



# **Comprehensive List of Assignments and Projects**

## **John Graham**

### **“Building Capacity for Good Governance”**

Mr. Graham is a senior executive with over 40 years’ experience with the federal and Ontario governments, the private sector, Bank of Canada, and a Royal Commission. He joined the Institute On Governance in 1996 as its Director on Aboriginal Governance and subsequently established Patterson Creek Consulting in March 2010.

With the federal government, Mr. Graham held a number of Director General-level positions at both Indian Northern Affairs Canada (for example, Director General Lands and Environment) and the Communications Security Establishment.

After receiving an Honours B.A. from Queen’s University in mathematics and economics in 1967, Mr. Graham graduated from York University in 1969 with a Masters in Business Administration. As part of his MBA program Mr. Graham spent a semester at each of the Harvard Business School, Oxford University and the Institut Européan pour L’administration des Affairs (INSEAD).

Mr. Graham principal interest is governance and good governance, particularly in an Aboriginal context. He defines governance as the structure, processes and rules that determine how families, organizations, governments and global entities make critical decisions. Governance determines who the decision makers are, whom they engage, and how they are held to account.

Good governance is a journey not a destination and revolves around five principles: legitimacy and voice, strategic direction, accountability, fairness, and performance. These principles are neither absolute nor watertight and are shaped by history, culture and technology in particular contexts.

Using these principles and linking them to day to day practice, Mr. Graham has conducted over 350 governance projects for a wide variety of clients including

- federal, provincial and territorial governments
- Inuit, Métis and First Nations organizations and governments
- industry associations
- school boards, and
- not for profit organizations

Mr. Graham's firm offers the following services:

- design and facilitation of small and large group meetings
- policy-oriented research
- design and delivery of governance workshops focusing on board and Council governance, policy development, strategic planning and constitutional development
- speaker at conferences and workshops
- program evaluation
- design and delivery of professional development courses on governance and Aboriginal issues, and
- creation of governance tools

The attached Annexes (A through G) provide a sampling of some of his experience and skills in each of these service areas. Annex H focuses on Mr. Graham's approach to project management.

He has numerous publications (for a list see Annex I) and has appeared on several occasions before Senate and House of Commons Committees.

## **Annex A: Design and Facilitation of Small and Large Group Meetings**

Mr. Graham has extensive experience as a facilitator and designer of action-oriented meetings and workshops. He is a strong believer in producing a concrete product from the meetings he facilitates, usually in the form of an action plan.

Some examples with the federal government include

- Facilitating a meeting of the Environmental Unit of the Ontario Region Office of Indian and Northern Affairs Canada (February 2011)
- Designing and facilitating a series of 10 across Canada meetings with First Nation officials on a proposed regulatory system for drinking water on reserve (2008/2009)
- Designing and facilitating a series of meetings for Health Canada in 2008-2009 on the future direction of the Aboriginal Health Transition Fund, a sun-setting program in March 2010.
- Helping design and facilitate 11 meetings of INAC officials and their First Nation partners as part of the Phase II of a Review of the department's Capital Program (March- April 2005)
- Assisting in the design and facilitation of some 20 workshops for the Capital Program in the areas of housing, capital and water over the past eight years (the last such meeting was in Calgary in December 2008.)
- Helping design and facilitate three workshops for INAC's Ontario Region in 2008, early 2009 and February 2011 with the objective of enhancing awareness of departmental officials about their environmental responsibilities under departmental policies and programs

In addition to working with various federal government departments, Mr. Graham has undertaken assignments with international aid organizations. For example in April 2011, he helped design and then facilitated a meeting of the Americas Group at Oxfam Canada. In March 2010, Mr. Graham facilitated a strategic planning retreat of the Board of Directors of Help Lesotho, an Ottawa-based charity.

Mr. Graham has also designed and facilitated large workshops involving upwards to 100 participants for other clients. For example, the three granting councils – SSHRC, NSERC and CIHF – contracted Mr. Graham to design and facilitate a three day workshop in Whitehorse in 2003, the aim of which was to produce an Action Plan for moving forward on improving the efficacy of northern research. Participants of the workshop included university researchers from all over Canada, government officials from several levels of government, and First Nation and Inuit community members.

He also was the principal facilitator in a Leaders' Forum on the Future of Health Research in Canada in 2004, a similar action-oriented workshop, involving multiple stakeholders from across Canada.

In all of these assignments, Mr. Graham not only designed and facilitated the workshops but in addition staff under his direction produced a summary report and, in almost all cases, an action plan developed by participants during the workshop.

Finally it is important to note Mr. Graham's extensive experience in working in Aboriginal communities as a workshop facilitator. Here is a brief sample of some recent assignments:

- **Moose Cree First Nation (2011):** design and facilitated a governance workshop for Chief and Council and senior staff
- **Lac Des Milles Lacs First Nation Board Governance Workshop (2009):** helped design and facilitate a governance workshop involving two economic development corporations of the Lac Des Mille Lacs First Nation (2009)
- **Weechi Board (2008):** developed and facilitated a board governance workshop for the Weechi'it'te'win Family Services agency.
- **Native Council of PEI (February 2008):** organized and facilitated a workshop involving the board and staff of the Native Council of PEI - a community of Aboriginal People residing off reserve in traditional Mi'kmaq territory - on developing an action plan to improve their registry system.
- **Fort Frances Chiefs: (2006-2007)** - Designed and facilitated workshops with representatives of the eight First Nations involved in the Fort Frances Chiefs' education self-government initiative. The workshops focused on developing options for a central education authority and developing constitutions for each of the participating FN communities.
- **Squamish Nation (2007)** – Designed and facilitated a governance workshop focusing on the relationship between Chief and Council and their staff.
- **Nautsamawt Tribal Council (2007)** – Developed and facilitated a workshop to identify key governance challenges and to develop some follow-up steps to deal with them.
- **Kasabonika Lake First Nation (2007)** – Designed and facilitated a Workshop with First Nation officials to produce a number of governance policies and codes along with an action plan for guiding future work.

## **Annex B: Policy-Oriented Research**

Over the past 14 years, Mr. Graham has conducted a large number of policy-oriented research assignments for Aboriginal organizations and governments as well as various federal government departments. Topics have included:

- The relationship of governance to taxation
- Accountability in a federal state
- The governance of information
- Appeal systems for Aboriginal organizations
- A strategy for empowering distressed communities to help themselves
- A strategy for dealing with mould in First Nation housing
- Accountability relationships in Indian and Northern Affairs Canada
- Health governance structures for First Nations
- Building First Nation capacity for the provision of safe drinking water
- A vision for the future of Métis governance
- Development of a system for assessing Métis registry systems
- Aggregation and First Nation governance
- The relationship of Aboriginal leaders to staff in various organization settings

The results of many of these studies are in the publications section of the Patterson Creek web site at [www.pattersoncreek.ca](http://www.pattersoncreek.ca).

Developing multiple lines of evidence is the fundamental principle that guides all of Mr. Graham's research and evaluation work. Seldom can one rely on just one line of evidence to produce credible arguments for change. Below is a quick snapshot of his experience in this challenging area.

### ***Quantitative Approaches***

Patterson Creek Consulting (PCC) has developed substantial expertise through its experience in gathering and analyzing primary and secondary data in its research and evaluation projects. Several examples will help illustrate this point.

- In a recent study conducted for INAC's Community Infrastructure Branch Mr. Graham and his colleagues utilized addresses supplied by INAC coupled with internet mapping programs and provincial education sites to develop estimates of the distance from First Nation communities to a variety of existing off reserve schools.
- Another example of developing and analyzing primary data was in recent work creating several governance assessment tools. For example for INAC's Office of the Federal Interlocutor, Mr. Graham and his colleagues developed an assessment tool to measure the integrity of Métis member registry systems to allow both the Métis organizations and governments to ascertain whether these systems conform to Supreme Court rulings as well

as to principles of good governance. The essence of the tool was to create a series of criteria and indicators in six major category areas and to develop a five point scale to measure the degree of conformance to the criteria. The use of such scales is a common approach in governance assessment techniques used internationally.

- An interesting example of the use of primary data occurred in IOG work for INAC's Ontario Region. Several years ago Mr. Graham and colleagues were contracted to ascertain progress and prospects for obtaining the department's goal of having certified water operators in every community. The department supplied them with existing data on the number of certified operators in each First Nation community along with the classification of the water and wastewater plants. Using a number of assumptions including turnover rates of water operators, they were able to conclude from their analysis that, at best, the region could expect only 50% of its communities to have certified operators at any one time, in part because of the long lead times required to obtain certification, especially with more sophisticated plants.

Mr. Graham has used a number of methodologies in analyzing both primary and secondary data. Here are three:

- Sensitivity Analysis: he has used this technique on several occasions to create different scenarios depending on certain assumptions. For example in the study described above relating to water operators in Ontario Region, he and his colleagues tested various turnover assumptions for operators to ascertain whether more conservative assumptions would affect their initial conclusion. Based on this analysis they judged that our initial conclusion – that the region would never come close to realizing its goal of 100% of the plants having certified operators – was sound.
- Extrapolation: This technique uses current data combined with certain assumptions to predict future conditions. This was the critical technique Mr. Graham and colleagues used in the water operator study described above. They also used this technique to predict the cost of creating a regulatory system for water and wastewater in First Nation communities across Canada by first estimating the cost of inspection personnel per plant and then extrapolating that number for the rest of Canada to reach a cost estimate for that element of the new system.
- Sampling: Sampling is another technique they have used on many occasions in dealing with primary and secondary data. For example, the IOG undertook a study for INAC's Fiscal Policy Directorate to ascertain how much Own Source Revenue (OSR) an 'average' First Nation was generating. The study was prompted by central agency pressure to apply existing OSR policy in a self-government context to partial or sector self-government agreements such as the FNLMA. They were able to locate comprehensive financial statements for some 35 First Nations of various sizes and geographic locations and found that the OSR figure for this sample was only 7% of total revenue. After examining the sample, which appeared on closer examination to be biased towards more high performing First Nations, they concluded that the cost of trying to produce a common approach to

reporting comprehensive First Nation revenues and expenditures in a manner that would identify OSR with some confidence was not worth the benefits.

- **Multivariate Analysis:** In an IOG study on distressed communities, one of the objectives was to determine whether there was some quantitative approach to rank those communities experiencing high degrees of distress. Mr. Graham and his colleagues concluded that the Community Wellness Index combined with several other quantitative measures such as teen pregnancies and years under third party management would likely produce a ranking similar to the one by program experts. They recommended to the department that such a multivariate analysis be conducted.

A final quantitative approach using tax data, an approach which, according to Mr. Graham, holds great promise for evaluating a wide variety of INAC programs, is worthy of some elaboration. In conjunction with the Métis Nation of Ontario (MNO), Mr. Graham developed a proposal to undertake a statistical analysis of the economic impact of the MNO's labour market training programs and services (under the former AHRDS program). This would have been done by contracting with Statistics Canada to do tailored tabulations on individuals who have benefited from these interventions with regard to, among other things:

- their income levels and growth
- their use of EI and Income assistance both before and after these interventions
- the nature of their income (employment and self-employment vs. government transfers)
- the annual average tax they have paid before and following these interventions

Such an approach would be relevant for, among others, all of the INAC economic development programs, special training programs connected with the Social Assistance program and all of its education programs.

### ***Surveys***

Under Mr. Graham's direction, the IOG has used survey instruments on numerous occasions as part of evaluations or reviews. Here are two examples:

- For the IOG evaluation of Ontario's attempt at electoral reform, Mr. Graham's colleagues developed a survey instrument and used it at each Assembly meeting and public consultation meeting. They entered the survey results onto the Statistical Package for the Social Sciences (SPSS) to analyze the results. They then provided monitoring reports to the Chair of the initiative within a week of each meeting.
- Mr. Graham and his colleagues have used Survey Monkey on at least four occasions. For example, in 2009 the IOG, as part of an organization review of the National Native Addictions Foundation, surveyed some 135 respondents using this instrument.

### ***Qualitative Approaches***

In a number of Mr. Graham's projects, the IOG has used the full range of qualitative research methods in its work. With regards to **interviews**, which Mr. Graham and his colleagues have

used in just about every study they have undertaken, they have found the following to be essential to good data collection:

- All interview programs should be based on an interview instrument which they share with the client before use.
- Their general practice is to test the instrument first before applying it broadly to the target group.
- If more than one interviewer is using the instrument they take great pains to ensure a common approach to the interview and data collection process.
- Determining an appropriate sample for the interview program is an important step to which we work closely with the client. Their usual practice is to adopt a stratified random sample where feasible.
- They usually provide a copy of the interview questions to participants in advance and take pains to describe context for the interview and to ensure personal anonymity for the respondent.
- They insist that interviewers produce a written record done as soon after the interview as feasible. Sometimes respondents request a copy of our written summation of the interview. We discuss this possibility with our client beforehand. Our usual practice is to provide such a summation on request. In addition, respondents often request a copy of the study report when completed and we do our utmost to accommodate such requests or at the very least to advise our clients of such requests.

**Case studies** are another critical feature of most of Mr. Graham's research and evaluation work in that they provide the 'depth' to complement the 'breadth' achieved by other methods such as surveys and interviews. Here are some of the important principles that he has developed with the use of case studies:

- Like interviews, case studies require the development of a written instrument to guide the collection of information. This instrument is usually shared with the client and is given to the respondent organization beforehand
- Once again explaining the context of the case study to the respondent is critical to gain their participation. As part of the 'bargain' Mr. Graham and his colleagues always agree to share their written summation of the case study with the respondent to ensure accuracy and to gain their confidence in the integrity of the exercise.
- Choosing the range of appropriate case studies also must be carefully thought through. Time and money are ever present constraints but that said, working with clients, they have usually developed sound approaches. Sometimes they will choose case studies by region; in other instances by various aspects of the program under review; in still others by the type of client receiving the service (big versus small, Métis versus First Nation etc.) They sometimes include international case studies as well.
- For case studies, with some exceptions, site visits are usually mandatory.

Mr. Graham has made extensive use of **literature reviews** in his research and evaluation work. His Australian and New Zealand contacts often provide useful references on Aboriginal issues in their countries. In addition, he has from time to time relied on international work to identify



and review relevant material to enrich his work here in Canada. The latest example of this was the inclusion in his recent paper for INAC on First Nation distressed communities of a section on international lessons relating to fragile states. He and his colleagues subsequently did an analysis of implications for First Nation communities. In summary, literature searches can provide useful contextual information for the problems at hand, working hypotheses for causal factors, and experience of others in trying out new approaches, approaches which could strengthen recommendations for the study.

**Focus groups** are another quantitative technique that he uses frequently. In a recent example, the Economic Development Sector of INAC approached the IOG to organize a senior level focus group to critique a new strategy that the sector had developed. Mr. Graham and his colleagues quickly found five experts including a former INAC Deputy Minister and a former Assistant Deputy Minister of Economic Development and gave them material about the strategy to read in advance of an intensive half day workshop. Following the event, the IOG wrote a 10 page summary that included several high level ideas for improving the strategy.

Focus groups of this kind have several distinct advantages: they can be organized quickly; they are inexpensive; they create synergy among the participants usually leading to creative ideas; and they can provide advice from very senior and experienced people, advice that will resonate with the Branch's ultimate audience for its work.

In designing research projects that affect Aboriginal communities it is useful to note the growing trend of Aboriginal organizations and governments to insist on applying OCAP principles to any research or indeed information management initiatives conducted by 'outsiders'. Here is how one prominent Aboriginal organization, the National Aboriginal Health Organization (NAHO), describes OCAP in the context of First Nations:

"Under OCAP principles, **Ownership** refers to the relationship of a First Nation community to its cultural knowledge/data/information. OCAP states that a community or group owns information collectively in the same way that an individual owns his or her personal information. The principle of **Control** recognizes the right of First Nations communities and representative bodies to control research and information management processes which affect them, including research projects, policies, processes, frameworks etc. **Access** refers to the right of First Nations peoples to have access to information and data about themselves and their communities, wherever held, and to make decisions regarding access to their collective information, while **Possession** refers to the actual custody and stewardship of data, in other words, where information is actually held."

Driving the spread of OCAP principles are three factors: the unhappy experience of many Aboriginal groups with past research initiatives directed by 'outside' researchers; the growing interest and capacity of Aboriginal bodies in conducting research and evaluations; and the drive for self-determination. As noted earlier, PCC is sensitive to this trend. Mr. Graham and a colleague wrote a 'think' piece on OCAP that included recommendations for an appropriate departmental response to them.

## **Annex C: Design and Delivery of Governance Workshops**

These workshops, which typically last from one to three days, focus on topics that can include: governance and good governance, characteristics of high performing Councils or boards, the development of governance policies (e.g. codes of conduct, the relationship of leaders to staff), constitutional development, strategic planning and economic development. Each workshop can be tailored to the particular needs of the client organization. The underlying philosophy for these workshops is intense engagement of participants coupled with an action orientation whereby specific products (e.g. strategic plans, policies, action plans) are produced by participants.

The workshops are usually delivered in the client's community. Typical clients include Aboriginal organizations and governments, school boards and not for profit organizations. Specifically, Mr. Graham has prepared workshops for the Assembly of First Nations, the Congress of Aboriginal Peoples, the Métis Nation of Ontario, Inuit Tapiriit Kanatami, Kasabonika First Nation, Lac des Mille Lacs First Nation, Moose Cree First Nation, Treaty 8 Confederacy, Squamish First Nation, Sagamok First Nation, Ktunaxa Kinbasket Tribal Council, Tyendinaga First Nation, York Region District School Board and Help Lesotho.

Some recent participant reactions to these workshops include the following:

“Workshop was excellent – best ever on the topic of governance”

“Awesome, so happy to see it here; very helpful and informative”

“This session was one of the best workshops I have attended”

“It was as good as it can be”

### **Best practices in the preparation and delivery of workshops**

Key concepts that Mr. Graham utilizes in his facilitation work include the following:

- Work closely with the client before any meeting to determine the outcomes the client is intending to obtain. Based on these expected outcomes, design an agenda that will ensure that these outcomes are achieved.
- Build as much small group deliberations into the agenda as reasonably possible. His experience is that adults do not enjoy “being talked at” for any great length. Rather their strong preference as revealed in evaluations of these workshops is that they enjoy interacting with colleagues and other experts in areas of interest to them.
- Avoid separate breakout rooms. Ensure that the client rents a suitable facility that can comfortably hold the participants in small groups so that they can remain in the same room. This saves considerable time and further, allows the facilitator to monitor progress easily and make any agenda modifications quickly.

- Advise the client on the nature of the facility to rent – the ideal facility should be carpeted, have a natural source of light, provide for eating facilities in another room, and be large enough to seat participants comfortably in round tables
- Arrange participants in small groups of 5 to 8 individuals. In most incidences it pays to pre-arrange the composition of the groups to reflect the diversity in the room. Further, it is sometimes useful to assign a table facilitator to groups, especially if participants are for the most part strangers. Finally, build into the design a change in group composition so as to avoid the monotony of participants having to interact with the same group over the course of the workshop
- Ensure that the small group tasks are clearly articulated. Each group should have one or at most two clear questions to deal with. Sometimes it is useful to provide groups with a template to ‘fill out’ as a way of focusing their tasks
- Give groups frequent time checks as the session proceeds. This will help them stay on task
- Develop innovative ways to synthesize the results of small group discussions. Avoid where possible, for example, groups reporting on the same items. Use dots or other means to get a sense of priorities among the ideas presented
- Work with the client over the course of the workshop to produce clearly articulated action items and then verify these with the group as a whole
- Ensure that the client gets a summary of the workshop within five working days following the event

### **Workshop materials and supplementary resources to support workshop delivery**

For workshops designed and facilitated by Mr. Graham, the contract usually calls for the creation of a workshop binder so that participants have an easy way to follow presentations and refer to background material. Typical contents of a binder include:

- An agenda
- A tab for each major agenda item, usually with copies of presentations or supporting materials
- Tabs for supporting materials for small group exercises such as templates to guide small group work
- Resumes of the principal speakers and the facilitators
- A workshop evaluation form
- In a national meeting material on local sites of interest and restaurants
- A short note on Patterson Creek Consulting and any of the host organizations

As important as a workshop binder is material produced during the meeting. For example a critical aspect of any workshop is usually the development of an Action Plan that participants can review and validate before they leave the meeting. This ensures that the workshop produces tangible results and that these results have been agreed to by all participants. Mr. Graham usually produces a hard copy of the Plan to distribute to participants as the last agenda item. In addition he has found it effective to use an LCD projector to present the plan page by

page to participants on a screen and then have each item reviewed and edited on the spot by participants. The final action plan is usually e-mailed to participants the next business day following the meeting.

Another important service offered by Mr. Graham is to produce a synthesis of discussions following day one of a workshop to be reviewed by participants in day two. This can be especially effective if participants are under time pressures to respond quickly to an initiative or to send a common set of messages to senior management. To produce such a synthesis report requires great skill and the ability to work under tight deadlines often in evenings between workshop days.

### **Evaluation and assessment of workshops and outcomes of workshops including development of measurement mechanisms/standards for working effectiveness**

After facilitating workshops for over a decade, it is Mr. Graham's experience that evaluation is a critical element to ensure client satisfaction, to build on what works and to learn from those elements of the workshop that left something to be desired.

Further, to ensure a high return rate, he has developed a one page questionnaire that can be filled out by participants in a few minutes prior to their leaving the workshop. It combines qualitative and quantitative information, another critical feature of any good evaluation technique. The questionnaire asks participants to rate the overall effectiveness on a five point scale where 1 is poor and 5 is excellent. Similarly he uses the same five point scale to get a participant reading on the facilitation, the quality of the venue and the material produced for and during the workshops. There is also a space for qualitative comments to supplement these quantitative indicators.

For qualitative information we ask participants to respond to two questions:

- What did you like most about the workshop? And
- How could the workshop be improved?

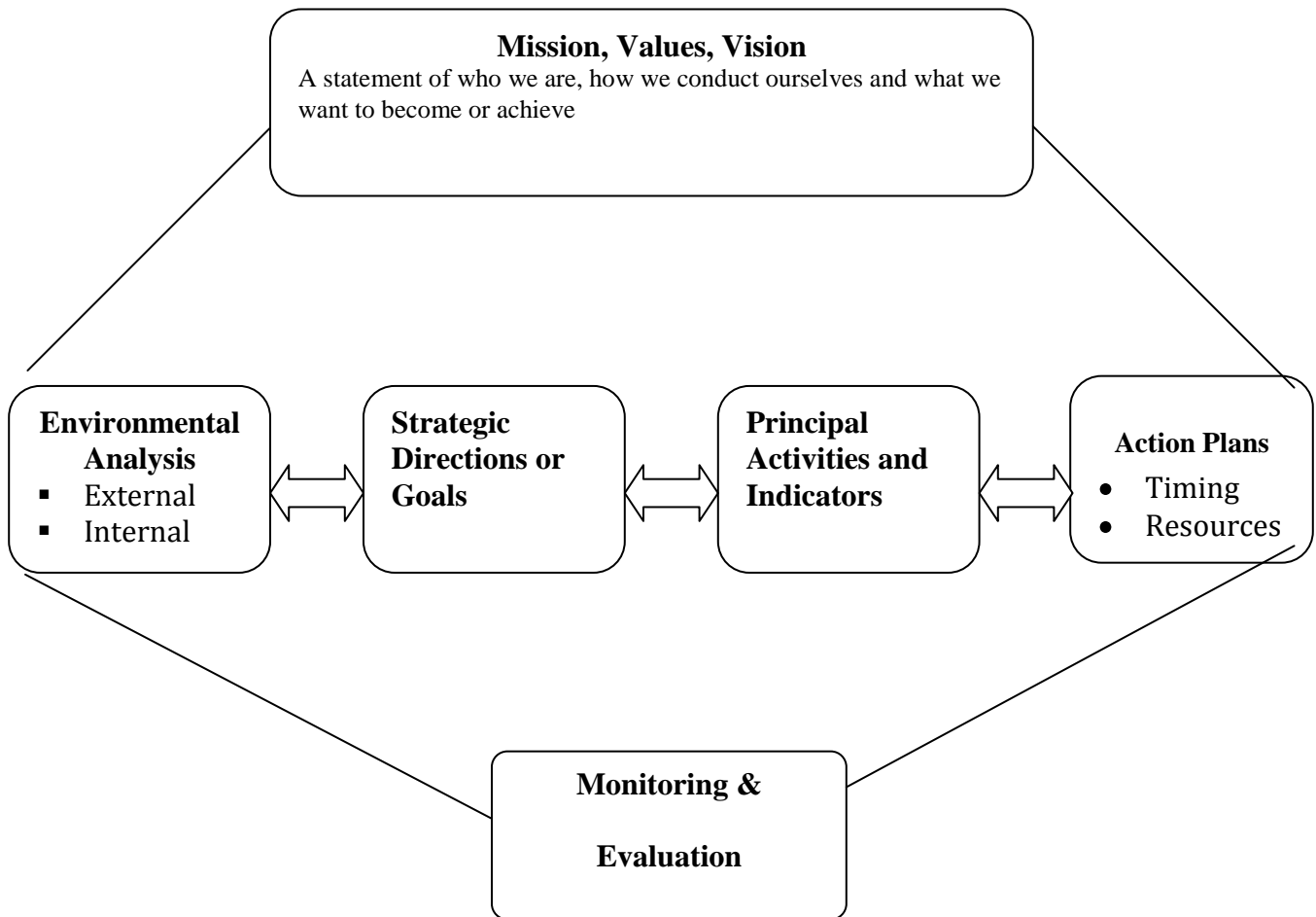
Following the meeting Mr. Graham averages the quantitative information for each of the factors and provides verbatim comments in a summary report to the qualitative questions. This information gives Mr. Graham and the client a very good snapshot of how the workshop went. By using the same tool for all of his workshops he gets a good indication of how well the workshop went in relative terms. Mr. Graham usually includes the workshop evaluation summary as an Annex in the workshop report, commenting on a few of the highlights in the main body of the text. Client reaction to this evaluation approach has been uniformly positive.

### **Strategic Planning**

For most organizations having a strategic plan is an essential element of their governance approach. Such a plan assists those heading the organization (Boards of Directors, Ministers of

government departments) to communicate both to staff, funders and other stakeholders the key directions the organization is heading down. For management it provides the framework to develop yearly operational plans and to monitor progress.

The conceptual framework that Mr. Graham employs in advising clients on this complex area is captured in the diagram below:



Mr. Graham has been involved in a number of assignments resulted in strategic plans. For example, in February 2011, Mr. Graham designed and facilitated a workshop for the Board of the Congress of Aboriginal Peoples, the principal outcome of which was a strategic plan for the organization. In 2009, Mr. Graham and a colleague helped the Metis Nation of Ontario to create a three year strategic plan.

Another example of Mr. Graham's experience with strategic planning and Aboriginal groups occurred in March 2005 when the IOG ran a workshop for the L'Union nationale Mètisse St-Joseph du Manitoba. One of the outcomes of this workshop was a strategic plan drafted by IOG staff based on the input of the Board of Directors of the organization.

In 2004, Mr. Graham was engaged by INAC's Capital Management Program to produce a strategic plan for the Branch. This plan was later reviewed by capital managers across the country in a national workshop.

In 2001 he worked with the Aboriginal Council of Winnipeg in organizing and facilitating a two-day workshop, the aim of which was to produce a strategic plan for the Council. Following the workshop, Mr. Graham produced a plan based on the work of the workshop participants.

### **Business Planning**

Under Mr. Graham's direction the IOG completed a comprehensive business plan for the National Centre on First Nations Governance in 2006. In addition, Mr. Graham led an IOG project that developed a business plan for another Aboriginal organization in 2003 – this time the client was the Congress of Aboriginal Peoples and the plan outlined the establishment for a research institute dedicated to off-reserve issues affecting Aboriginal Peoples.

Common elements of a business plan are captured in the box below.

#### ***Business Plan Elements***

- Mandate and guiding principles
- Principal functions or business lines
- Governance – members, board of directors, selection processes, not for profit incorporation, charitable status, key functions, board committee structure
- Organization structure
- Implementation scenario – selection of the initial board, hiring staff, renting office space, developing HR and financial systems, IT considerations
- Proposed budget – revenue and cost projections for five years
- Tracking performance – logic model and performance indicators
- Managing key risks
- Conclusions

## **Annex D: Speaker at Conferences and Workshops**

Mr. Graham has been a guest speaker and presenter at numerous conferences and seminars. Here is a brief sample:

- He has made a governance presentation on two occasions at the University of Ottawa's Centre on Public Management and Policy
- Mr. Graham has presented two lectures for undergraduate classes at Carleton University
- He has developed the keynote paper for the annual Aboriginal Financial Officers Association conference in 2009 and conducted a workshop
- He was a principal speaker at the National Aboriginal Land Managers Association Conference in 2008
- He has presented five research papers at two Aboriginal Policy Research Conferences (2009 and 2007).

Mr. Graham has also appeared before the Senate Standing Committee on Aboriginal Peoples on several occasions. In his latest appearance in March 2011, he presented on Bill S-11, the objective of which was to provide a legislative framework for establishing a regulatory regime for potable water and waste water on First Nation communities. His presentation is available on the Patterson Creek website: [www.pattersoncreek.ca](http://www.pattersoncreek.ca).

## Annex E: Program Evaluation

Mr. Graham's experience in this area spans almost three decades. In the late 1970s he became the Assistant Director of Research for the McDonald Royal Commission looking into the RCMP, following the revelation of a number of 'dirty tricks' perpetrated by the Force's Security Service in Quebec. This Royal Commission was in essence a review of Canada's existing security intelligence system. Mr. Graham drafted several chapters of the Commission's final report including those calling for a separate civilian security service (the government followed this recommendation in establishing CSIS).

Following the Royal Commission, Mr. Graham joined the Privy Council Office where he was seconded to the Communications Security Establishment to establish an Evaluation Office. Subsequently in the mid-1980s, he won a competition to become the Director of Program Evaluation at Indian Affairs and Northern Development, a post he occupied for some three years.

His work at the Institute on Governance since 1996 has involved Mr. Graham in a number of evaluations and reviews. For example, he helped INAC officials design and execute Phase II of a review of the Capital Program in 2006. The success of Phase II led the department to re-engage the IOG to help with Phase III.

More recent examples of evaluations led by Mr. Graham include the following:

***Evaluation of the Financial Intervention Policy of Indian and Northern Affairs Canada (Dec. 2009 – August 2010):*** This evaluation, valued at over \$120K, involved an extensive literature review, focus groups, expert interviews, statistical analysis, and case studies. The focus of the evaluation was on the Intervention Policy relevance, effectiveness, unintended consequences and alternatives.

***Evaluation of BOC & CPD (October 2008 – January 2009):*** Under Mr. Graham's direction the IOG conducted an evaluation of the effectiveness, efficiency and appropriateness of basic organization capacity building funding and funding for consultation and policy development.

***Special Study on Funding Arrangements (August 2008 – December 2008):*** The IOG conducted a special study of funding instruments used by Indian and Northern Affairs Canada to fund First Nations, Tribal Councils and other Aboriginal organizations. The objectives were to determine to what extent the funding arrangements were appropriate, effective and efficient; and to what extent the accountability provisions in these arrangements were appropriate and effective in achieving accountability between recipients and their stakeholders and between the Minister and Parliament, and ultimately Canadians.



***Evaluation of the 1996 Housing Policy (June 2008 – September 2008):*** This evaluation included a literature search, an in-depth examination of housing data, expert interviews and focus groups.

Some of the key concepts in conducting evaluations and reviews, gleaned from Mr. Graham's experience, are the following:

- Seek the active involvement of the client within the department and of First Nations in the design and execution of the project. This requires patience and time at the front end but can pay rich dividends in gaining acceptance of the results of the project.
- Recognize that Aboriginal peoples have distinct perspectives and understandings as a result of their language, culture and history. Knowledge that is transmitted orally must be acknowledged as a valuable research resource.
- Recognize that in any community there are likely to be a multiplicity of viewpoints, including viewpoints specific to age and gender.
- Recognize that INAC regions are exceedingly diverse in how they go about administering a program. In part this relates to the fact that Provinces and Territories can have a major impact on how INAC operates.
- Look for these type of skill sets among staff to be effective evaluators: good listeners, strong interviewing skills, able to relate effectively to both junior and senior staff, above average writing skills, ability to glean significant patterns from a large amount of data, adept at utilizing both quantitative and qualitative research methodologies.
- Look for ways to encourage community members in Aboriginal communities to participate in the research. Reviews and evaluations can be useful devices to build community capacity.
- Maximize community benefits including possible economic spin-offs.
- Work closely with the program managers so that there are no surprises. When it comes to writing the final report, ensure that the managers have the opportunity to review the table of contents before serious writing begins so that the final report is surprise free.
- Pilot test all survey instruments or research methodologies.
- Develop multiple lines of evidence (try to use both quantitative and qualitative research methodologies) so that converging themes can add cogency and credibility to the results.
- Train interviewers so that they obtain consistent results from the same survey instrument.
- Develop excellent writing and presentation skills so that the results of the review are not muted or lost in large, hard to read reports.
- Ensure there is one person in charge of the project but at the same time encourage a team approach to stimulate brainstorming and fresh ideas.
- Develop a diverse group of Associates so that specialized skills sets (for example in developing cash flow analyses) are available to the project.
- Develop a sophisticated cost control system that allows frequent reports of progress on each of the IOG's projects. This will ensure among other things better cost estimating on future projects.

## **Annex F: Design and Delivery of Professional Development Courses on Governance and Aboriginal Issues**

Patterson Creek Consulting offers two tailored professional development courses:

**Building Productive Relations with Aboriginal Peoples**: this two day course is a joint offering of Patterson Creek Consulting and Anne Noonan and Associates and focuses on, among other things,

- Who are Aboriginal Peoples
- The history of the relationship
- Aboriginal governance
- First Nation, Métis and Inuit Perspectives
- Consulting with Aboriginal Peoples
- Protocol Issues

This course has been run over 25 times and has attracted participants from some 20 different federal government departments. Currently, this course is offered only to institutional clients on demand. Here are some comments from recent participants:

“Great Course! Learned lots!”

“This course was way better than I was expecting. I have taken other ‘similar’ workshops that I had to do for work and this was a lot more informative and engaging”

“Very welcoming and safe environment; I learned a lot and hope to apply it soon.”

“Great speakers; excellent presentations”

“Excellent facilitation and respect of the agenda. Excellent choice of speakers. Thank you!”

“Very valuable – helps to understand the culture, values and the challenges that we face”

**First Nations: Narrowing the Community Well-being Gap through Improved Governance**: this is a one day workshop offered to an organization (there is no open registration or fixed dates) and can be tailored to meet particular needs. Topics include:

- What is the evidence that the community well-being gap is actually widening?
- What are the key characteristics of the First Nation governance system?
- How do First Nation concepts of good governance compare with ‘western’ norms?
- What is the evidence that suggests that First Nation governance is a drag on closing the community well-being gap?
- Why is improving governance in a sustainable fashion such an elusive challenge, whether in First Nation communities or internationally?
- What policy options might help improve First Nation governance?
- In particular what might be an effective strategy for the most highly distressed First Nation communities?

## **Annex G: Creation of Governance Tools**

The following are a series of governance aids or tools that Boards, Councils and organizations can use to promote better governance.

### **A Tool for Designing or Assessing Appeal Systems in An Aboriginal Context**

Given the growing importance and prevalence of appeal systems in Aboriginal governments and organizations, the objective of this publication is to provide a useful tool both to those who are charged with designing new appeal systems or conversely those asked to evaluate existing systems. It has three principal sections. The first (Section II) focuses on the question: “what are the critical elements that should make up an appeal system?” Section III then takes up the question: “What criteria might be useful in judging whether an existing or newly designed appeal system meets the test of good governance?” In the final section (Section IV), the focus is on applying the frameworks developed in the previous two sections to an actual appeal mechanism

### **How Does Your Board Stack Up: A Self-Assessment Tool**

Boards of Directors can use this tool to assess both their strengths and weaknesses. Based on this assessment, Boards can then develop action plans for improving their performance. This tool can also be used, if slightly adapted, to measure the performance of an elected Council.

### **Model Governance Policies for Aboriginal Boards of Directors**

Policy is a critical governance instrument for any not for profit organization. Among other things, well-crafted policies save time, ensure fair treatment of members, reduce the risk of legal problems, focus board attention on matters critical to its mandate, provide needed direction to staff and help in evaluating programs and services. Policies can usefully be grouped into three broad categories: i) program policies; ii) administration policies; and iii) governance policies. This tool kit focuses on this third category and consists of six model governance policies.

### **Model Governance Policies for Chief and Council**

Policy is also a critical instrument for governments. This tool has been adapted so that the governance policies for boards of not for profit organizations are now relevant for Chief and Council. It contains six model governance policies.

### **Tool for Evaluating Meetings**

Anyone involved in a governance role spends large portions of their time in meetings. And yet despite this significant expenditure of time, participants in meeting rarely spend anytime collectively evaluating their effectiveness and discussing how such meetings could be more productive. This tool takes just minutes to complete and once tabulated, should help pinpoint areas where meetings could be improved to everyone's benefit.

### **Governance Assessment Tool for Chief and Council**

This tool can provide a comprehensive self-assessment of the overall performance of Chief and Council. It based on ten functions on which a high performing Council should be focused and provides a quantitative rating for each as well as identifying particular areas for improvement as well as best practices.

### **Citizen Registry Assessment Tool**

Citizen registries are essential for any government. They provide the basis for elections, help determine who is eligible for program benefits, identify those with certain Aboriginal rights, and provide an important instrument in the conduct of intergovernmental relationships. That said, the governance of registry systems turns out to be complicated. There needs to be a policy framework to guide registry staff, one that is consistent with existing jurisprudence; security and privacy concerns need to be addressed; the role of political leaders and registry staff need to be clear; and there should be some mechanism in place for appeals. This tool was developed for Métis organizations but could be adapted for use by any Aboriginal organization.

### **Guide for Identifying High Quality Individuals for Board Membership**

One function common to most boards is identifying future board members. Indeed, it may be one of their most important jobs. And it should be done with some care, based on an analysis of the qualities and experience that each board member should have coupled with what talent the board needs to have collectively to do its job effectively. This tool helps guide this analytical process and can be easily tailored to fit the board's subject matter mandate.

## **Annex H: Project Management Approach**

The project management approach of Patterson Creek Consulting (PCC) for producing quality products on time and on budget covers the following project phases: Project Initiation, Project Planning, and Project Implementation. Further details on each phase now follow.

### **1. Project Initiation**

Projects or assignments will be initiated often through a Call-up including the cost, the scope of work, the schedule, and reporting milestones. We will respond to the Call-up with a proposal that includes our approach, methodology, milestones and deliverables, and the proposed team with the required skills to undertake the work. By maintaining a number of Associates as part of the PCC team, PCC can match the requirements of a project to a wide array of skill sets and language capabilities. Getting the right person to do the work is “half the battle” to ensuring a quality result. PCC also has facility security clearance and we keep the security clearances of our staff and associates up to date to avoid delays in contracting.

The proposal will also include a budget for professional fees and expenses that is consistent with the Standing Offer Agreement. We have developed a simple but effective project and cost management tool for the planning and management of all of our projects, whether a half day training event for a single person in Ottawa, or a complex evaluation. Our general policy is to charge clients a fixed fee for each project whenever possible. We believe that this provides the certainty that clients appreciate along with the proper incentives to PCC staff to take great care in estimating costs and then keeping to budget. It is also our general policy when subcontracting to have a fixed fee contract with consultants to perform carefully defined tasks.

Assuming that a Call Order is issued, we will then hold an inception meeting with the Project Authority in order to: confirm the scope of work, receive any updates, confirm the approach and methodology, confirm the performance criteria and standards and quality control procedures, identify communications and reporting requirements and the key contact persons for the duration of the project, and identify any risks. We will also assign a unique project number to the project that will allow us to allocate and track time and expenses on an ongoing basis.

### **2. Project Planning**

Following the inception meeting, we will review critical documents and have discussions with key informants, such as the program managers, about the availability and source of information. We will then prepare a detailed work plan including, if it is an evaluation project, the evaluation framework and data collection instruments. This work plan will be approved by the Project Authority before the work proceeds.

The project team will be mobilized and briefed on their roles and responsibilities under the project; the key milestones and deliverables; and the time and budget available. They will also be provided with key documentation including the scope of work, the PCC proposal, and the work plan.

### **3. Project Implementation**

We will implement the project in accordance with the scope of work and the agreed work plan. Any changes will be agreed in writing between ourselves and the Project Authority. We will report regularly to the Project Authority on progress against the work plan and identify any potential problems that may affect completion of the project. We will also propose solutions to those problems. Our experience with research projects and evaluations has taught us where problems can crop up – for example, difficulties in setting up interviews which the client may be able to expedite.

Drafts of deliverables will be reviewed by Mr. Graham to ensure that they are of the highest quality prior to being submitted to the Project Authority. We pilot test any questionnaire, survey instrument or interview guide, where feasible. Evaluation reports will also adhere to the evaluation report requirements in the Standard on Evaluation.

Where there is no standardized format, we will submit a draft table of contents, including major sections and estimated page lengths, for approval early in the report writing stage. As a matter of policy, we never provide a client a draft document that is not already highly polished as we do not expect clients to have to wade through pages of poor grammar and half-baked ideas. For major projects or evaluations, we will also present our preliminary findings and conclusions to the Project Authority or the Project Advisory Committee for validation before drafting the report.

Because we are a small office, it is easy to keep everyone informed and updated as the project unfolds. We also keep all project documents on our shared network which any member of the project team can access. These project documents include templates for interviews, case studies, documentation or file reviews. Project team members are expected to keep written copies of all of their work in the electronic file. We adhere to government policies related to information collection, use, preservation and dissemination and advise stakeholders and participants of the level of confidentiality and privacy that will be afforded to them under the *Privacy Act* or the *Personal Information Protection and Electronic Documents Act (PIPEDA)*.

The project team will record their time spent on the project through monthly timesheets, and these will be reviewed by Mr. Graham. Any expense incurred on the project will be authorized by the Project Lead. As the project progresses, the Project Lead will get regular reports tracking time and costs incurred and comparing these to the project budget. In this way, he has an early warning system for projects not performing to expectations.

## **Quality Control**

PCC manages quality throughout all phases of the project and through the processes of quality planning, quality assurance, and quality control. The quality standards that are relevant to the project are identified during the project planning phase and have an influence on who is selected to carry out the project, the activities and tasks that are undertaken, and the deliverables that are produced. Quality management is the responsibility of every member of the project team, but is overseen by John Graham, who is ultimately accountable to the Project Authority.

We assess quality according to any acceptance criteria and standards that are defined by our clients. The Standard on Evaluation for the Government of Canada defines the minimum requirements for quality, neutrality and utility of any evaluation projects. In addition, we will refer to other policies and guidelines including policies on engagement, gender-based analysis, and Sustainable Development.

At the end of a project, we have a person who was not involved in the project check back with the client to ensure that everything was done to his or her satisfaction. In this way, we can learn from our mistakes and better anticipate future issues before they become major problems.

## **Annex I: Publications<sup>1</sup>**

### **1. Policy Briefs**

#### Empowering Highly Distressed First Nation Communities to Help Themselves: A Proposed Approach

December 2010, by John Graham

This policy brief argues that there is no apparent strategy for dealing with the most distressed First Nation communities, reviews briefly the reasons why governance reform is so difficult to effect and proposes a series of pilot projects across Canada, based on the experience of Pangnirtung, an Inuit hamlet on Baffin Island.

#### The First Nation Governance System: A Brake on Closing the Community Well-being Gap

April 2010, by John Graham

In this paper, the author notes that the gap in the community well-being index between First Nation communities and those in the rest of Canada appears to be widening, not narrowing, and argues that the unique and dysfunctional First Nation governance system is likely one cause of this disturbing trend.

#### A Legacy of Excellence: Board Governance at the Aboriginal Healing Foundation

October 2009, by John Graham and Laura Mitchell

Based on a literature search and their experience in working with boards, the authors describe 11 characteristics of high performing Aboriginal boards and then use these to assess the board of the Aboriginal Healing Foundation. Their conclusion is that the AHF board measures up exceedingly well and will leave a legacy of excellence.

#### In Praise of Taxes: The Link between Taxation and Good Governance for First Nations Communities

February 2009, by John Graham and Jodi Bruhn

The authors make the case that governments that rely primarily or solely on non-tax revenues tend to have poor governance. They conclude that tax regimes promise to yield First Nations both lasting sources of revenue and substantial governance improvements.

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<sup>1</sup> These publications are all available at [www.pattersoncreek.ca](http://www.pattersoncreek.ca)



### How To Improve First Nation Housing

October 2008, by John Graham and Gail Motsi

According to the authors, the elements of a successful housing program in First Nation communities are well known. Leadership, community support and technical expertise are the more elusive factors. An accreditation system might provide the necessary incentives for making rapid progress in this challenging area.

### Rethinking Self-government: Developing a More Balanced, Evolutionary Approach

September 2007, by John Graham

The difficulty of reaching self-government agreements indicates the need for more incremental and gradual approaches – ones that distribute power in governance systems that are more balanced and integrated with other levels of government. Indeed, these are likely the only approaches that will allow small communities already burdened with massive public sectors and significant capacity issues to make reasonable progress towards sound and sustainable governance.

### Clarifying Roles of Aboriginal Leaders and their Staff: The Perils of a Portfolio System

May 2007, by John Graham

There are many understandable reasons why Aboriginal communities prefer a portfolio system. Yet that system comes with a host of potential problems, to the extent that an effective partnership between political leaders and staff occurs only rarely within it. Because a portfolio system can imperil the principles of good governance, no option that retains it will eliminate entirely the problems it creates. Only determined hard work and a keen understanding of the potential pitfalls can reverse the tendencies of the portfolio system so that it could work as a means to good governance

### Clarifying Roles of Aboriginal Leaders and their Staff: A Model Governance Policy

January 2007, by John Graham

This brief argues that a clean split between political and administrator responsibilities is neither possible nor desirable. Politics and administration are "messily entwined" and for good reasons. A more promising approach, one that is attracting a growing consensus both in the academic, local government and not for profit worlds, calls for a partnership between political leaders and their staff based on distinct but overlapping roles. Included with the brief is a model governance policy setting out these roles.

## Accountability in a Federal State: How Canada Stacks Up

December 2006, by John Graham and Gina Delph

The concept of accountability between governments takes on a significantly different characterization compared to that of accountability of governments to citizens. To be legitimate and effective in a multi-governance context, accountability loses its hierarchical connotations and takes on more of a joint hue. Further, it sheds some of the negative aspects – control, blame, punishment, culpability – that institutions of accountability sometimes generate when discussing government accountability to citizens. Federations, including Canada, have considered three broad strategies to improving accountability arrangements between governments: i) disentangling responsibilities to reduce overlap and achieve greater clarity about what government is responsible for what; ii) Improving collaboration through better governance; and iii) developing better performance information in areas of shared responsibilities

## The Task Ahead: Advancing First Nations Forest Sector Participation

April 2005, by Jake Wilson and John Graham

From the experience of the broad range of individuals involved in the study, the authors recommend seven measures to advance First Nations forest sector participation in the various provinces and territories nationwide. There are tasks for all players – both levels of government, First Nations and industry. They conclude that, despite the considerable progress over the decades, all players still need to make First Nations forest sector participation a higher priority. Many of the poorest First Nations communities in Canada have simply no other promising path to economic development.

## Aggregation and First Nation Governance

December 2003, by John Graham

The author describes various approaches to achieving aggregation, canvasses the range of arguments for promoting more aggregation and concludes that the most compelling rationales revolve around achieving good governance. Developing effective regulatory systems that separate the regulator from operations and managing other provincial-like responsibilities such as certain kinds of redress, revenue equalization, administration of the courts, and property tax assessment are examples of governance rationales for promoting aggregation in the form of a two tier system of government.

## Business and Politics in Aboriginal Communities

October 2003, by John Graham

This policy brief addresses the following questions: i) are there universal principles of good governance and if so what are they? ii) how have Aboriginal communities with successful

commercial opportunities applied these principles in practice? and iii) what do these principles, when applied, tell us about the relationship between politics and business?

### Principles for Good Governance in the 21<sup>st</sup> Century

August 2003, by John Graham, Bruce Amos and Tim Plumptre

The central conclusion of this paper is that a universal set of principles for defining good governance can be fashioned and that the strength of their universality rests to a large extent on the body of international human rights and laws. In addition, these principles can be usefully applied to help deal with current governance challenges. When they are applied it becomes apparent that there are no absolutes; that principles often conflict; that the 'devil is in the detail'; that context matters. Finally, the nature of governance – both the means and the ends – needs to be understood. Only then does it make sense to elaborate the principles in order to create a meaningful analytical tool.

### Safe Water for First Nations: Charting a Course for Reform

January 2003, by John Graham

This brief reviews the sorry state of potable water on reserve and concludes with a set of recommendations. At the heart of any reform package should be a federal *Safe Water Act*, legislation that should apply to First Nation reserves and perhaps to other federal lands such as military bases and national parks. That no such Act now exists for Indian reserves is nothing short of scandalous. Indeed, those living on reserves in Canada must be one of the few groups of citizens in any developed country not protected by safe water legislation

### Reinvigorating Democracy: Dealing with September 11<sup>th</sup> through Modern Town Hall Meetings

September 2002, by John Graham

This paper describes an exciting new methodology to engage large numbers of people in a highly visible approach to dealing creatively with significant public policy questions.

### Rethinking Self-Government Agreements: The Case of Potable Water

November 2001, by John Graham

The Walkerton tragedy has highlighted the complexities of governments' providing safe drinking water to their citizens, a service that many of us previously took for granted. Unfortunately, most self-government agreements prior to Walkerton have not been fashioned to meet these complexities and, as a result, are seriously flawed. These flaws extend to other services provided by government where some regulation is required. The policy implications are numerous. For example, past agreements need to be reviewed, possibly modified and certainly not extended to other First Nations in their current form.

## 2. Research Papers

### First Nation Communities in Distress: Dealing with Causes, not Symptoms

March 2010, by John Graham & François Levesque

The focus of this essay is on those highly distressed, First Nation communities on the extreme end of the well-being continuum. Its purpose is to stimulate reflection on what might be an appropriate policy response to such communities. In particular the authors explore the following three questions: i) are there useful generalizations to be made about the developmental processes that distressed communities might adopt to deal positively with their situation? ii) are there constructive roles for 'outside' parties to play in facilitating these processes? and iii) what might be useful next steps?

### Improving Health Governance in First Nations Communities: Model Governance Policies and Tools

October 2009, by John Graham and Jodi Bruhn

This paper contains a package of governance policies and tools designed for use by health structures in First Nations communities. The policies included are drafted on the assumption that a First Nation has established a corporate body under federal or provincial law to guide the delivery of health programs in the community. For those First Nations that have not taken this step, there is a policy addressing the relationship of an advisory health committee to Council. Before presenting the policies themselves, the paper provides some background on why policies are needed and the role they might play in the governance of an organization.

### A Legacy of Excellence: Best Practices Board Study Aboriginal Healing Foundation

October 2009, by John Graham and Laura Mitchell

Based on a literature search and their experience in working with boards, the authors describe 11 characteristics of high performing Aboriginal boards and then use these to assess the board of the Aboriginal Healing Foundation. Their conclusion is that the AHF board measures up exceedingly well and will leave a legacy of excellence. A condensed version of this paper can be found in the Policy Brief section of this website.

### Clarifying Accountability Relationships Affecting Indian and Northern Affairs

June 2009, by John Graham & Gail Motsi

Following the sponsorship scandal, the Gomery Inquiry, recent federal elections and the introduction of the Federal Accountability Act, it is hard to imagine accountability having a higher priority in this country than it now enjoys. That said, implementing sound accountability relationships is challenging between levels of government. And this is especially the case between Indian and Northern Affairs Canada (INAC) and First Nations. In light of these and

other complexities, this paper explores the principal accountability relationships with First Nations of relevance to INAC – specifically the accountability relationship between the Minister of INAC and First Nations and that between First Nations Councils and their citizens.

Literature Review of Non-profit Best Practices in Governance and Management

April 2008, by John Graham & Mackenzie Kinmond

This literature review explores current research on the best practices of high impact organizations in the non-profit sector. The research draws from both theoretical and practical examples. The authors highlight key messages and best practices pertaining to four main areas that make up an effective non-profit organization: i) internal management and governance; ii) strategic management and planning; iii) service delivery and evaluation; and iv) external relationships.

In Praise of Taxes: The Link between Taxation and Good Governance in a First Nations Context

March 2008, by John Graham and Jodi Bruhn

This paper makes a case for taxation of First Nation communities by their governments. It does so from a governance standpoint, arguing that taxation is a governance issue and introducing tax regimes on reserve would enhance the legitimacy, direction, performance, accountability and fairness of First Nations governments. The paper draws on both fiscal theories of governance and public finance theory, but also on accounts of Aboriginal traditional practices, which suggest the prior existence of a web of accountability and sharing relationships akin to modern taxation.

Advancing Governance of the Metis Settlements of Alberta: Working Papers

March 2007, by John Graham

Outside of Alberta, very little is known about eight Metis Settlements in that province and their unique governance system. This publication contains three working papers: the first describes this governance system in some detail; the second focuses on how this governance system developed; and the third analyzes the similarities and differences with other local governments including those of First Nation communities.

Building Governance Capacity: the Case of Potable Water in First Nations Communities

May 2006, by John Graham and Evlyn Fortier

The authors describe a model that outlines three possible strategies for building governance capacity: individual, organizational and system-wide; argue that there is a program bias among funders of capacity building activities towards individual strategies; and conclude that organizational and system-wide strategies tend to be costly, risky, longer-term and dependent on political commitments. Also, the roles of funding agencies are more uncertain in these latter approaches. It is clear from the potable water case study that a reliance on individual or even

organizational strategies will not suffice to deal adequately with the problems facing First Nations in providing this basic necessity to their citizens. Furthermore, communities in the greatest need of reform for their water systems are often the least likely to be equipped to lead such reforms.

#### Managing the Relationship of First Nation Political Leaders and Their Staff

March 2006, by John Graham

This study speaks to an underlying issue relevant to all First Nation governments: what should be the relationship between political leaders and their staff. This issue is of course not unique to First Nation governments and organizations. Indeed all democratic governments face similar challenges. The purpose of the paper is fourfold: i) to analyze the relationship of political leaders and their staff in a First Nation context, with particular attention to some of the unique features that colour this relationship; ii) to present principles for how this relationship can be placed on a sound footing; iii) to illustrate various approaches that First Nations have taken in creating a sound relationship, and iv) to develop an analytical tool that can help leaders and staff to analyze their current relationship and decide where modifications are required.

#### Exploring Options for Métis Governance in the 21<sup>st</sup> Century

September 2005, by Jason Madden, John Graham and Jake Wilson

Major changes are afoot with respect to the Métis reality in Canada as evidenced by a number of developments including the unanimous Supreme Court judgement affirming the constitutional rights of the Métis in *R. v. Powley*. It is a near certainty that the coming years will herald major advancements with respect to the Métis agenda. In contrast to the governance issues relating to First Nations, there has been relatively little written or researched on Métis Nation governance. In order to begin to fill this gap, this paper has the following purpose: to review existing Métis Nation governance structures in Canada and explore options for their future development in order to stimulate thinking among Métis and across governments.

#### Aboriginal Governance in the Decade Ahead: Towards a New Agenda for Change

March 2004, by John Graham and Jake Wilson

Based on mounting evidence that sound governance is a necessary condition for communities and nations to make rapid progress in improving the well-being of their citizens, the authors have two purposes in writing this paper. First, they outline the principal governance challenges facing Aboriginal communities, focusing primarily but not exclusively on First Nations. Second, they propose an agenda for change to deal with these challenges over the coming decade.

## Options for Commercial Enterprises in First Nations

February 2003, by John Graham and Heather Edwards

The Pictou Landing First Nation (PLFN) commissioned this background paper to assist them in establishing a regime for managing the commercial fishing licences and related boats and gear resulting from the government's response to the Marshall decision (sometimes referred to as the Marshall Response Initiative or MRI). In developing the terms of reference to guide the Institute's work, the PLFN requested that the paper take into consideration lessons from commercial operations in other sectors such as forestry.