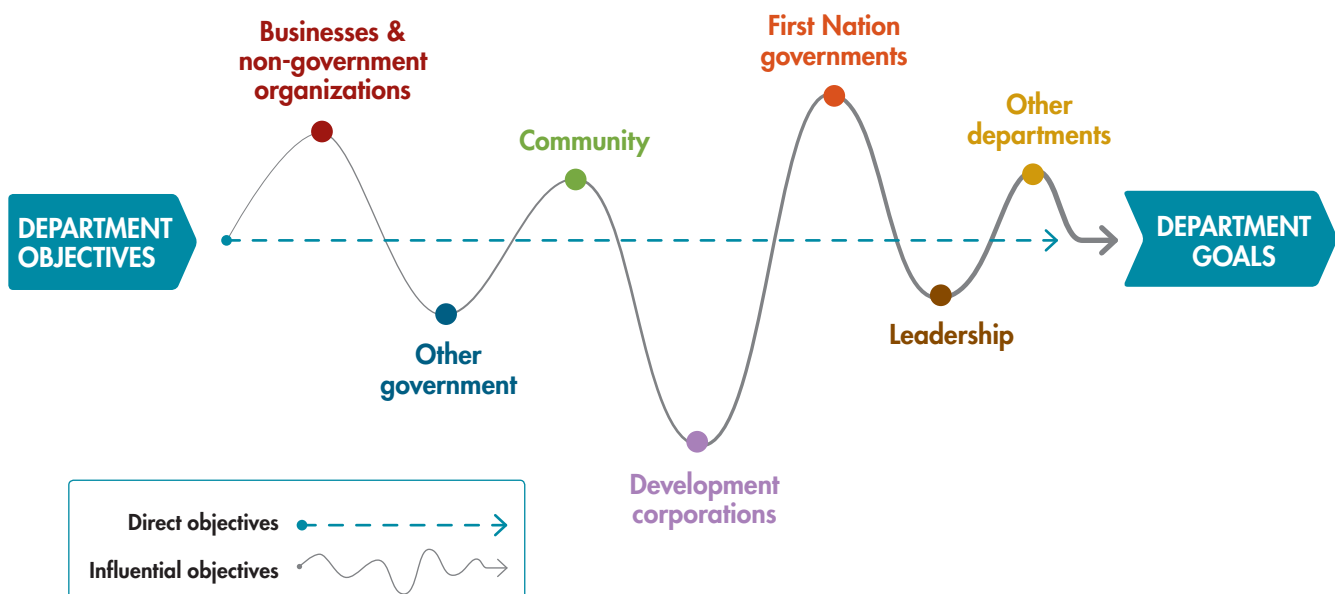
Below is a list of groups outside your department that may have influence on how your department operates.

- Leadership (chief and council, executive, etc.)
- Other departments
- Community
- First Nation governments
- Development corporations
- Other governments
- Businesses
- Non-government organizations
- Chamber of Commerce
- Yukon Association of Communities
- Yukon Conservation Society
- Renewable Resource Councils, etc.

The department may want to use this section for discussion purposes to gain an understanding of the external influences.

What impact does each group have on your department?

This could be related to other department's needs, new leadership, outside regulations, agreements, funding arrangements, economic partnerships, services provided by or to the department, etc.



Identifying and understanding worksheet

List the groups that impact or influence your department. Beside each group, indicate the impact(s).

GROUP	INFLUENCE OR IMPACT	LEVEL OF INFLUENCE
		<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low
COMMENTS		

GROUP	INFLUENCE OR IMPACT	LEVEL OF INFLUENCE
		<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low
COMMENTS		

Identifying challenges worksheet

GROUP	CHALLENGE	PRIORITY
		<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low
COMMENTS		

The department may need to recognize that feedback provided may or may not be helpful or add value to the assessment, therefore, this section may or may not be helpful. Some external groups may not be comfortable providing feedback or some may only provide positive feedback.





CARL
COF



SECTION 4

Summarize and Interpret Results

- Information gathering process
- Reporting
- Next steps



Information Gathering Process

To begin analysis of the data, establish a process for sorting and storing information that has been collected.

Themes

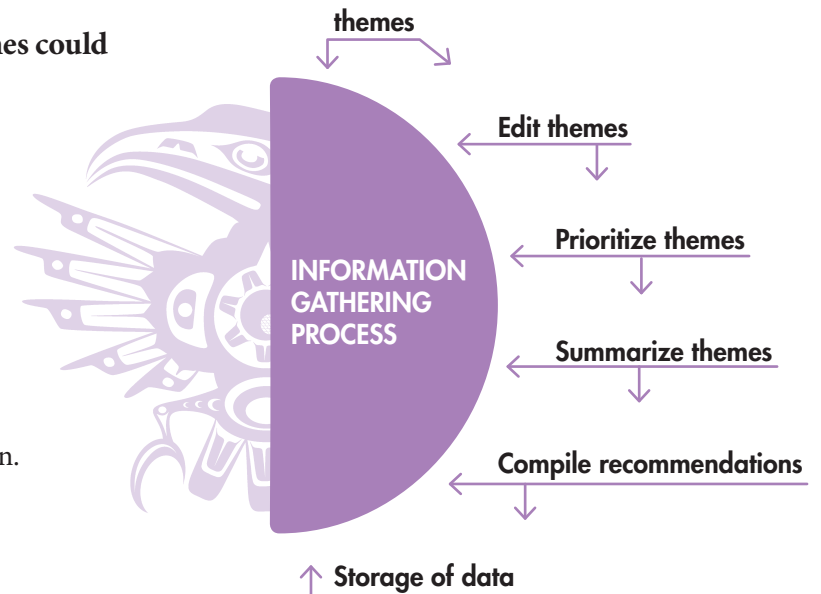
Group common themes. Examples of themes could be any of the following:

- Department/position
- Governance
- Communication
- Human resources
- Training and support
- Administration
- Financial structure
- Policy

Group sub-themes

This will assist in further sorting the information.
For example: financial structure

- budget planning and knowledge
- funding sources and constraints
- flow charts and procedures



Edit themes

- Eliminate duplication
- Create a balanced reflection of the information collected
- Set aside themes that are outside the scope of the assessment. This information can be noted at the end of the capacity assessment report and might be used to inform other development activities.
- Identify themes that reflect views from the majority of participants. For example, if 80 per cent of participants in the department identified shortfalls in human resource planning and the capacity for future and current needs, these issues might be a high priority
- Identify where there are differences and analyze if those differences have clear reasons or sources. For example, there could be clear differences between senior management and employee interpretation of decision-making methods.
- Identify any uncommon or extreme response. These may be unique to a particular individual or situation.

Prioritize themes

Priority can be the following:

- Based on purpose for doing assessment
- Drawn from previous strategic planning or priority setting exercises
- Drawn from work done during the planning and design phase of the capacity assessment process
- Based on common view of participants
- Based on clear differences identified between management and employee interpretations

Summarize themes

- Write a summary statement for each theme
- Select statements that are common
- Select comments to illustrate each theme, but avoid quoting word for word and extreme views
- Conceal and protect the identities of the participants

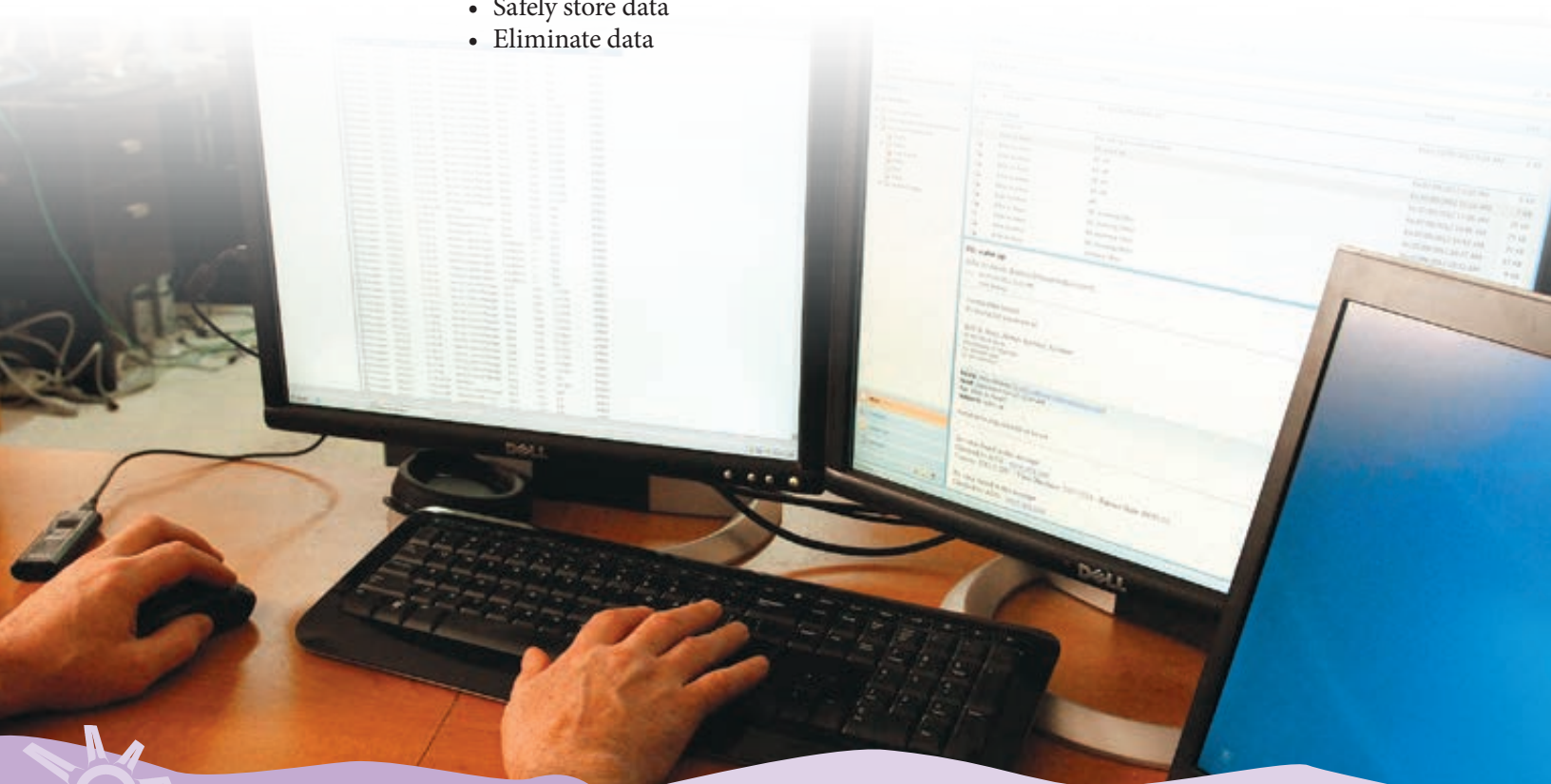
Compile recommendations (action items could also be identified at this stage)

- Summarize recommendations
- Group recommendations
- Write final recommendations

Storage of Data

After the assessment is completed, it may be helpful to do the following:

- Organize data
- Safely store data
- Eliminate data



Reporting

The final step in the capacity assessment process involves writing a report that can be shared with all participants.

Sample outline

- Introduction
- Background
- Title and purpose
- Summary of assessment
- Recommendations

The recommendations can inform an action plan. Rationale as to why some recommendations were not included could be reflected in the report.

Next Steps

If time and resources are available, the recommendations could be put into action plans to implement. The plans may contain the following information:

Identify a strategy

- Record recommendations
- Provide specific details and activities
- Identify objectives for each
- Identify resources to carry out the work (financial, human, policy and technology)
- Include progress markers or milestones and deliverables

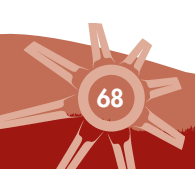
Identify the level of priority

- Name an individual or area to undertake the work and their partners
- Develop a work plan





SECTION 5
Implement
Recommendations



Implement Recommendations

Implementation is an important part of the capacity assessment process. Often, this stage is where the process fails. It may be a good idea to identify recommendations or actions that can be successfully completed.

Below are suggestions that can support implementation.

- People - Consider having the right people that have the required expertise and skills that are needed to support the plan.
- Resources - Determine if there are sufficient funds and enough time to support implementation.
- Structure - Consider having regular meetings to review the progress and to keep lines of communication open.
- Systems - Consider building milestones into the plan that are achieved within a specific timeframe.
- Culture - Consider ways to reinforce the importance of focusing on the goal of implementation of the recommendations or actions.

Although the implementation process focuses on implementing recommendations, it may be important to identify all current issues in the report, as these could be beneficial for future planning.



Recommendations or actions summary (example)

The recommendations from the capacity assessment can be implemented. Below are three draft examples that can be used to identify recommendations.

Recommendation #: 1		
RECOMMENDATIONS SUMMARY:		
AREA (Governance, Human Resources, etc.)	RECOMMENDATIONS OR ACTIONS	PRIORITY
Departmental Process	Internal communication protocol to be established.	<input type="checkbox"/> High <input checked="" type="checkbox"/> Medium <input type="checkbox"/> Low
COMMENTS	This area had the highest number of concerns.	

Recommendation #: 2		
RECOMMENDATIONS SUMMARY:		
AREA (Governance, Human Resources, etc.)	RECOMMENDATIONS OR ACTIONS	PRIORITY
Financial Management	Need to establish financial processes and tools to support the processes.	<input checked="" type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low
COMMENTS	Current financial processes don't support strategic plan.	

Recommendation #: 3

RECOMMENDATIONS SUMMARY:

AREA (Governance, Human Resources, etc.)	RECOMMENDATIONS OR ACTIONS	PRIORITY
Human Resources Training and Experience	Front line position requires good	<input checked="" type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low
	understanding of department history	
COMMENTS	New employees don't have a good understanding	
	of department's history.	

Recommendations or actions implementation summary (example)

The recommendations can be implemented. Below are the three draft examples from page 70 and 71 that illustrate a work plan for implementation.

Recommendation #: 1	
RECOMMENDATIONS IMPLEMENTATIONS SUMMARY:	
OBJECTIVES:	ACTIVITIES:
Establish internal communication protocol.	Current communications processes will be researched.
WHO IS INVOLVED:	TIMELINE:
Lead: communications officer	- January - First draft for Director's review
Partners: finance mgr., information technology officer, comms. officers	- May - Final draft for approval.
DELIVERABLES:	Presentation of new protocol to all employees. Guidelines written and approved.

Recommendation #: 2	
RECOMMENDATIONS IMPLEMENTATIONS SUMMARY:	
OBJECTIVES:	ACTIVITIES:
Change current financial processes to match strategic plan.	- Review current processes - Define new processes and map to strategic plan
WHO IS INVOLVED:	TIMELINE:
Lead: communications officer	- November - present draft to leadership
Partners: finance mgr., information technology mgr.	- February - present to leadership for approval.
DELIVERABLES:	New processes and new financial system.

Recommendation #: 3

RECOMMENDATIONS IMPLEMENTATIONS SUMMARY:

OBJECTIVES:		ACTIVITIES:	
Orientation to dept. introduction sessions and employee handbook		- Establish an orientation process for new employees	
		- deliver sessions with current staff	
WHO IS INVOLVED:		TIMELINE:	
Lead: human resources mgr., Partners: comms. officer		- December - Sessions start and handbook produced	
DELIVERABLES:		New employee handbook and established new-employee orientation sessions.	

Recommendations summary worksheet

Recommendation #:		
RECOMMENDATIONS SUMMARY:		
AREA (Governance, Human Resources, etc.)	RECOMMENDATIONS OR ACTIONS	PRIORITY
		<input type="checkbox"/> High
		<input type="checkbox"/> Medium
		<input type="checkbox"/> Low
COMMENTS		

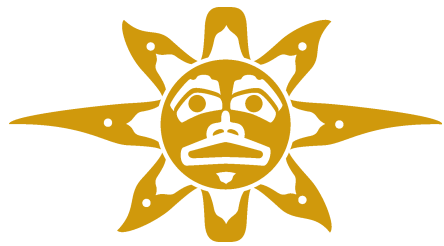
Implementation summary worksheet

Recommendation #:	
RECOMMENDATIONS IMPLEMENTATIONS SUMMARY:	
OBJECTIVES:	ACTIVITIES:
WHO IS INVOLVED:	TIMELINE:
DELIVERABLES:	

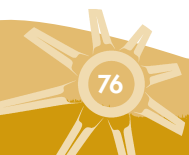
(See Appendix B, page 111 for blank question and answer sheet)

Deliverables summary worksheet

RECOMMENDATION #	DELIVERABLES SUMMARY:



SECTION 6
Evaluate



Evaluate

It is helpful to evaluate the capacity assessment and the implemented recommendations to ensure these meet the purpose of the capacity assessment and to determine its success. This step may complete the cycle or may prompt a review of the assessment. An evaluation could also be done at the end of a project, end of a fiscal year, or the next staff meeting, etc.

Below are some questions you might ask the team

Questions to ask following the assessment

- Was the capacity assessment purpose met?
- Were employees given the opportunity to review the report and provide input prior to finalizing?
- Were there follow-up meetings upon completion of the assessment?
- Was the assessment completed on time, within the budget?
- Were there additional resources required to complete assessment?
- Will it be reviewed? When will it be reviewed? (every six months, a transition, annual planning, etc.)

Questions to ask following the implementation of the recommendations

- Were the recommendations reasonable and practical for the department?
- Were the recommendations implemented successfully?
- Were targets or goals established for a review?
- Will it be used on an ongoing basis?

Question to ask when evaluating outcomes from the recommendations

- Does the final report reflect the capacity assessment accurately?
- Did the report include reasons why some recommendations were not included?





SECTION 7

Appendix A: Definitions

Capacity	Capacity is the power of a person, system or government to perform or produce. It is the ability of individuals or government units such as departments, to perform functions successfully.
Capacity Assessment	<p>Capacity assessment is a process to determine the existing capability of a position or government and its ability to perform key functions and to deliver expected outcomes. The findings of a capacity assessment process can be the foundation for any of the following:</p> <p>To inform future planning:</p> <ul style="list-style-type: none"> • Strategic plan • Budget plan • Work plan <p>To identify requirements for departmental realignment (to meet goals and objectives of a strategic plan), operations, improvements or areas of strength:</p> <ul style="list-style-type: none"> • Employee • Skills • Departmental knowledge <p>To plan for future changes:</p> <ul style="list-style-type: none"> • Transition • Succession planning • Reorganization • Project planning • Enhance employee training • Educational • Partnerships (First Nation government, Yukon College, Government of Yukon, etc.) <p>A capacity assessment may be undertaken as a structured approach to shifting or transitioning of individuals, teams, and governments.</p> <p>It could be a governmental process aimed at empowering employees to accept and embrace changes in their current work environment or determine if a department has the capacity to successfully take on new programs or projects.</p>
Facilitator	A facilitator is someone who helps a group of people understand their common objectives and assists them to plan to achieve them without taking a particular position in the discussion. This individual should have the skills and attitude to draw out views from a broad range of participants.
Governance	Governance is the act of governing. It relates to decisions that define expectations, authorize power, or verify performance. It consists of either a separate process or is part of a leadership or a management process. These processes and systems are typically administered by a government. To distinguish the term governance from government; “governance” is what a “government” does.

Governance Structures	<p>Governance structures are the tools that the government uses to organize itself and can include the following:</p> <ul style="list-style-type: none">• Political bodies (e.g. an elected assembly or a council of elders)• Administrative structures or arrangements (e.g. the executive branch of the government,)• Organizations that provide programs or services or manage community businesses• Community groups that influence decision making and the development of policy
Participants	<p>Individuals, who are identified, interviewed and who have information about the capacity of the department. These are the individuals taking part in the capacity assessment.</p>
Strategic Planning	<p>Strategic planning is a government's process of determining its direction and finding the best approach to achieve this goal.</p>



Appendix B: Worksheets

Worksheets section includes blank question and answer sheets, summary worksheets, blank terms of reference and blank checklists

Page	Worksheets
SECTION 2	
83	Determining a facilitator worksheet
84	Terms of reference worksheet
86	Title worksheet
87	Methods to gather information worksheet
88	Positions and skills required worksheet
89	First Nation government structure knowledge worksheet
90	Interpersonal qualities worksheet
91	Job description summary worksheet
SECTION 3	
92	History worksheet
93	Goals and objectives worksheet
94	Mission/vision worksheets (1 sheet)
95	Culture and traditions worksheet
96	Life cycle worksheet (2 sheets)
97	Departmental description summary worksheet
98	Governance worksheets (4 Sheets)
100	Administrative and financial management worksheets (4 sheets)
102	Human resources worksheets (3 sheets)
105	Infrastructure worksheets (4 sheets)
107	Program and service worksheets (4 sheets)
110	Departmental process worksheets (2 sheets)
111	Blank question and answer worksheet
112	Identifying and understanding worksheet
113	Identifying challenges worksheet
SECTION 5	
114	Recommendations summary worksheet
115	Implementation summary worksheet
116	Deliverables summary worksheet

Determining a facilitator worksheet

LIST OF POSSIBLE FACILITATORS	PROS	CONS
<input type="checkbox"/> Staff <input type="checkbox"/> Consultant		
<input type="checkbox"/> Staff <input type="checkbox"/> Consultant		
<input type="checkbox"/> Staff <input type="checkbox"/> Consultant		
<input type="checkbox"/> Staff <input type="checkbox"/> Consultant		
<input type="checkbox"/> Staff <input type="checkbox"/> Consultant		

Terms of reference worksheet

TITLE Write the official title for this assessment.	
PURPOSE, GOAL OR RATIONALE Define the purpose and the reason for the capacity assessment.	
COMMUNICATION List the communication methods. <ul style="list-style-type: none">• Interviews• Focus Groups• Surveys• Retreats	
FEEDBACK OPTIONS List the feedback methods. <ul style="list-style-type: none">• Interviews• Surveys• Focus Groups• Retreats• Meetings	
CONFIDENTIALITY <ul style="list-style-type: none">• Explain how confidentiality will be maintained with the compiled data.• Explain how this information will be communicated to the participants.	

ROLES AND RESPONSIBILITIES

Define and list who will be involved and their roles and responsibilities.

DELIVERABLES

List the deliverables.

- Reports
- Work plans
- Data analysis
- Data storage
- Recommendations
- Research

INFLUENCES

List influences or factors that may support or delay the assessment.

- Budget restraints
- Departmental change
- Staff turnover
- Project timelines, etc.

COST, BUDGET AND RESOURCES

- Provide an estimated cost.
- Identify a budget source.
- List other required resources.

WORK PLAN

Develop a work plan.

Title worksheet

TITLE OF THE CAPACITY ASSESSMENT

Purpose worksheet

PURPOSE FOR THE CAPACITY ASSESSMENT

Participants Worksheet

PARTICIPANTS	POSITION WITHIN DEPARTMENT

Methods to gather information worksheet

Identify the methods and details being used for this assessment.

METHOD	DETAILS
Direct observation	
Interviews	
Surveys and questionnaires	
Group approaches	
E-Tools	
Documentation and verbal accounts review	

Positions and skills required worksheet

What skills are required to perform this particular job well?

POSITION	SKILLS REQUIRED



First Nation government structure knowledge worksheet

What is the First Nation government structure knowledge required for this particular job?

POSITION	FIRST NATION GOVERNMENT STRUCTURE KNOWLEDGE

Interpersonal qualities worksheet

What are the interpersonal qualities required to perform this job?

POSITION	INTERPERSONAL QUALITIES REQUIRED



Job description summary worksheet

Are the current duties correctly reflected in the department's job descriptions?

Do the job descriptions reflect the department's mandate?

POSITION	DUTIES REQUIRED
KEY ISSUES AND COMMENTS	

POSITION	DUTIES REQUIRED
KEY ISSUES AND COMMENTS	

History worksheet

What are the main milestones, successes, major changes, challenges and other relevant events in the history of the department?

MILESTONES	
SUCCESES	
MAJOR CHANGES	
CHALLENGES	
OTHER	



Goals and objectives worksheet

Identify the goals and objectives of the department.

Goal #:	
Objective #:	
Comments	

Goal #:	
Objective #:	
Comments	

Goal #:	
Objective #:	
Comments	

Mission/vision worksheet (1 sheet)

What is the department's mission/vision?

DEPARTMENT'S MISSION/VISION STATEMENT

To what extent does the department reflect the mission or vision when developing programs and projects?

PROGRAMS AND PROJECTS	DETAILS

Culture and traditions worksheet

What is the culture and some of the traditions of your government?

How might these impact your department?

Culture	
Tradition(s)	
Impact details	

Culture	
Tradition(s)	
Impact details	

Culture	
Tradition(s)	
Impact details	

Departmental description summary worksheet

DEPARTMENT	
HISTORY	
GOALS AND OBJECTIVES	
MISSION/ VISION	
CULTURE AND TRADITIONS	
LIFE CYCLE	

Governance worksheets (4 Sheets)

Questions can be added or removed for the areas.

GOVERNANCE QUESTIONS TO CONSIDER	RESPONSES
<p>Does the departmental structure facilitate or delay movement towards the goals and objectives of your department?</p>	4 empty rows
<p>Identify the ways in which the departmental structure facilitates or delays that movement.</p>	5 empty rows
<p>To what extent does governance affect or impact the performance of your department?</p>	4 empty rows
<p>Describe how governance affects performance within your department.</p>	4 empty rows

GOVERNANCE DOCUMENTATION QUESTIONS TO CONSIDER	RESPONSES
<p>Does your department have regulations, acts and policies in place that support what it does?</p>	
<p>List relevant documents.</p>	

GOVERNANCE TRANSITION QUESTIONS TO CONSIDER	RESPONSES
<p>To what extent does your department have plans in place to manage transitions effectively and smoothly?</p> <p><i>Note: Transition may impact the area of governance.</i></p>	

GOVERNANCE TRANSITION QUESTIONS TO CONSIDER	RESPONSES
<p>To what extent does new leadership understand the goals and various functions within your department?</p> <p><i>Note: Transition may impact the area of governance.</i></p>	

Administrative and financial management worksheets (4 sheets)

ADMINISTRATIVE QUESTIONS TO CONSIDER	RESPONSES
<p>To what extent does your department have processes and procedures in place for day-to-day operations? (organizational chart, filing system, operations manual, etc.)</p>	

PLANNING QUESTIONS TO CONSIDER	RESPONSES
<p>In what ways does your department carry out financial planning?</p>	
<p>Does your department's financial planning support the priorities of a strategic plan, policies or procedures?</p>	



ACCOUNTABILITY QUESTIONS TO CONSIDER	RESPONSES
<p>Is there regular reporting that is on time, updated, shared and audited?</p>	
<p>Does management review statements regularly and are employees trained to interpret financial information?</p>	

STATEMENT OF SYSTEMS QUESTIONS TO CONSIDER	RESPONSES
<p>Are there financial systems in place such as balance sheets, expense sheets, etc., that support the performance of the department?</p>	

Human resources worksheets (3 sheets)

STAFFING QUESTIONS TO CONSIDER	RESPONSES
<p>Does your department have adequate staffing procedures such as hiring practices, job descriptions and new employee orientation to ensure that staffing needs are met?</p>	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
<p>Does the department use creative or innovative methods to reach potential candidates and engage a broader cross-section of the workforce ? (targeted marketing, entry level training programs, job-sharing, flexible work arrangements, etc.)</p>	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
<p>Does the department have a personnel policy, or other related human resource policies? (Collective Agreement, etc.)</p>	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/>

STAFFING DEVELOPMENT QUESTIONS TO CONSIDER	RESPONSES
Is there a training and development policy? Are employees encouraged to learn and develop? Does mentoring occur? If so, who does the mentoring? Is it formal or informal?	
Is there a succession plan?	
Is there a budget or other supports available for training for employee development?	

APPRAISING AND AWARDED EMPLOYEES QUESTIONS TO CONSIDER	RESPONSES
<p>What type of rewards or benefits does your department offer to employees? (sick leave, training for conferences, community dinner, employee events, time off for hunting, holidays, etc.)</p>	Empty response area for the first question
<p>Is there a clear relationship between performance and rewards?</p>	Empty response area for the second question
<p>Are your department's methods for employee assessment and rewards perceived as fair?</p>	Empty response area for the third question

Infrastructure worksheets (4 sheets)

FACILITIES QUESTIONS TO CONSIDER	RESPONSES
<p>Does your department's buildings and offices support employee performance?</p>	

HOUSING QUESTIONS TO CONSIDER	RESPONSES
<p>Is there adequate housing available for employees?</p>	
<p>Does the housing meet the needs of the employee and families?</p>	

TECHNOLOGY QUESTIONS TO CONSIDER	RESPONSES
<p>To what extent do technological resources affect the performance of your department? (up-to-date computer programs, email, etc.)</p>	

IMPACTS OF TECHNOLOGY QUESTIONS TO CONSIDER	RESPONSES
<p>To what extent does technology have a direct or indirect impact on the department's ability to function? (e.g. email system is outdated making it difficult to communicate with outside parties)</p>	

Program and service worksheets (4 sheets)

PLANNING QUESTIONS TO CONSIDER	RESPONSES
<p>To what extent does your department plan its programs/projects?</p>	
<p>Do programs and projects have plans that are linked to the department's priorities or strategies?</p>	
<p>Do the plans have policy support, timelines or budget? Are roles and responsibilities identified?</p>	

IMPLEMENTATION QUESTIONS TO CONSIDER	RESPONSES
<p>Do current policies support the delivery of programs and services?</p>	
<p>Are projects completed on time and on budget?</p>	
<p>To what extent does your department review and evaluate programs or projects?</p>	

EVALUATION QUESTIONS TO CONSIDER	RESPONSES
Are there evaluation tools in place?	
Explain the review and evaluation processes and list any evaluation tools.	

MONITORING QUESTIONS TO CONSIDER	RESPONSES
To what extent does your department monitor its programs or projects? List and describe the various methods used.	
Explain the monitoring process and list any tools.	

Departmental process worksheets (2 sheets)

PROBLEM-SOLVING AND DECISION-MAKING QUESTIONS TO CONSIDER	RESPONSES
<p>To what extent does existing problem-solving and decision-making processes support your department and its functions?</p>	

COMMUNICATION QUESTIONS TO CONSIDER	RESPONSES
<p>Does your department's communication system effectively support its performance?</p>	
<p>Does information get passed along to all levels within the department?</p>	



Blank question and answer worksheet

QUESTIONS TO CONSIDER	RESPONSES



Identifying and understanding worksheet

List the groups that impact or influence your department. Beside each group, indicate the impact(s).

GROUP	INFLUENCE OR IMPACT	LEVEL OF INFLUENCE
		<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low
COMMENTS		

GROUP	INFLUENCE OR IMPACT	LEVEL OF INFLUENCE
		<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low
COMMENTS		

Identifying challenges worksheet

GROUP	CHALLENGE	PRIORITY
		<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low
COMMENTS		

GROUP	CHALLENGE	PRIORITY
		<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low
COMMENTS		

Recommendations summary worksheet

Recommendation #:

RECOMMENDATIONS SUMMARY:

AREA (Governance, Human Resources, etc.)	RECOMMENDATIONS OR ACTIONS	PRIORITY
		<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low
COMMENTS		

Recommendation #:

RECOMMENDATIONS SUMMARY:

AREA (Governance, Human Resources, etc.)	RECOMMENDATIONS OR ACTIONS	PRIORITY
		<input type="checkbox"/> High <input type="checkbox"/> Medium <input type="checkbox"/> Low
COMMENTS		

Implementation summary worksheet

Recommendation #:	
RECOMMENDATIONS IMPLEMENTATIONS SUMMARY:	
OBJECTIVES:	ACTIVITIES:
WHO IS INVOLVED:	TIMELINE:
DELIVERABLES:	

Recommendation #:	
RECOMMENDATIONS IMPLEMENTATIONS SUMMARY:	
OBJECTIVES:	ACTIVITIES:
WHO IS INVOLVED:	TIMELINE:
DELIVERABLES:	

Deliverables summary worksheet

RECOMMENDATION #	DELIVERABLES SUMMARY:





Appendix D: Confidentiality Template

This could be used to ensure confidentiality is maintained and to allow for participants to feel secure when providing confidential information. The department or its government may already have a confidentiality agreement that can be used for this purpose.

Below is one confidentiality sample, your department may have a standard template that it can use.

Confidentiality template example

The facilitator will treat any information that is supplied to, obtained by, or which comes to the knowledge of, the facilitator as a result of this contract as confidential, except to the extent that such information must be disclosed in order for the facilitator to meet his/her/its obligations under the contract. In particular, the facilitator will not disclose, or allow to be disclosed, any such information without the prior written approval of [name of contracting party]. Unauthorized disclosure of any such information will provide grounds for immediate termination of this contract, and will provide grounds for [name of contracting party] to seek immediate injunctive relief enjoining the release of such information. The parties further agree that any such unauthorized disclosure of information will result in damages being suffered by [name of contracting party]. The parties agree in advance that the measure of such damages will be the liquidated sum of \$[enter amount if applicable] payable by the facilitator.

Appendix E: Resources

Aboriginal Affairs and Northern Development Canada, The Governance Capacity Planning Tool (GCPT).
<http://www.aadnc-aandc.gc.ca/eng/1314982906753/1314983007320>

British Columbia Assembly of First Nations. Governance Toolkit, a Guide to Nation Building.
<http://www.bcafn.ca/toolkit/>

British Columbia Treaty Commission (BCTC), A Human resource capacity tool for First Nation.
http://www.bctreaty.net/files/pdf_documents/BCTC-HRToolBook.pdf

Canadian International Development Agency. CIDA Organizational Assessment Guide.
<http://www.acdi-cida.gc.ca/acdi-cida/acdi-cida.nsf/eng/NAT-8811161-KWK>

Canadian International Development Agency. Organizational assessment guide, June 2006.

Carcross Tagish First Nation Heritage and Natural Resources. Capacity Assessment Project. Regional Economic Development Agreement Report. 2006-2007.

Global Development Research Center. A Simple Capacity Assessment Tool. Levinger, B. and Bloom, E.
<http://www.gdrc.org/ngo/ncafe-ks.html>

International Development Research Centre. Institutional Assessment: A framework for strengthening organizational capacity for IDRC's research partners. Lusthaus, C., Anderson, G. and Murphy, E. 1995.
<http://www.idrc.ca/EN/Resources/Publications/Pages/IDRCBookDetails.aspx?PublicationID=369>

International Development Research Centre & Inter-American Development Bank. Organization assessment: a framework for improving performance.

International Development Research Centre & Inter-American Development Bank. Organization assessment: a framework for improving performance.
<http://www.idrc.ca/EN/Resources/Publications/Pages/IDRCBookDetails.aspx?PublicationID=241>

International Development Research Centre. Organizational Assessment: A Framework for Improving Performance. Lusthaus, C., Adrien, M., Anderson, G., Carden, F., and Plinio Montalván, G. 2002
<http://www.idrc.ca/EN/Resources/Publications/Pages/IDRCBookDetails.aspx?PublicationID=241>

International Development Research Centre. Enhancing Organizational Performance: A Toolkit for Self-Assessment.
<http://www.idrc.ca/EN/Resources/Publications/Pages/IDRCBookDetails.aspx?PublicationID=371>

Kwanlin Dün First Nation Heritage, Lands and Resources Department. Capacity Development Plan. March 2008.

McKinsey and Company, Capacity Assessment Grid.
http://www.ilj.org/publications/docs/McKinsey_Organization_Capacity_Assessment_Tool.pdf

National Centre for First Nation Governance – Governance Resources
<http://fngovernance.org/toolkit/resources>

Reflect and Learn, Self-Assessment Tools.
<http://www.reflectlearn.org./discover/self-assessment-tools>

Tearfund International Learning Zone (TILZ). Capacity self-assessment. Roots Resources.
<http://tilz.tearfund.org/Publications/ROOTS/Capacity+self-assessment.htm>

Treasury Board of Canada Secretariat, Guide to Using the Organizational Project Management Capacity Assessment Tool.
<http://www.tbs-sct.gc.ca/pm-gp/doc/ompcag-ecogpg/ompcag-ecogpg-eng.asp>

United Nation Development Program. Capacity Assessment Methodology: User's Guide. Capacity Development Group Bureau for Development Policy. May 2007.
http://europeandcis.undp.org/uploads/public/File/Capacity_Development_Regional_Training/UNDP_Capacity_Assessment_Users_Guide_MAY_2007.pd

United Nation Development Program. Capacity Assessment Practice Note. Capacity Development Group Bureau for Development Policy. June 2006.
<http://lencd.com/data/docs/231-UNDP%20Practice%20Note%20on%20Capacity%20Assessment.pdf>

United Nations Development Program, United Nations Development Programme, Capacity Development.
<http://www.undp.org/content/undp/en/home/ourwork/capacitybuilding/overview.html>

Universalia. Capacity Assessment and Development Workshop. Prepared for Carcross/ Tagish First Nation and Government of Yukon. By Lusthaus, C., Dyble, M., Milton-Feasby, C. February 2007.

Vuntut Gwitchin First Nation Natural Resources Department. Summary Report: Capacity Development Planning. December 2006.

Communications

AANDC and Tewanee Consulting Group, The Communications Tool Kit.
 Communications and Consultation / AANDC
<http://www.aadnc-aandc.gc.ca/eng/1100100021860/1100100021862>

Governance

The Native Nations Institute (NNI) affiliated with the Harvard Project
<http://nni.arizona.edu>

The Institute on Governance
<http://iog.ca/>

BC Assembly of First Nations, Governance Toolkit: A Guide to Nation Building.
<http://www.bcafn.ca/toolkit/>

Richard Missens, Sovereignty, Good Governance and First Nations Human Resources: Capacity Challenges.
http://fngovernance.org/ncfng_research/richard_missens.pdf

Human Resources and Training

Human Resource Development Canada, Aboriginal Skills and Employment Training Strategy
http://www.hrsdc.gc.ca/eng/employment/aboriginal_employment/index.shtml

CCP Handbook, AANDC (see the Appendix - Funding) BC-CCP@inac.gc.ca
<http://www.aadnc-aandc.gc.ca/eng/1100100021966/1100100021970>

First Nations Public Service Secretariat
<http://www.firstnationspublicservice.com/>

Information and Communications Technology Council, Tools and Resources - Human Resources Tips.
http://www.ictc-ctic.ca/?page_id=1758

Service Canada, Writing Job Descriptions.
http://www.jobsetc.gc.ca/pieces1.jsp?category_id=2803&root_id=280

Simon Fraser University, A Guide to Writing Administrative and Professional Job Descriptions.
<http://www.sfu.ca/human-resources-old/forms-cabinet/job-descriptions/apsa/guide-to-preparing.pdf>

The Government of the NWT job descriptions database.
<http://www.maca.gov.nt.ca/school/tools/index.htm>

Monitoring and Evaluation

Thea Hilhorst and Irene Guijit, Participatory monitoring and evaluation: A process to support governance and empowerment at the local level (Royal Tropical Institute, 2006). http://www.kit.nl/net/KIT_Publicaties_output/showfile.aspx?e=925.

Survey System
<http://www.surveysystem.com/sdesign.htm>.

Survey Monkey
<http://www.surveymonkey.com/>

Other

Yukon First Nation Self-Government Secretariat
<http://www.sgsyukon.ca/>

Appendix F: Photo Credits

Page	Photo
Cover	Carving tools (P. Gowdie photo)
2	Wheaton River valley (P. Gowdie photo)
3	Babbage River (S. Smith, Vuntut Gwitchin Government photo)
8	Ridge of Moses Hill, overlooking Lachute River and LaPierre House (S. Smith, Vuntut Gwitchin Government photo)
12	Wheaton River (Kwanlin Dün First Nation photo)
17	Moose River (Government of Yukon photo)
20	Mary Jane Moses filming LaChute River from Moses Hill (S. Smith, Vuntut Gwitchin Government photo)
30	Coal Lake (Kwanlin Dün First Nation photo)
34	Confluence of the IBex and the Takhini rivers (Kwanlin Dün First Nation photo)
38	Daxhká Khwáan Dancer (P. Gowdie photo) and archeological dig (Kwanlin Dün First Nation photo)
43	Swans rest at Tagish Lake (P. Gowdie photo)
44	Moon over Tagish Lake (P. Gowdie photo)
58	Confluence of Yukon and Klondike rivers (Government of Yukon photo)
63	Caribou Coffee House, Carcross (P. Gowdie photo)
66	IT administrative employee (P. Gowdie photo)
67	Land management team discussion (P. Gowdie photo)
69	Construction of pedestrian bridge in Carcross (P. Gowdie photo)
77	Carcross Desert (P. Gowdie photo)
79	Porcupine Caribou Herd calving grounds (Government of Yukon photo)
81	Administrative employee (P. Gowdie photo)
120	Takhini River (P. Gowdie photo)
Back Cover	Fishing Branch River from Bear Cave Mountain (S. Smith, Vuntut Gwitchin Government photo)



1.
Organize and Plan

2.
Conduct Capacity Assessment

3.
Summarize and Interpret Results

4.
Implement Recommendations

5.
Evaluate

Capacity assessment is a process to determine the existing ability of the government and its ability to perform required government functions.

