

**LEADERSHIP, PLANNING, TEAMWORK, IMPLEMENTATION AND
COMMITMENT TO BUILDING ACCOUNTABLE LOCAL
GOVERNMENTS:**

**IMPRESSIVE THINGS SOME CHAPTERS ARE DOING TO GET THEIR FIVE
MANAGEMENT SYSTEMS WRITTEN AND APPROVED**

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FOREWORD

I am pleased to present “Leadership, Planning, Teamwork, Implementation and Commitment to Building Accountable Local Governments: Impressive Things Some Chapters Are Doing to Get Their Five Management System Written and Approved.”

I believe this work is significant because it delves into effective approaches chapters utilize to get their Five Management System in place, and those approaches are fully replicable by other chapters. I believe this work will have positive and measurable results. Information on how effective chapters address key problems, concerns or challenges can be a shortcut for other chapters who are spared from having to “reinvent the wheel.” These chapters demonstrate how to build their own capable institutions by setting aside the status quo, working together, tapping into the culture and ingenuity of the communities they serve, forming productive partnerships, maximizing citizen participation and building community support. The result is a Five Management System that is written and approved, and exemplifies a system of financial and administrative stability.

The Local Governance Act was passed in 1998. To ensure financial and administrative stability, the Local Governance Act requires chapter “to adopt and operate under a Five Management System.” The Five Management System is defined as “a management system which includes: accounting, procurement, filing, personnel and property management.” Chapters are required to develop policies and procedures setting forth how their Management Systems work. The Local Governance Support Centers are required to provide technical assistance.

Edward T. Begay, Chairperson
Commission on Navajo Government Development

INTRODUCTION

The Commission and Office of Navajo Government Development interviewed 20 chapters in an effort to discover why some chapters are progressing in development and approval of their Five Management Systems, and why some are not. We also interviewed these chapters in an effort to discover what the central government could do to facilitate development and approval of those Systems. This report is a result of those interviews.

The interviewers were members of the Commission on Navajo Government Development, as well as staff from the Office of Navajo Government Development. We primarily interviewed the Community Services Coordinators because they are charged to “develop and present to the(ir) respective chapter governments the chapters Five Management Systems Policies and Procedures,” pursuant to GSCMY-13-00. Occasionally, we also interviewed the chapter officials.

We interviewed for the following information:

1. Knowledge of Local Governance Act and the benefits of being governance-certified.
2. Time management.
3. Technical assistance.
4. Technology and automation.
5. Strategic planning and prioritization.
6. Meeting management.

For chapters that had made significant progress on development of their Five Management System Policies and Procedures, we interviewed on the approval process itself including chapter and central government approvals.

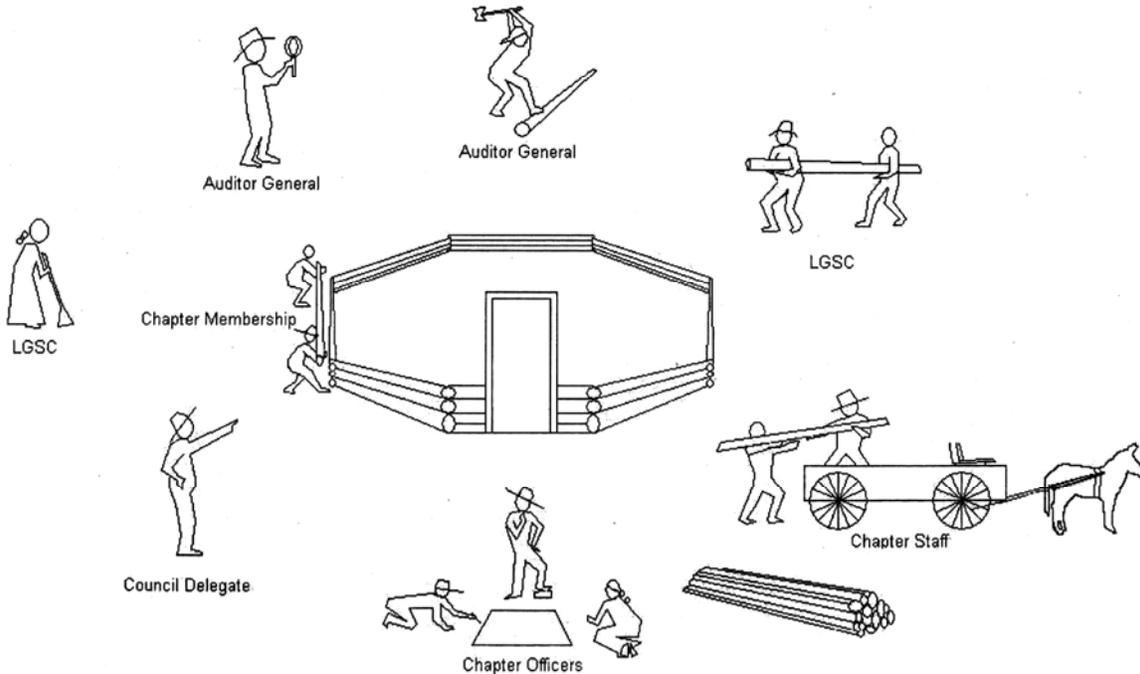
The first aspect of this interview explored the chapter and its operations. The results were extreme. Some chapters were progressing, and some were not. Chapters that are progressing in development and approval of their Systems were impressive. They were well organized, had highly sophisticated administration and management, and worked well with their membership. Chapters that are not progressing in development and approval of their Systems had impressive staff, but lacked leadership and direction, and worked under extreme pressure with no priorities.

The other aspect of this interview explored how the Local Governance Act and the development of the Five Management Systems could be improved upon. This section of the interview really took us to the topic of what the central government could do to compliment or assist with the chapters’ work. This portion of the interview resulted in some really progressive recommendations, and made the interviewers recognize the value of chapter input and how we all fit within the governance-certification process.

CHAPTER DEVELOPMENT AND APPROVAL OF FIVE MANAGEMENT SYSTEM POLICIES AND PROCEDURES

One single theme emerged as a result of this review: “Hozhogo ahil na’ a’ nish” is necessary in order to develop and approve the Five Management System Policies and Procedures. This means everyone is working together, and the process is peaceful and harmonious. “Doo ahil na’ a’ nishda” is not an effective approach, where only one person is working on it. This is not effective because one person alone, no matter how qualified and trusted, cannot make all the decisions necessary for expressing and implementing a whole community’s vision.

Hozhogo a hil na'nish, in the Five Management System context looks like this:



This illustration depicts a working system with all the necessary people involved. The chapter officials set a strategic plan, with a calendar of key events, and make Five Management System Policies and Procedures development a priority. They understand the benefits of being governance-certified, both governmental and financial. They invest their time in development of the Policies and Procedures on a regular and planned basis, and are actively involved and share responsibility for getting it written and approved. They are willing to guide the policy decisions that go into the Policies and Procedures. They involve chapter members in drafting the Policies and Procedures. They work well with people and handle chapter meetings professionally. They talk to the membership about the contents of the Policies and Procedures, and encourage their attendance at meetings.

CHAPTER OFFICIALS:

The chapter officials also assist in presenting the Policies and Procedures to the membership, explain it in Navajo, and enlist members to explain it in Navajo. Sometimes they engage elders to discuss the Policies and Procedures from a traditional perspective. Once a policy is passed, the chapter officials uphold it. When questions about the Policies and Procedures arise, the chapter officials address the questions the best they can. If the discussion gets too heated, they know how to move the discussion along.

CHAPTER STAFF:

The chapter staff operate as a team and use their time efficiently. They streamline their routine duties so they can focus more time on drafting the Policies and Procedures. They utilize their training. When difficult aspects of the Policies and Procedures arise, they call upon non-profit organizations, Diné College,

Department of Personnel Management, or people they know, to assist in overcoming the difficulty. For presentations of material, they utilize Power Point so everyone can follow along. They do the best they can to present in English and Navajo, and to address questions. They utilize some form of computer software to implement the fiscal portion including Quickbooks Pro, Fundware, Intuit, Access, Quicken, and MIP.

CHAPTER MEMBERSHIP:

The membership attend meetings and supports the development of the Five Management System Policies and Procedures. They listen, ask questions, recommend changes where they feel it is necessary, and cooperate in the System's development. Additionally, they volunteer for drafting and presenting. They deliberate on the Policies and Procedures and approve the policy decisions that go into it. They feel a sense of ownership in the Five Management System Policies and Procedures, and once in place they uphold its contents and purpose.

COUNCIL DELEGATES:

The Council delegates educate the membership on the Local Governance Act, and the need for chapters to get their Systems in place. They dedicate themselves to facilitating chapter projects as much as they can, so the chapter people can focus their time on Policies and Procedures development. They facilitate chapter-central government relations and track where the Policies and Procedures are within the Local Governance Support Center and Office of the Auditor General.

LOCAL GOVERNANCE SUPPORT CENTERS:

The Local Governance Support Centers treat the chapter officials and staff professionally, and provide quality technical assistance. They inform the chapters what provisions are mandatory and must be included in the Policies and Procedures, as well as inform them which are discretionary, policy decisions. They utilize their meeting time with chapter officials and staff in a productive manner. They commit themselves to streamlining routine chapter activities so the chapter officials and staff can spend their time working on the Policies and Procedures. They possess the expertise to train on development and implementation of the Fiscal portion of the Policies and Procedures. They conduct "hands on" development of the Fiscal portion, and feel happy when the chapters implement the Fiscal portion accurately. Additionally, they do a preliminary review of the Policies and Procedures for readiness, and recommend ready-ones to the Auditor General.

The Local Governance Support Centers may also encourage cross-chapter development of the Manual. They encourage some staff to become experts in portions of the Policies and Procedures. They practice presenting the Policies and Procedures with the staff, and encourage them to become experts on presenting certain portions.

AUDITOR GENERAL:

Title 26, the Local Governance Act of the Navajo Nation Code, Section 101 states that to ensure accountability, all chapters are required to adopt and operate under a Five Management System (FMS). Chapters shall develop FMS Policies and Procedures that are consistent with the Navajo Nation Law.

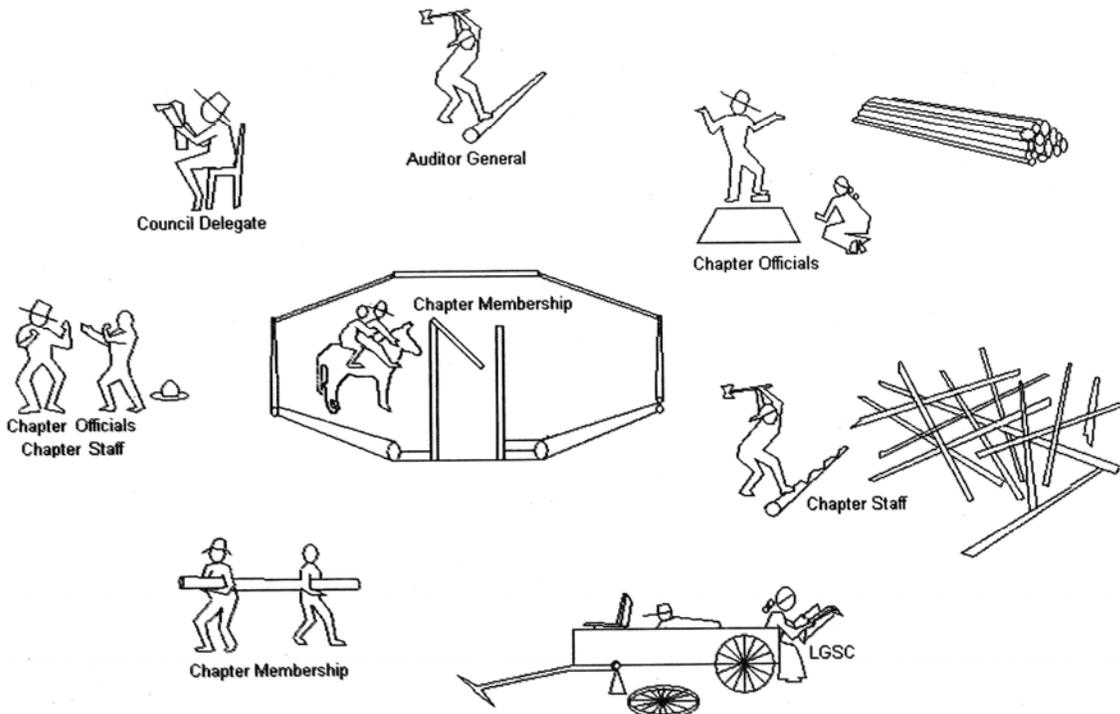
Section 202 of LGA directs the Office of the Auditor General to review the chapter's FMS Policies and Procedures and recommend governance-certification of the policies and procedures to the Transportation and Community Development Committee of the Navajo Nation Council.

In meeting these responsibilities, the Office of the Auditor General has developed an FMS Policies and Procedures Checklist to facilitate the development and implementation of the policies and procedures. The purpose of the checklist is to guide the chapters in developing policies and procedures to provide reasonable assurance that an adequate management system is in place and operating as intended. The checklist describes the essential components that must be included in the FMS.

Each chapter should evaluate its operations and activities to determine the most appropriate policies and procedures to implement. The chapter’s policies and procedures should be designed to ensure accountability and fiscal responsibility.

The Office of the Auditor General will continue to provide assistance to expedite the local governance certification process.

“Doo ahil na’ a’ nishda” is not effective as depicted below:



CHAPTER OFFICIALS:

As the illustration depicts, chapter officials may fail to lead the development of the Five Management System. In some cases, this is because they do not know how to lead. They do not know how to make policy decisions, establish teams, undertake strategic planning and establish key events and timelines, encourage their staff to work hard, encourage chapter membership participation, control meetings and maintain proper decorum. Some chapter officials even lack a basic understanding of the Local Governance Act.

Some chapter officials have less than honorable intentions. They lack a sense of accountability for policy development or implementation and even delegate their responsibilities, and the responsibilities of the chapter members, to the chapter staff. They issue directives to NOT develop Policies and Procedures because

they INCORRECTLY believe it will help them get around the restricted nature of funding. Some go so far as derailing Policies and Procedures development by causing conflicts and disagreements, so people are too uncomfortable to discuss its development.

CHAPTER STAFF:

The illustration also depicts that the chapter staff may not be working to develop the Five Management System. A great many of them over focus on direct services to community members. They help fill out employment applications, taxes, housing applications, NHA forms, social security forms, food stamp applications, financial assistance forms, and heat assistance and burial assistance forms. They may even be hauling coal for elders, and investigating and assisting victims of domestic violence.

Others may over focus on some or all of the following chapter activities: chapter meetings, planning meetings, Community Land Use Planning Committee (CLUPC) meetings, headstart parent meetings, roads committee meetings, resolution drafting, recordkeeping, proposal writing, monthly reports, financial reports, CHR, seniors program, elderly group home, adult in-home care, grazing committee, chapter house renovation, veterans, fire stations, hay sales, water sales, and typing and collecting information for chapter officials and Council delegates, economic development, health facility development, obtaining rights-of-way, advertising, interviewing and supervising youth (SYEP funds), housing discretionary funds, housing assessments, housing discretionary fund quotes, railroad overpass projects, waste management projects, multipurpose buildings, construction meetings, abandoned mines reclamation, livestock assessments and West Nile activities, waterlines, powerlines, food bank, chapter parties, boys and girls club, and home visits for construction and environmental health matters. They may even be answering phones for other programs and addressing school issues.

CHAPTER MEMBERSHIP:

The chapter members may not be involved either. Some do not attend, are not interested, and cannot be coaxed into discussing the Five Management Systems development. Some won't share policy-making decisions, share responsibility, nor work as a team.

As you can see from the two illustrations, there is a real difference in approach between those chapters that are progressing in development and approval of their Policies and Procedures, and those that are not.

COUNCIL DELEGATES:

The Council delegate may stay out of the governance-certification all together, and focus on other matters.

CENTRAL GOVERNMENT EFFORTS TO COMPLIMENT OR ASSIST WITH THE CHAPTERS' WORK ON FIVE MANAGEMENT SYSTEM POLICIES AND PROCEDURES DEVELOPMENT

Our interview also explored what work the central government could do to compliment or assist with the chapters' work on the Five Management System. This portion of the interview resulted in some really progressive recommendations, and revealed to the interviewers the value of chapter input and how we all fit within the governance-certification process.

The Commission and Office of Navajo Government Development

The Commission and Office of Navajo Government Development could teach chapters to talk like governments, instead of *shá* (have it done for me). They could do more education on the governmental (not just financial) benefits of being governance-certified, including the importance of policies and following them. They could address the memberships and explain the importance of governance-certification. They could undertake leadership development to assist officials with policymaking, and provide parliamentary procedure (or meeting management) training to assist officials with running meetings, even when controversial issues are on the agenda. Additionally, they could develop educational materials to refute the misconception that chapters with Five Management System in place, have more procedures and restrictions on funds, or that the central government scrutinizes spending more closely if those Systems are in place.

As streamlining measures, the interviewees recommended the Commission and Office consider developing housing policies, scholarship policies, burial policies, ceremonial policies, and medical assistance policies because all chapters need them. Additionally, they want the Commission and Office to investigate ways to shorten the time the chapter spends on central government duties such as CIP, Headstart, and PEP. They could also explore ways to streamline the paperwork with form documents, formatting, and reports with journals with fund balances.

Specific to Policies and Procedures development, they recommended the Commission and Office develop a questionnaire to assist officials with policymaking. Alternatively, they could consider developing uniform Policies and Procedures.

Specific to approval, the Commission and Office could work with the Transportation and Community Development Committee to reconsider membership approval and quorum requirements. They could explore whether a formal chapter election procedure could be utilized for chapter approval of the Five Management System.

For those chapters that will not perform, the interviewees recommended the Commission and Office to consider proposing amendments to the Local Governance Act to require chapter officials to work on the Five Management System. Some even recommended eliminating the Chapter Vice President position, and utilizing the money for temporary employees to do field work.

For those chapters that have officials with less than honorable intentions, the Commission and Office could form a workgroup with the Ethics and Rules Committee and explore solutions or prevention strategies. Additionally, the workgroup could develop informational materials on misuse of funds.

The Transportation and Community Development Committee of the Navajo Nation Council

The Transportation and Community Development Committee could undertake a thorough review of the governance-certification process, focusing on the work of the LGSCs, the Division, the Auditor General,

and its own oversight review. Additionally, it could revisit the “reading it into the record in English and Navajo” requirement. They could explore efficiency measures for project management, such as powerline extensions, waterline extensions, bathroom additions, and housewiring.

Auditor General

The Auditor General could coordinate training materials with the Local Governance Support Centers. She/He could promulgate regulations addressing the timeliness of the Local Governance Support Center reviews, as well as establish an appeal process if reviews are not addressed in a timely manner. The Auditor General could conduct performance audits on the Local Governance Support Centers.

Division of Community Development

The Division of Community Development could undertake an efficiency study regarding the reviews of the Five Management System Policies and Procedures, and issue regulations on the reviews. Additionally, the Division could make the Ft. Defiance Local Governance Support Center’s training materials the model. The interviewees also thought it was important to have the Division convene the Local Governance Support Center Agency Directors, and discuss whether other departments should be permitted to place deadlines on CSC’s, as well as whether CSC’s could be written up for failing to meet such deadlines, and whether the chapters are permitted to utilize their Gateway computers for administrative purposes.

Local Governance Support Centers

The Local Governance Support Centers differ from agency to agency. In this context, it is important for the Senior Programs and Projects Specialists (SPPSs) to meet with the Auditor General and develop uniform training information. Additionally, the SPPSs need to collaborate with the CSC’s immediate supervisors to prioritize development of the Five Management System, and avoid overloading the CSCs with too many demands. Some SPPSs need to prioritize their own staff’s time to assist the chapters in development and implementation of the Five Management System, instead of dedicating the majority of their time to development and implementation of Corrective Action Plans. Most importantly, SPPSs should look to technological advances and training to make the CSCs jobs easier and more efficient, especially in the context of up-to-date computer systems and downloadable, computerized, and fillable forms that can be submitted electronically. They could also explore teleconferencing, video conferencing, instant messaging, electronic signing for RDPs and expenditure forms, and posting of important information on their website. They should also devise efficiency strategies for mail runs and home visits, as well as consider uniform report-writing and record keeping options.

Effective approaches some SPPSs already use include hands-on training for the accounting portion of the Five Management System, encouraging CSCs to work together to develop their Five Management Systems, and utilizing their meetings with chapter staff efficiently. And some SPPSs are actively involved with their chapters, and take pride in assisting them toward governance-certification. Other SPPSs do not utilize these approaches.

President of the Navajo Nation

The President could try to collect all the applications the Nation requires, and attempt to make application language more uniform, as well as make all applications available at the chapter level. Additionally, he could mandate the Department of Personnel Department to devise a method to assist chapter people to fill out their job applications, and require that department to assist the chapters in understanding the Navajo Nation laws on personnel. He could also require the property, procurement, filing and fiscal people to

provide more technical assistance by request to the chapters.

Others

The Navajo Housing Authority could devise method to assist chapter people to fill out their housing applications. The Winterization Department could devise method to assist chapter people to fill out their applications. The Internal Revenue Service could devise method to assist chapter people to fill out their tax forms.