

EXECUTIVE COUNCIL

SUBMISSIONS HANDBOOK



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Section I: General

The Authority of the Government of the Northwest Territories

The Government of the Northwest Territories (GNWT) is established through the *Northwest Territories Act (NWT Act)*, a piece of federal legislation enacted by the Parliament of Canada. The *NWT Act* establishes the position of Commissioner of the Northwest Territories and provides for an elected council, or Legislative Assembly. The Executive Council, or Cabinet, is established through the *Legislative Assembly and Executive Council Act*, passed by the Northwest Territories Legislative Assembly. Acting under the formal authority of the Commissioner, the Legislative Assembly and Cabinet are the highest government authorities within the NWT.

Authority of the Commissioner of the NWT

The Commissioner of the NWT is appointed by the federal government and is responsible to the Minister of the Department of Indian and Northern Affairs Canada (INAC). While the Commissioner was once directly involved in administering the GNWT, his or her role is now largely official and diplomatic, similar to that of a provincial Lieutenant Governor. This evolution in the Commissioner's role has occurred as a result of the growth of "responsible government" in the NWT. In this context, responsible government means that politicians elected by NWT residents make government decisions, rather than having them made by federally appointed officials.

The Commissioner's approval is still needed for certain decisions of the Legislative Assembly and Executive Council, reflecting his or her formal authority as established in the *NWT Act*. This is seen when the Commissioner gives assent to bills passed in the Assembly, approves policies recommended by the Executive Council or makes regulations and appointments as set out in legislation. However, in keeping with the principles of responsible government, the Commissioner only acts on the advice of the Legislative Assembly or the Premier.

Legislative Authority

The *NWT Act* gives the Legislative Assembly the authority to pass legislation for the Northwest Territories. The Assembly's law-making jurisdiction is limited to specific areas that are identified in the *NWT Act*. Some of these areas of jurisdiction are:

- taxation for territorial, municipal or local purposes;
- property and civil rights in the NWT;
- justice;
- education;
- hospitals (i.e., health care);
- preservation of game and management of timber (i.e., renewable resources); and
- expenditure of money for territorial purposes.

Many of these powers are similar to those of the provinces. These powers have evolved over time and Parliament has amended the *NWT Act* to reflect these changes. A complete list of the current legislative powers of the NWT Legislative Assembly may be found in Section 16 of the *NWT Act*.

Executive Authority

The Legislative Assembly and Executive Council Act (LAEC) provides that the Legislative Assembly will elect a Premier who will serve as the Chair of the Executive Council. The Legislative Assembly also elects several other MLAs to sit as Members of the Executive Council. The Act does not specify the size of the Executive Council.

Under the *LAEC Act*, the Executive Council is responsible for the overall management and direction of the executive Government of the Northwest Territories, including matters of policy. Traditionally, this responsibility is divided among the Members of the Executive Council, who are appointed as Ministers and assigned specific portfolios. Being a Minister is different than simply being a Member of the Executive Council. The Legislative Assembly chooses members of the Executive Council, but Ministerial appointments are assigned separately by the Commissioner acting on the advice of the Premier. Once appointed, Ministers are individually responsible for all matters arising within their portfolios.

The Financial Management Board (FMB) is established under the *Financial Administration Act*. The FMB is responsible for the financial management and administration of government. Similar to the Executive Council, the FMB makes decisions of a government-wide nature in areas such as accounting and budgeting policies, financial administration requirements and program evaluation. More information on the FMB and its responsibilities may be found in Part I of the *Financial Administration Act* or Section 1102 of the Financial Administration Manual.

Government Organization

For the purposes of more effective accountability, administration and management, the GNWT is divided into several departments. Department is defined in the *Public Service Act* as “a division of the public service...designated as a department by the Commissioner in Executive Council on the advice of the Premier.” Each department is responsible to its minister for managing GNWT programs and services and developing and implementing policy and legislation within its particular mandate.

The area of authority for each GNWT department is defined in its Establishment Policy. Establishment policies for all departments may be found in the GNWT Policy Manual. The authority of secretariats, boards and territorial corporations may be found in policy, regulation or legislation, depending upon how each was established.

Central Agencies

Government departments may be categorized as either program departments or central agencies. Program departments are generally responsible for providing direct programs and services such as health care, education, highway maintenance, environmental protection, etc. These departments also play a primary role in developing and implementing policy in their mandated program areas.

Central agency departments play a key role in supporting the Premier and Executive Council as they shape overall government policy. Central agencies also support and advise the Executive Council in the Cabinet decision-making process.

The primary GNWT central agencies are the Department of Executive and Indigenous Affairs, the departments of Finance and Justice. The main responsibilities of each central agency are summarized below; complete details may be found in the Establishment Policy for each department.

Department of Executive and Indigenous Affairs

The Department of the Executive and Indigenous Affairs is generally responsible for providing overall management and direction to the GNWT, including ensuring that all departments follow government legislation, policy, priorities and strategies in their operations. The department is also responsible for ensuring the public is informed about government policies, activities, initiatives, programs and services and for representing the interests of the territorial government and residents of the NWT in land claim, self-government and treaty land entitlement negotiations and in relations with other governments. It also provides strategic advice on political/constitutional development of the NWT and national and territorial Aboriginal relations.

Department of Finance

The Department of Finance is generally responsible for obtaining the resources required to carry out GNWT policies and programs. The department is also responsible for analyzing the economic aspects of fiscal policy and analyzing and making recommendations on tax and fiscal policy issues as well as for setting policy and providing advice on the management and administration of GNWT human resources.

Department of Justice (Attorney General Functions)

In its central agency role, the Department of Justice is generally responsible for providing legal advice and opinions to GNWT departments, boards and agencies and advising Cabinet on legal aspects of any issues brought before it. It is also responsible for conducting litigation on behalf of the GNWT and for preparing all GNWT bills, regulations, statutory instruments and appointments.

The Department of Justice also has significant program department responsibilities for administering the NWT justice and correctional systems.

Decision-Making in the Government of the Northwest Territories

Decision-making in the GNWT includes both the broader activity of setting long-term goals and priorities for government, as well as the more immediate activity of making decisions about the day-to-day operation of government.

Establishing Long-Term Priorities and Strategies

In the consensus system of government practised in the NWT, the Executive Council works with the regular Members of the Legislative Assembly to identify long-term goals and priorities for the GNWT. These goals and priorities are reflected in the legislation passed by the Legislative Assembly that establishes the legal framework within which GNWT programs and services are developed and delivered. The Legislative Assembly also plays a key role in establishing annual goals and priorities through its yearly review and approval of GNWT business plans and the GNWT's budget.

Members of the Legislative Assembly may also work with the Executive Council to help develop plans and strategies related to these goals and priorities. Through these plans and strategies, the GNWT can help NWT residents meet their needs for public programs and services and reach their goals for economic, political and social development. From time to time, the Members of the Legislative Assembly and/or the Executive Council may publish their plans and strategies. These may outline broad plans of action in several areas or be focused on a specific area of need or activity.

Implementation and Day-to-Day Management of the GNWT

Working within the legal framework and budget approved by the Legislative Assembly, the Executive Council is responsible for directing and overseeing the implementation of specific plans and the delivery of various programs and services designed to achieve identified goals and priorities. Ministers, acting either together or individually, will make decisions about how to pursue GNWT priorities and take responsibility for carrying out their decisions. This will include providing direction to departments and generally overseeing the day-to-day operations of the GNWT through the senior management team.

Individual and Collective Responsibility of Ministers

Under the *Legislative Assembly and Executive Council Act* (LAEC Act), Ministers are individually responsible for all matters arising within the departments under their direction. This means that each Minister has the authority to make policy decisions for his or her departments and to oversee the manner in which they are implemented and administered in pursuit of established goals and priorities.

The concept of individual responsibility also requires each Minister to account for his or her actions and decisions (and those of their departments). Where questions arise about how a department has been using GNWT resources or delivering programs and services, the responsible Minister must be able to provide acceptable answers and explanations.

The Legislative Assembly has a primary role to play in publicly holding Ministers to account for their decisions and actions and this is regularly seen during Question Period. It also occurs when Ministers appear before Standing and Special Committees of the Legislative Assembly to explain the proposals and actions of their departments, such as business plans, main estimates and legislation. Where Members of the Legislative Assembly are not satisfied with the answers provided by a Minister, they may choose to formally censure the Minister or even request his or her resignation.

Ministers are also collectively responsible and must account to the Legislative Assembly for the decisions they make together as the Executive Council. This practice grows out of a tradition dating back to 18th Century Great Britain that required the government to have the support of the majority of Members of Parliament. Under this tradition, when a government lost the support, or confidence, of Parliament, it was expected to resign or hold a general election, costing all Ministers their jobs. The practice of making collective decisions in Cabinet about issues of significance for the entire government developed in response to this risk and the need to maintain the confidence of Parliament.¹

¹ The tradition of collective responsibility requires all Ministers to publicly support all decisions of Cabinet. An individual Minister may not speak against a particular Cabinet decision or publicly state that he or she was opposed to it. If a Minister feels he or she cannot stand behind a Cabinet decision, he or she may have to resign from the Executive Council.

While this tradition has evolved over time, the practice of Ministers collectively considering and deciding issues of government-wide importance continues to this day. This practice has been formalized in the GNWT's Cabinet submission and decision-making process. Official rules and procedures in this Handbook have been established to help ensure issues come to Cabinet in an efficient and orderly fashion and that decisions are made with the best available information.

Collective Cabinet Decision-Making

While no NWT government has ever fallen as a result of losing the confidence of the Legislative Assembly, there are still some good reasons for continuing the tradition of collective Cabinet decision-making for some matters.

Allocation of Scarce Resources: As with most governments, the GNWT regularly faces demands to undertake more projects and offer more programs and services than it has the resources (time, staff and funding) to accommodate. As a result, political decisions have to be made about which activities will be pursued at any given time and which activities will be deferred. Decisions to pursue activities in one Minister's portfolio may mean that important activities in another Minister's portfolio have to be cancelled or delayed. Because Ministers are individually and collectively responsible to the Legislative Assembly for their actions and performance, it is essential that all Ministers have a say in those decisions that may affect their individual abilities to undertake projects and activities in their own departments. These decisions are usually made during formal Cabinet meetings.²

Considering Multiple Perspectives: Each Minister brings a unique perspective to the Cabinet table based on their knowledge of their portfolio and their constituents, among other things. When they collectively review significant proposals in Cabinet, Ministers are able to identify and discuss any potential issues, including where the legitimate interests of specific constituencies may have been overlooked. When necessary, Cabinet may direct that proposals be revised and strengthened to better reflect NWT-wide interests and to ensure that Cabinet decisions do not critically interfere with the GNWT's ability to achieve its goals or create unnecessary political opposition. By allowing Ministers to consider multiple perspectives and interests when they make a decision, Cabinet meetings help ensure that decisions are of the highest quality and enjoy the broadest possible public and political support.

² While Cabinet has the primary responsibility for deciding which activities will be pursued on a political basis, the Financial Management Board (FMB) has the responsibility for allocating the GNWT's financial resources to particular projects and activities in keeping with political priorities.

Confirming a Strategic Approach: Not all Cabinet decisions will receive unanimous public and political support. Sometimes Cabinet must make difficult decisions that will be unpopular with certain groups or individuals. In these instances, Cabinet meetings give Ministers the opportunity to consider and agree on strategies for explaining and defending controversial decisions. While an individual Minister will be responsible for announcing and implementing each decision, the convention of collective responsibility means that all Ministers need to be able to speak to Cabinet's position. By agreeing to a strategy in Cabinet, all Ministers can be prepared to lend their support to the decision in a consistent manner.

Section II: Cabinet Meetings and Cabinet Submission Procedures

The formal Cabinet submission process helps facilitate Cabinet decision-making. This process helps ensure that Ministers' time is used efficiently; they are not asked to make unnecessary decisions and they have all the information they need to make good decisions. Standard formats for various types of Cabinet submissions form a key component of the submission process. These formats and suggestions for completing them are discussed later in this manual.

When to Seek Cabinet Direction

Generally, Ministers may carry out most activities related to their portfolios on their own authority under existing legislation and policies. However, the convention of collective responsibility means that there are a number of situations in which Ministers must seek Cabinet direction before making certain decisions or taking certain actions.

The following are some of the items that must be submitted to Cabinet:

- proposals to establish, amend or rescind legislation;
- approval of draft bills for introduction in the Legislative Assembly;
- proposals to establish, amend or rescind Cabinet-approved policies;
- proposed revisions to any item previously approved by Cabinet (e.g., negotiating mandates, terms of reference, etc.);
- actions requiring Cabinet authority under legislation, regulation or policy, including:
 - appointments to various statutory positions and boards (see the specific legislation for details);
 - approval to negotiate contracts; and

- direct appointments to the public service;
- actions requiring Cabinet authority under Cabinet-approved rules or guidelines, including:
 - appointments to public committees, boards and councils (Note: where an appointment is in an individual Minister's authority, he or she is only required to submit an information item to Cabinet before the appointment is made. Further details are available in the guidelines section of this handbook);
- specific actions or decisions that Cabinet has directed be brought back to them for further consideration and/or approval; and
- any matter which involves the collective responsibility of all Ministers, which may include items such as:
 - major changes in a department's programs or services or the way they are delivered;
 - proposed actions or strategies that will have a significant impact on the public (e.g., health care reform) or other departments (e.g., social agenda, disabilities framework);
 - proposed GNWT position statements and communications on issues of territorial significance or in which there is widespread public interest (e.g., devolution negotiations, pipeline development, mine reclamation, etc.);
 - potentially controversial matters that are entirely within the Minister's authority, but for which he or she would like to seek Cabinet advice. (Note: If the Minister does not require Cabinet's authorization, but is only seeking their input, it may be more appropriate to submit an information item).

There may be other situations in addition to this list when a Minister may need to seek Cabinet direction. Staff in the Cabinet Secretariat are available to assist you if you have any questions about whether or not a specific item should be submitted to Cabinet.

Submission Procedures

Cabinet Secretariat manages the Cabinet submission process on behalf of the Executive Council. Formal Cabinet submission procedures have been developed to ensure that meetings are well organized and that there are complete and accurate records kept of all Cabinet meetings. These procedures apply to all Cabinet submissions.

A Minister directs his or her department to develop a submission for Cabinet's consideration. Depending on the specific issue, the submission might be a discussion item, legislative proposal, decision paper, options paper, ministerial initiative or information item.

Where a submission concerns two or more departments, the responsible Ministers may choose to prepare a joint submission to be signed by each of them.

Departments submit a final draft of the submission to their Minister for signature. Individual Ministers may have different requirements concerning how far in advance they would like to receive draft submissions from their departments.

Once signed by the Minister(s), the original signed submission is sent to the Deputy Secretary to Cabinet, along with 2 copies of the submission and all its attachments. The Minister may wish to include a covering letter with the submission explaining any special handling considerations.

The Deputy Secretary to Cabinet must receive signed submissions no later than ten (10) working days before the next scheduled Cabinet meeting if they are to be considered at that meeting. Information items may be submitted up to five (5) working days before the next scheduled Cabinet meeting. Submissions received after this deadline has passed will be held for the following Cabinet meeting.

Cabinet Agendas

Cabinet Secretariat prepares a draft agenda for the upcoming Cabinet meeting shortly after the submission deadline has passed. All submissions, with the exception of Legislative Proposals, that met the deadline are usually placed on the draft agenda, which is then given to the Premier for review and approval. By agreement with the Legislative Assembly, Standing Committees review all Legislative Proposals before Cabinet approves them. As this process may take six weeks or more, Legislative Proposals are not automatically placed on the next Cabinet agenda.

Items on the draft agenda are usually organized under the following headings:

- Prayer
- Approval of Agenda
- Approval of Previous Minutes
- Declaration of Conflicts of Interest
- Items for future consideration
- Discussions and Briefings
- Legislative Proposals
- Draft Legislation
- Decision Items
- Information Items

- Ministerial Travel Plans
- General Discussions
- In-Camera Discussions
- Other headings as required from time to time

When the Premier approves the draft agenda, Cabinet Secretariat prepares a meeting package. This package includes the agenda, signed submissions and their assessments (if any) and any previous minutes prepared for Cabinet approval. The meeting package is distributed to all Ministers and those senior officials who regularly attend Cabinet meetings as advisors (e.g., Secretary to Cabinet, Secretary to the FMB, Assistant Deputy Minister of Justice (Attorney General) and Deputy Secretary to Cabinet) approximately three to four days before each meeting.

Walk-ins

In extraordinary circumstances, a Minister may wish to have a submission considered at a Cabinet meeting after the ten-day submission deadline for that meeting has passed. As Chair, it is up to the Premier to decide whether or not a late submission can be added to an already-prepared agenda.

Should a Minister wish to make a submission after the deadline has passed, he or she must **write a letter to the Premier to request permission to bring that item to the next Cabinet meeting**. The letter must explain why a decision is urgently required and the significance of the issue, including the potentially negative consequences of deferring the submission to the next scheduled meeting.

If the Premier approves the Minister's request, the submission may be brought to the upcoming meeting. Submissions brought to Cabinet in this manner are often referred to as "walk-ins." *Each Minister is responsible for ensuring that copies of all approved walk-ins are distributed to Ministers and the senior staff who normally attend Cabinet meetings.*

While unforeseen circumstances sometimes make it necessary for a Minister to immediately seek Cabinet's direction, walking-in submissions should be avoided whenever possible. The short time frames that typically accompany walk-ins often mean that other Ministers have not had sufficient time to thoroughly review them before a meeting or to receive all the information they need to make the best informed decision possible. Under no circumstances should departments use the walk-in procedures in an attempt to accommodate internal workload issues and time demands.

Legislative Proposals will not typically be considered for approval as walk-ins if Standing Committee has not yet provided its comments.

Withdrawing, Deferring or Replacing Submissions

Occasionally, a Minister may want to revise, defer or withdraw a submission that has already been signed and sent to the Cabinet Secretariat for the next meeting. Often this is the result of new developments or events that make the information in the submission outdated or substantially affect the proposals made in the submission. In these instances, the Minister may follow these steps to have a submission withdrawn, revised or deferred.

Before the Cabinet meeting package has been distributed, the responsible Minister may write directly to the Deputy Secretary to Cabinet and request that a signed submission be withdrawn or deferred to another meeting. If the submission needs to be revised, the Minister may write to the Deputy Secretary to Cabinet and ask that the original submission be replaced and provide a revised signed submission, along with 2 copies.

If the Cabinet meeting package has already been distributed, the responsible Minister may request that a submission be withdrawn or deferred from the draft Cabinet agenda before it is approved. Submissions may also be withdrawn or deferred following Cabinet discussions and such withdrawals or deferrals will be noted in the minutes of that meeting.

Note: When a submission has been deferred, it means that that same submission will be considered at a later Cabinet meeting. The submission may not be changed before it is considered. If the submission needs to be revised, it must be withdrawn and a new submission sent to Cabinet Secretariat. Normal submission deadlines apply to the new submission.

Cabinet Secretariat Assessments

Cabinet Secretariat prepares written assessments for most submissions requiring a decision, with the exception of Legislative Proposals and draft bills, which are assessed by the Legislative Initiatives Committee (described later). The purpose of the assessment is to briefly summarize the main points of each submission and to draw attention to any important issues that Cabinet may want to keep in mind when it is making its decision.

Assessments are provided to Ministers as part of the Cabinet meeting package. They are often referred to as “pinks” because they are printed on pink paper when they are placed in the package to distinguish them from the Ministers’ submissions. Copies of the assessments are provided to Deputy Ministers and Policy Directors following the distribution of Cabinet meeting packages.

The following are some of the factors that Cabinet Secretariat considers when assessing a Cabinet submission:

- Does the proposal comply with any existing Cabinet and FMB direction on the issue?
- Does the proposal comply with the requirements of all relevant legislation, regulations, policies or guidelines?
- Policy coherence — is the proposal consistent with current government priorities, objectives and commitments found in such things as: the Premier’s Sessional Statement, the Budget Statement, the Business Plan and Main Estimates, published strategy documents and other plans and government commitments in the Legislative Assembly or the media?
- Have the Legislative Assembly or its Committees made any comments or recommendations related to the issue?
- Have all potentially affected groups and individuals – including any stakeholders, Aboriginal and community governments, other departments, etc. – been consulted and are the results of the consultation reported?
- Are any financial or legal implications identified and addressed?
- Does the information presented support the Minister’s conclusions and recommended decision?
- Are there any gaps in information or potential issues that have not been addressed in the submission?
- Will the proposal have an impact on any other departments?
- Are there any issues related to land claims and self-government?

Submissions will also be assessed for potential communications issues. This assessment will be done by the Corporate Communications, who has been given specific responsibility in the *Communications Policy #11.21* for reviewing and advising on the communications components of Executive Council submissions. Any communications issues will be addressed by the Corporate Communications in a separate section of the assessment.

Each assessment also includes Cabinet Secretariat’s recommended decision. Depending on the issues raised in the assessment, the recommendation may be the same as the recommendation in the Minister’s submission or the assessment may recommend a different decision.

Cabinet Secretariat will consult with other central agencies and departments in preparing its assessments if the issues involved require particular knowledge (e.g., legal, financial, land claims, etc.).

Each department has a Cabinet Policy Analyst assigned to advise them in preparing Cabinet submissions. Departments are encouraged to discuss planned submissions with their Analyst or, in the case of Legislative Proposals and draft bills, with Legislation and House Planning. The Analyst may be able to identify potential issues or information gaps in the submission that may be addressed before the Minister signs it. As issues that are not adequately addressed in the submission will likely be raised in the pink, consulting with Cabinet Secretariat in advance may lead to more straightforward assessments and consensus on the recommended decisions.

An example of a Cabinet Secretariat Assessment report follows.

Example

CONFIDENTIAL

EXECUTIVE COUNCIL ASSESSMENT REPORT

Prepared by the Cabinet Secretariat

**Submitting Department
Submission Title**

BACKGROUND

A brief summary of the Minister's submission, including a description of the problem and a synopsis of the key elements of the argument and the Minister's proposal.

CABINET SECRETARIAT ISSUES

Issues specific to the submission identified by Cabinet Secretariat. They are presented in the form of questions and answers.

Compliance with legislation, established policy and previous Cabinet direction are issues that are always considered in the preparation of an Assessment Report.

If the Cabinet Secretariat has not identified any issues to be addressed, the Report will clearly indicate "no issues have been identified."

CORPORATE COMMUNICATIONS ISSUES

Any issues identified by the Corporate Communications, in accordance with Communications Policy #11.21.

RECOMMENDED DECISIONS

Specific directions recommended by Cabinet Secretariat and drafted in language consistent with Record of Decision (ROD) conventions.

Cabinet Secretariat recommendations may be the same as or may differ from the recommendations made by the Minister in the submission, depending on the issues identified.

On occasion, Cabinet Secretariat will recommend that Cabinet choose between two or more options, based on the issues identified in the Assessment Report.

Legislative Initiative Assessment.

Legislative proposals and draft bills submitted for Cabinet approval are assessed by Legislation and House Planning with input from the Legislative Initiatives Committee (LIC). LIC is chaired by the Legislative Coordinator and includes members from Cabinet Secretariat, the Department of Finance, the Department of Aboriginal Affairs and Intergovernmental Relations and the Department of Justice's Legislation Division. The broad range of perspectives represented by LIC members helps to ensure that any significant issues are identified and resolved before legislative proposals or draft bills receive Cabinet approval. LIC would also draw upon other expertise as required in the preparation of assessment reports (e.g., obtaining legal opinions from the Department of Justice's Legal Division, obtaining advice on risk management from the Department of Finance, obtaining communications advice from Corporate Communications, etc.).

Similar to Cabinet Secretariat assessments in format and purpose, assessments on legislative proposals and draft bills provide Cabinet with a summary of the submission and identify any potential issues it may wish to consider in making its decision. Legislation and House Planning considers many of the same factors as the Cabinet Secretariat in the preparation of the assessment report, and there is a special emphasis on legislative policy issues (e.g., cohesion with overall GNWT statutory framework, costs of enforcement, etc.). Each assessment also includes a recommended decision that may or may not reflect the Minister's recommendation, depending on the issues identified. The recommended decision would also deal with formally establishing a target date for the introduction of a bill in the Legislative Assembly.

There are a few differences between legislative initiatives and other Cabinet submissions worth noting, as follows:

- The development of legislative initiatives is a two-stage process. Cabinet first considers the concept and policy rationale as outlined in the legislative proposal and then considers the specific instrument (i.e., a draft bill) that would establish a new law or change the existing law.
- Cabinet approval of a legislative proposal and, eventually, a draft bill is only a part of the process and are requisite steps leading up to the Government's introduction of a bill in the Legislative Assembly. Through its own separate processes, the Legislative Assembly will ultimately decide if a new law is to be enacted or changes are to be made to an existing law.
- Unlike most other decision items where Cabinet approves a decision or decisions contained in a document, when Cabinet approves a legislative proposal or bill, the entire document is approved.
- Legislative Proposals are the only Cabinet submissions provided to Standing Committees.

Departments are encouraged to contact the Legislative Coordinator in Legislation and House Planning Division when developing legislative proposals and other submissions concerning legislation. In addition, Departments are strongly urged to request (through the Legislative Coordinator) informal LIC review of draft legislative proposals. LIC may be able to help identify any issues or concerns that can be addressed before the submission is finalized, signed by the Minister and submitted to Cabinet.

Joint Cabinet-FMB Submissions

Cabinet and the FMB each have their own decision-making authority established in legislation, policy and directives. At times, a Minister may have a proposal that requires both Cabinet and FMB direction. In these instances, a Minister may wish to make a joint Cabinet-FMB submission. The following are some of the situations in which a joint Cabinet-FMB submission may be appropriate:

- a submission addresses significant and interrelated policy, financial, organizational or human resource issues requiring both Cabinet and FMB direction;
- an initiative requires the approval of both Cabinet and FMB as established in legislation, Cabinet-approved policy or FMB directive;
- a submission requires immediate direction from both Cabinet and FMB and the submission presents sufficient background and information for both Cabinet and FMB to make an informed decision; and
- Cabinet or FMB has previously directed that the Minister return with a joint Cabinet-FMB submission.

The joint Cabinet-FMB submission uses the same format as an FMB submission, but must clearly indicate that it is a joint submission. The submission process is similar to the process for a Cabinet submission, except that **two original signed copies** must be made. One original must be sent to the Deputy Secretary to Cabinet and copied to the Secretary to Cabinet along with the appropriate number of additional copies. The other original signed submission must be sent to the Chair of the FMB and copied to the Secretary of the FMB. Normal Cabinet and FMB submission deadlines apply. Refer to Appendix 2.1.

Cabinet Policy Analysts and FMB Analysts work together to prepare a joint assessment on joint Cabinet-FMB submissions.

Meeting Follow-up

As soon as possible after a Cabinet meeting, the Cabinet Secretariat will informally advise departments of any decisions Cabinet made on each of their Minister's submissions. At this time, departments will also be advised of any additional considerations or factors that may have influenced Cabinet's decision. Pending notification from Cabinet Secretariat, a department may wish to consult with their Minister's office to find out how a particular matter was decided at Cabinet.

Departments may begin to implement Cabinet direction as soon as they have been advised of Cabinet's decision. However, as Cabinet's decision may differ from the decisions recommended in both the Minister's submission and the Cabinet Secretariat assessment, it is important that departments carefully note any additional considerations or direction before taking action. In any event, the written Record of Decision will be the final word on the matter, taking precedence over any prior communication of Cabinet results.

Some of the key terms Cabinet Secretariat uses in communicating Cabinet results to departments and their meanings include:

- Approved – Cabinet has accepted the recommended decision proposed in a submission;
- Approved as per the pink – Cabinet has accepted the recommended decision proposed in the Cabinet Secretariat assessment report;
- Rejected or not approved – Cabinet has not approved a decision recommended in a submission;
- Deferred – a Minister has asked that his or her submission be considered at another meeting. A deferred submission may not be revised before being reconsidered by Cabinet;
- Withdrawn – a Minister has asked that his or her submission be withdrawn, either before or during the Cabinet meeting;
- Accepted – refers only to Information Items and indicates that Cabinet has not objected to any of the information in it. It does not mean that Cabinet has approved the information item or authorized any action based on it.

Records of Decision

Following each Cabinet meeting, Cabinet Secretariat prepares a formal Record of Decision (ROD) to record the details of each decision. Each ROD has a unique number to identify it and is signed by the Secretary to Cabinet and Premier.

Cabinet direction is always specific and positive – specific Ministers are given explicit direction to undertake identifiable actions. Cabinet does not issue RODs to direct a Minister not to do something or to record negative decisions where it has not approved a proposal or recommendation.

The ROD, and any attachments, is the full and complete record of the direction Cabinet has given. Only those actions or directions noted in the ROD have been approved by Cabinet. Where a ROD is silent on a proposal or recommendation in a submission or pink, it means that Cabinet has not approved the proposal or recommendation.

RODs stand on their own and do not usually make reference to another document. In some instances another document may be attached to a ROD, such as a contract or agreement a Minister has been authorized to sign or a detailed plan a Minister has been directed to undertake. These attachments form part of the ROD. Approved legislative proposals and bills are always attached to the ROD. On rare occasions, where a ROD must refer to a document that is not attached, that document is identified as specifically as possible.

Cabinet does not issue direction to civil servants directly. This is because civil servants are not directly accountable to Cabinet, but are primarily accountable through their Deputy Minister to their own Minister. As a result, Cabinet only issues direction to Ministers, who are directly accountable to Cabinet. However, where a ROD gives direction to a Minister, it is generally understood that staff in the Minister's department (or in the case of the Premier, the Department of the Executive) with responsibility for the particular subject area will be largely responsible for implementing that direction.

Orders in Executive Council

Many Acts require the Commissioner-in-Executive Council to approve particular government actions or documents. "Commissioner-in-Executive Council" refers to the Commissioner acting on the specific and explicit recommendation of Cabinet. Orders in Executive Council (OECs) are a special type of Cabinet record produced to reflect and document the making and acceptance of such recommendations. An OEC is similar in most respects to a ROD, but only becomes effective when the Commissioner signs it.

Security of Cabinet Records

RODs and OECs are confidential Cabinet records that are specifically protected by the *Access to Information and Protection of Privacy (ATIPP) Act*. They are printed on dark red paper to prevent unauthorized duplication which could compromise the protection they have under ATIPP.

Copies of signed RODs and OECs are distributed to Ministers, departments and central agencies affected by that decision. Even when distributed to departments, RODs and OECs remain Cabinet records and must be stored securely and must not be duplicated in any form.

Please note that records of previous Cabinets may not be shared with Ministers of the current Cabinet, even if they were members of the previous Cabinet. Staff will continue to have access to RODs from previous governments and may summarize the direction for the purposes of briefing their current Minister. However, they may not reveal the ROD number and must not reproduce any part of the ROD directly. When making reference to the direction of previous governments in preparing Cabinet submissions, care must be taken to ensure that these rules are followed.

Section III – Cabinet Submission Formats

While departmental officials acting in accordance with existing legislation, policy and procedures can resolve many issues, unique and extraordinary situations often arise which require Cabinet direction. The complex nature of these problems often means that they require a significant and time-consuming amount of research and analysis to identify potential solutions.

Because Ministers have a limited amount of time in which to make decisions on the many issues that are presented to them, Cabinet has established a standard decision-making process to help them maximize the use of their time. Standard formats for common Cabinet submissions are a key part of that process and have been developed for the following types of submissions:

- Ministerial Initiative
- Legislative Proposal
- Decision Paper
- Options Paper
- Information Item
- Discussion Paper

These formats have been designed to help Cabinet make decisions about often complex and difficult problems as efficiently and effectively as possible. When fully completed, they provide Cabinet with the key information they need to make a decision and help lead them step-by-step through the decision-making process — from identifying the problem, through a discussion of the relevant background and factors, to a conclusion and proposed solution.

The use of standard formats also supports Cabinet’s collective responsibility. Because each Minister is accountable for and must publicly support all Cabinet decisions, it is important that all Ministers know the implications and potential consequences of decisions they make together. Following the standard formats helps to ensure that even Ministers who were not previously familiar with an issue have the information they need to make and defend every Cabinet decision.

General Tips for Completing Cabinet Submissions

The following general tips will help you prepare submissions that more effectively meet Cabinet’s decision-making needs and can be applied to all types of submissions. More specific tips for completing the different types of submissions will be discussed in individual sections for each format.

- **Use everyday language** — Ministers must regularly review a great deal of written material. To help them review and come to a conclusion about your submission more quickly, you should write as plainly as possible. Avoiding long complex sentences and paragraphs and the use of jargon or technical terms will improve the readability of your submissions.
- **Complete all sections** — the section headings used in the standard formats cover the most common areas of information that Cabinet needs to make a decision. Completing each section indicates to Cabinet that each area has been considered and helps assure them that they have all the information they need. Where a particular section does not apply to your submission, simply note “not applicable” under that heading.
- **Include all relevant information** — Cabinet submissions need to stand on their own, without depending on previous submissions or items not currently before Cabinet. Ensure that your submission has enough relevant information in it to allow Cabinet to make the requested decision based only on the submission in front of them.
- **Be concise** — while Cabinet submissions need to be complete, it is also important that Ministers not be overwhelmed with unnecessary detail. Try to focus only on significant information and issues and summarize as much as possible. Additional detail and supporting information may be attached to the submission as appendices.

- **Be frank in your submissions** — Ministers must be able to account for the decisions they have made in Cabinet. Letting them know in advance of any potential issues or negative reaction to a proposed decision will help them prepare for any potential questions. While including this information may not always support a proposed decision, it is better that Ministers are aware of any issues beforehand than to have them surprised by it after a decision has been made. All Cabinet submissions are protected under the *Access to Information and Protection of Privacy Act*.

Ministerial Initiative

This submission format is used when a Minister wants to quickly gauge Cabinet support for a major new proposal or initiative requiring Cabinet’s authority before significant time or resources have been devoted to it. It is a brief submission of **no more than one page** and does not include any detailed analysis or proposals.

Based on the Ministerial Initiative, Cabinet will either issue a ROD directing the Minister to return with a fully substantiated proposal (either a decision paper, legislative proposal or joint Cabinet-FMB submission) or will advise the Minister to proceed no further with the proposal.

Note: Cabinet will not approve a proposal on the basis of a Ministerial Initiative submission, but will only direct a Minister to return with a more detailed submission for further Cabinet or FMB direction.

Cabinet Secretariat will not normally assess Ministerial Initiative submissions however, they are still subject to the normal ten working day submission deadline.

Outline and Contents

Initiative

Briefly summarize the proposed initiative in one or two lines.

Tip:

Use this format to seek preliminary clarification from Cabinet about its support for significant new undertakings that have not been previously discussed or considered (e.g., a major legislative initiative, introducing a major new program or significant program redesign, etc.).

Background

Briefly discuss any relevant background. This may include:

- a description of the current situation and how the proposed initiative is expected to resolve a perceived issue or problem;
- a brief indication of how a proposed initiative will be carried out and its expected impact;
- an indication of expected costs (if any); and
- any known or expected issues or negative impact of the proposed initiative.

Tip:

Do not include detailed substantiation in the background material, the Ministerial Initiative is primarily meant to generate discussion, not seek approval for a detailed proposal.

Objective

Briefly state the objective of the submission. For example: “To seek Executive Council direction on returning with a proposal for regulating the secondary diamond industry.”

Example

CONFIDENTIAL

MINISTERIAL INITIATIVE

T I T L E

INITIATIVE

BACKGROUND

OBJECTIVE

Minister of XXX

Date

Legislative Proposal

The development and passage of government legislation involves a number of steps and can take a significant amount of time to achieve.

A Legislative Proposal is prepared whenever a Minister is seeking Cabinet direction to develop new, or amend existing, legislation. A Legislative Proposal must always state in clear terms what the amendment or new Act would do and why it is being proposed. As well, a Legislative Proposal should always provide Cabinet with a clear understanding of all significant issues associated with the implementation of this new or amended law.

To provide Cabinet with the information it needs to make a decision on the proposed legislative initiative, the legislative problem/need must first be identified and policy options to solve that problem/need must be examined and decided upon. Submission of a Legislative Proposal in advance of this work being completed would be premature.

Before Cabinet approves a Legislative Proposal, the government is obliged to seek comments on the proposal from Standing Committee. To obtain comments, the Government House Leader refers the Legislative Proposal to the appropriate Standing Committee after it has been submitted to the Cabinet Secretariat. Comments are provided back to the Government House Leader in a letter from the Standing Committee. This process is governed by the Process Convention for Standing Committee Review of Legislative Proposals, which is also included as an appendix to this manual.

It is important to note that the Government House Leader is given the discretion to take the Legislative Proposal through Cabinet before it is referred to Standing Committee. This is usually only done in the case of very large or controversial initiatives. In any event, Cabinet does not make a decision to approve the Legislative Proposal until Standing Committee responses have been received. The final package that goes before Cabinet includes the Legislative Proposal, a LIC assessment report prepared by the Legislation and House Planning Division and the letter from Standing Committee.

An approved Legislative Proposal provides the responsible Minister with the authority to draft a bill and submit it to Cabinet for consideration.

Outline and Contents

Title

Give the title of the proposed new Act or the Act to be amended.

Tips:

In the case of numerous or comprehensive amendments to an existing Act, Legislation Division (Justice) should be consulted as to whether or not a complete re-write of the Act is advisable.

Consequential amendments to other statutes need not be described here but could be noted in the “Implementation” section.

Background (Optional)

An optional heading that could be used to describe in general terms the nature of the legislative problem (e.g., certain provisions in the Act are outdated or have been overtaken by decisions of the court, etc.). This heading could also be used to provide general context/history for the particular initiative or to note significant origins for the initiative such as special interest group requests for the legislation.

Tips:

If there was any previous relevant Cabinet or FMB direction, this should be mentioned. Use dates to identify previous direction; do not include ROD numbers.

Keep it brief, keep it general – view this section as a way of introducing the topic and leading up to more specific information in the various headings below.

Purpose of Legislation

Describe, in clear and concise terms, what changes are going to be made to the existing Act or, if a new law is being proposed, outline the main elements of the new Act.

Tips:

Statements such as “modernize the Act” or “update the discipline provisions” don’t provide Cabinet with any information to assess the merits of the initiative. Describe in plain language what amendments / new provisions are being proposed to achieve the policy objectives.

Each item listed in this section should have a corresponding entry in the “Policy Rationale” section below.

If a new Act is being proposed or if numerous amendments to an existing Act are being proposed, it is often advisable to combine “what” is being done with the “why” (i.e., Policy Rationale) in a separate document or table attached to the legislative proposal.

In this instance, the text or narrative of the proposal could be used to highlight significant or controversial changes to existing legislation.

“What” should not include proposed specific wording changes to the Act – it is understood that the actual wording would be determined during the drafting of the bill.

Policy Rationale

Describe, in clear and concise terms, why the initiative is being proposed. In other words, state how the proposed new or amended legislation will address the problem at hand and why, from a policy perspective, this is the best way to deal with that problem.

Tip:

As noted above, if a new Act is being proposed or if numerous amendments to an existing Act are being proposed, it is often advisable to combine “what” is being done (i.e., Purpose of Legislation) with the “why” in a separate document or table attached to the legislative proposal.

Consultation

Legislation can have far-reaching effects on individuals and groups. Consultation on legislative initiatives is important and, generally speaking, should be completed before a legislative proposal is submitted.

As a matter of course, all affected GNWT departments and agencies should be consulted on proposed legislative initiatives. Additionally, and dependent on the nature of the legislative initiative, special interest groups, non-government organizations, professional associations, unions, etc. are all potential groups that could be targeted for informal consultation to assist in the development of a legislative proposal. For the more significant pieces of legislation (e.g., *Wildlife Act*, *Human Rights Act*, *Liquor Act*, etc.) broader public consultation is required and usually done through a formal consultation document.

Tips:

It is not enough to say that consultation has been undertaken – the results of the consultation must also be provided.

If the consultation is legally required, this should also be noted.

In some cases, additional consultation with selected stakeholders on a draft bill is also appropriate and should be mentioned here if it is planned.

If you have not consulted, explain why consultation was not necessary.

Legislation and House Planning may contact parties you have already consulted with (or additional parties) to get a better understanding of their views on an issue.

Implementation

Describe any problems that may be encountered or need to be addressed or solved to enact the proposed legislation. (e.g., political issues, adverse public reaction, legal issues, etc.)

Describe any and all administrative implications resulting from the enactment of the legislation. (e.g., human or financial resource requirements, establishment of new boards, etc.)

Describe any timelines that must be met regarding introduction and passage (usually related to legal liabilities). If the Act is not to be brought into force upon assent (e.g., to allow time for the development of appropriate regulations), this should also be noted.

Tips:

It is very useful to use sub-headings (e.g., Political, Financial, Human Resource, Legal, Interdepartmental, Social Impacts, Public Relations, etc.) as required to describe and address all relevant implementation issues.

Any known consequential amendments to other Acts that may be needed could be noted here.

Drafting

Indicate the time required to prepare the draft bill as advised by the Director of Legislation Division in the Department of Justice.

Scheduling

Indicate the proposed target date for introduction of a bill in the Legislative Assembly. Note this target date should be established in consultation with both Director of Legislation Division in the Department of Justice and Legislative Coordinator in the Department of the Executive.

Example

CONFIDENTIAL

LEGISLATIVE PROPOSAL

TITLE

BACKGROUND (Optional)

PURPOSE OF LEGISLATION

POLICY RATIONALE

CONSULTATION

IMPLEMENTATION (Sub-headings as required)

- Political Issues
- Financial/Human Resource Issues
- Legal Issues
- Interdepartmental Issues
- Social Impact Issues
- Communications Issues
- Other Issues

DRAFTING

SCHEDULING

Minister

Date

13 September 2007

Page X of Y

Decision Paper

A Decision Paper is the most common type of Cabinet submission. It is used when a Minister is recommending a specific proposal for Cabinet's approval. Each Decision Paper should include a concise, but complete, discussion of the issue and the Minister's proposal for addressing it. Decision Papers are assessed by the Cabinet Secretariat.

Outline and Contents

Problem

A problem occurs when there is a discrepancy between an existing situation and a desired situation. Cabinet direction is necessary when existing legislation, policies or procedures do not provide a means for resolving the problem.

Briefly describe the specific situation that Cabinet needs to resolve and why it cannot be resolved under existing authorities.

Tips:

Focus clearly on the specific problem. Cabinet needs to know immediately why an issue is being brought to them.

Do not include any background in the problem statement.

Do not anticipate Cabinet's decision by including the proposed solution or recommendation here.

The fact that Cabinet direction is required to do something is not a problem.

Principles

Cabinet decisions should exhibit policy coherence — they should be consistent with existing legislation and policies as well as with GNWT goals and priorities as stated in business plans, the main estimates and various published strategies and plans. Clearly stated principles that embody the underlying values the GNWT holds will help Cabinet make decisions that are consistent with its broad goals and commitments.

Include three or four relevant principles in this section that help to demonstrate the GNWT's preferred approach to, or position on, this problem.

Tips:

Principles are statements that describe an ideal situation, not statements of fact or a public commitment to action. Use the verb "should," rather than "will" or "must," etc.

Principles should be broad statements that can be applied to GNWT actions generally, and not just to one specific problem (e.g., “the GNWT should ensure that local residents share fairly in the benefits of resource development” is a better principle statement than “the GNWT should encourage diamond mining companies to sign impact benefit agreements.”).

Cabinet-approved policies include principles; relevant policies may be a good source of material for this section.

Principles should be realistic, reasonable, politically acceptable and defensible.

Background

Use this section to summarize the significant events, decisions and other details that have contributed to a situation that now needs to be resolved. Be brief, but ensure that all relevant significant material is included in the submission so Cabinet can get a quick overview of where the matter stands before it makes a decision.

Tips:

Shorter is better — detailed history, research data, facts and figures may be included in an appendix to the submission.

Include a brief mention of all previous relevant Cabinet or FMB direction. Use dates to identify previous direction; do not include ROD numbers.

Include specific facts (e.g., research findings, previous commitments, etc.) that have influenced the recommended action.

Do not include details of the recommended action; those should be reserved for the proposal summary section.

Consultation

Cabinet decisions often affect many people and groups. It is sometimes helpful to consult with potentially affected groups while developing a proposed response to the problem at hand. Use this section to describe any external consultation activities you have already undertaken to help shape the proposal. You must also describe the results of your consultation. Consultations with other GNWT departments or agencies may be reported in the Interdepartmental Factors section below.

Where a proposed decision may affect asserted or proven Aboriginal or treaty rights, particularly with respect to land and resource management, the GNWT has a legal duty to consult and potentially accommodate the affected Aboriginal government or group. Results of this consultation should be indicated here. See the GNWT Framework for Consultation with Aboriginal Governments and Organizations for more information on determining whether a proposed decision may affect Aboriginal rights and for guidance on conducting consultations that fulfill the GNWT's legal obligations.

Tips:

This section is for describing consultations that have already been carried out, not consultations you plan to do later.

Plans for future consultation may be included as part of the Communications Summary.

Simply listing parties you have consulted with is not sufficient; you must also indicate what they have said.

If you have not consulted anybody, explain why consultation was not necessary.

Cabinet Secretariat Analysts may contact parties you have already consulted with (or additional parties) to get a better understanding of their views on an issue.

Proposal Summary

Briefly describe the solution that the Minister is recommending for the problem identified at the beginning of the paper. You may also wish to explain how the proposed solution will resolve or address the problem.

Tips:

Do not include details of how the proposed decision will be implemented here; you only need to describe what is being proposed and how it will resolve the problem.

If the Minister is seeking Cabinet approval for a specific implementation plan, summarize the main actions here and attach the plan as an appendix.

Similarly, if the Minister is proposing that Cabinet approve a policy, strategy or document, briefly summarize its main points here. Do not simply say that the Minister is proposing approval of the attached plan, document, etc.

This is the only section where it is appropriate to include arguments explaining how the proposal resolves the problem.

Communications Summary

Successfully implementing the proposed decision will likely require that reasons for the decision and its details be communicated to, and support be sought from, a variety of audiences, including staff, MLAs, other governments, special interest groups and the public. Use this section to briefly describe how the proposed decision will be communicated to ensure it is successfully implemented.

This section should include the following key information:

- communications problem or issue;
- communications purpose and goals;
- key messages and spokespersons;
- strategic considerations; and
- target audiences and expected reactions.

Simple plans may be described entirely in this section. Longer plans addressing more complex decisions may be attached to the decision paper as an appendix and briefly summarized here.

Corporate Communications is responsible for advising Cabinet and FMB on the communications implications of submissions and will review all Cabinet submissions for communications issues. Any issues identified will be included in the Cabinet Secretariat assessments (pinks).

For further information on developing communications plans for Cabinet submissions, contact Corporate Communications in the Department of Executive.

Tips:

Almost all Cabinet decisions will require some internal and/or external communications. If you are not proposing communications activities, use this section to explain why.

Communications plans should focus on linking the decision to the GNWT's overall strategic priorities and explaining how it will benefit NWT residents, plans should not focus on announcing or explaining administrative details.

It is not sufficient to just list the planned communications activities. Your summary should identify how the planned activities will achieve your communications goals.

Factors

Cabinet needs to know whether or not the proposed decision will have any significant implications or consequences for the GNWT. Use this section to identify any major factors that Cabinet should consider when making the requested decisions. The following categories include the most common factors that Cabinet needs to consider and should be present in all decision papers.

Political

Will the decision have political implications for the GNWT? For instance, will it be supported (or opposed) by MLAs, Aboriginal governments or community governments? Will the decision have an effect on relations with the federal, provincial or other territorial governments?

Social

Have the potential social impacts of the proposed decision been considered? How will the decision affect or improve social conditions at the community, regional or territorial level?

Legal

Will there be any legal implications, such as a need for new or amended legislation or regulations? Will the decision affect the outcome of pending or ongoing legal action?

Financial

Will it cost anything to implement the proposed decision? Will there be any cost implications if Cabinet does not approve the proposed decision? Will costs be covered from within or will the Department need to request funding from the FMB? If a separate request on this issue has gone to FMB, it should be mentioned here.

Interdepartmental

Will the proposed decision have an impact on other departments? If it will, have the other departments been consulted or involved in the preparation of this decision paper? What have they said about the proposal? Concerns or support from other departments should be noted in this section.

Other

Other important factors that Cabinet should consider may be noted in this section.

Tips:

Listing all of the categories in your decision paper, if only to state that “no implications have been identified” helps assure Cabinet that all important considerations have been taken into account.

Departments are free to include any other categories of factors that are necessary.

Factors are not arguments for or against the decision, they should be simple statements of fact about known or reasonably anticipated actions related to the proposal.

Recommended Decision

State the recommendations being made to Cabinet to resolve the problem you have identified and which are consistent with the analysis and proposal summary presented in the submission. Try to be as specific as possible to avoid any ambiguity or uncertainty.

Tips:

Be specific and complete. Cabinet does not give general approval (e.g., approve a decision paper), but issues specific direction based on your recommendations. Make sure your recommendations include all the specific directions you would like Cabinet to give.

Cabinet does not generally give approval-in-principle; you should only be including final direction in your recommendations. Use the Ministerial Initiative or Options Paper format if you need Cabinet to provide preliminary direction on a proposed action or activity.

RODs must be complete and stand on their own. Do not make reference to something outlined in the paper in your recommendation (e.g., “direct the Minister to proceed as outlined above”).

Cabinet only has the authority to direct Ministers, not civil servants. Do not include direction for departments or staff in your recommendations.

If you have any doubts, your Cabinet Secretariat Analyst is always available to provide feedback on your draft recommendations.

Example

CONFIDENTIAL

DECISION PAPER TITLE

PROBLEM

PRINCIPLES

BACKGROUND

CONSULTATION

PROPOSAL SUMMARY

COMMUNICATIONS SUMMARY

FACTORS

- Political
- Social
- Communications
- Legal
- Financial
- Interdepartmental
- Others

RECOMMENDED DECISION

Minister

Date

Options Paper

Similar to a Decision Paper, an Options Paper is prepared when a Minister requires Cabinet direction to resolve a specific problem. However, unlike a Decision Paper, the Minister does not recommend a specific solution to the problem, but instead outlines two or more potential options that Cabinet may select from.

While there are often several options for resolving many of the problems brought to Cabinet's attention, usually Ministers are able to identify and recommend a single preferable solution in a Decision Paper. Established GNWT priorities and policies help in this process by providing guidance on what makes an acceptable solution (i.e., a solution that is compatible with existing direction and commitments). In some instances, however, no clear solution will exist, either because there is no established line of policy on the matter or because potential solutions address different policy objectives which conflict with each other. In these situations, an Options Paper may be used to seek direction from Cabinet on the various options.

Options Papers are not meant to help a Minister make routine decisions or to make decisions within his or her authority. They should only be used in those situations where Cabinet authority is normally required. If there are particular sensitivities around an issue within a Minister's authority, he or she may wish to have an Information Item prepared for Cabinet's consideration. This will give the Minister the opportunity to get advice and solicit support from other Ministers, but will not fetter the Minister's authority by having Cabinet give inappropriate direction.

Each Options Paper should include a concise discussion of the issue and an analysis of each available option. Options Papers are assessed by Cabinet Secretariat.

Outline and Contents

Problem

See Decision Paper format for information.

Principles

See Decision Paper format for information.

Background

See Decision Paper format for information.

Consultation

See Decision Paper format for information.

Options

Briefly describe each of the options that have been developed as possible ways to address the problem identified at the beginning of the paper. You may wish to describe how each option will resolve the problem, as well as describe the potential advantages and disadvantages of each option.

Tips:

Cabinet decisions should be consistent with overall GNWT priorities and policies (i.e., they should exhibit policy coherence). Try and describe how each option meets existing GNWT policy objectives.

Do not include details of how each proposed option will be implemented if selected; you need only describe what is being proposed in each case and how it will resolve the problem.

If the options require Cabinet approval of a specific implementation plan, summarize the main actions for each and attach the plans as appendices.

If the options require Cabinet approval for a policy, strategy, document or agreement, briefly summarize its main points here. Do not simply state that the Minister is proposing approval of the attached plan, document, etc.

This is the only section of the paper where it is appropriate to include arguments explaining why each option is an appropriate solution to the stated problem.

Communications Summary

Summarize how each option will be communicated. See Decision Paper format for information.

Factors

See Decision Paper format for information.

Recommendations

State the options being presented to Cabinet to resolve the problem identified at the beginning of the paper. The option that is selected will be reflected in a Cabinet ROD, so try to make each option as clear and specific as possible to avoid any ambiguity or uncertainty.

Generally, the different options presented to Cabinet in an options paper meet different, and sometimes conflicting, GNWT policy objectives. To help Cabinet select an option, it is useful to present each option as an “if, then” statement that clearly links it to the particular policy objective it fulfills, as in the example below:

If the Executive Council believes that it is more important to travel quickly, than to travel privately, then it is recommended that the Executive Council travel by scheduled aircraft.

OR

If the Executive Council believes that it is more important to travel privately than to travel quickly, then it is recommended that the Executive Council travel by automobile.

Tips:

Be specific and complete. Cabinet does not give general approval (e.g., approve a decision paper), but issues specific direction based on your recommendations. Make sure your recommendations include all the specific directions you would like Cabinet to give.

Cabinet does not generally give approval-in-principle; you should only be including final direction in your recommendations. Use the Ministerial Initiative or Options Paper format if you need Cabinet to provide preliminary direction on a proposed action or activity.

RODs must be complete and stand on their own. Do not make reference to something outlined in the paper in your recommendation (e.g., “direct the Minister to proceed as outlined above”).

Cabinet only has the authority to direct Ministers, not civil servants. Do not include direction for departments or staff in your recommendations.

If you have any doubts, your Cabinet Secretariat Analyst is always available to provide feedback on your draft recommendations.

Example

CONFIDENTIAL

OPTIONS PAPER TITLE

PROBLEM

PRINCIPLES

BACKGROUND

CONSULTATION

OPTIONS

COMMUNICATIONS SUMMARY

FACTORS

- Political
- Social
- Communications
- Legal
- Financial
- Interdepartmental
- Others

RECOMMENDED DECISION

Minister

Date

Information Item

Information Items are prepared when a Minister wishes to advise his or her Cabinet colleagues of a planned decision or activity that does not require Cabinet's approval. Often a Minister will submit an Information Item when faced with a politically sensitive issue for which he or she would like Cabinet's advice, but does not need Cabinet direction. Information Items may also be submitted to advise Cabinet of documents or reports being released by a Minister, to update them about ongoing initiatives or where required by certain rules (e.g., the rules for appointments to boards and agencies).

Information Items are not normally assessed by Cabinet Secretariat, although they may be if the Minister is proposing action that requires Cabinet authority. Information Items are subject to the five working day submission deadline.

Please note that Cabinet does not normally issue RODs based on an Information Item unless a recommended decision has been included in a pink attached to the Information Item. In most cases, Cabinet will simply "accept" an Information Item. This does not mean that Cabinet has approved or authorized a particular decision or initiative outlined in the Information Item. If the Minister wishes to receive Cabinet authorization or approval, a Decision Paper must be prepared instead of an Information Item.

Outline and Contents

Purpose

Briefly indicate why the Information Item is being submitted to Cabinet.

Summary

Summarize the key points that the Minister wishes Cabinet to know. If the Information Item is being used to cover a longer document or report, you should summarize the main themes or points of that document here and attach the document to the information item.

Example

CONFIDENTIAL

INFORMATION ITEM

TITLE

PURPOSE

SUMMARY

Minister

Date

13 September 2007

Page X of Y

Discussion Paper

The discussion paper format may be used when a Minister wishes to engage his or her Cabinet colleagues in a focused discussion on an identified issue. Unlike other submission formats, however, a Discussion Paper is unique in that it is not used to propose particular actions for Cabinet approval (as with Ministerial Initiatives, Decision Papers and Options Papers) or to report on something a Minister plans to do under his or her own authority (as with an Information Item).

Cabinet will not normally issue a ROD when it has considered a Discussion Paper, but the resulting discussions may provide a Minister with additional information or views that will be useful if he or she needs to return with a formal proposal for Cabinet or FMB direction.

Cabinet Secretariat will not normally assess Discussion Papers, however, these submissions are still subject to the normal ten working day submission deadline.

Outline and Contents

Issue

Briefly summarize the issue or question to be discussed.

Tips:

Focus clearly on the specific issue, Cabinet needs to know immediately why a matter is being brought to them.

Do not include any background in the issue statement.

Do not anticipate Cabinet's discussion by including proposed solutions.

Current Status

Briefly describe the situation as of the time of writing. Limit this section to an objective statement of the facts and avoid prejudicing the discussion by presenting the situation in terms of a problem that needs to be resolved.

Tip:

If a specific problem has been identified and can be described, consider another type of submission (e.g., Decision Paper, Options Paper, Legislative Proposal).

Background

Use this section to summarize the significant events, decisions and other details that have contributed to the identified issue. Be brief, but ensure that all relevant significant material is included in the submission so Cabinet can get a quick understanding of the issue and concerns.

Tips:

Shorter is always better – detailed history, research data, facts and figures may be included in an appendix to the submission.

Include a brief mention of any previous relevant Cabinet or FMB direction. Use dates to identify previous direction; do not include ROD numbers.

Identify previously expressed concerns or complaints that should be discussed.

Comments

Having identified the issue, clarified the current status and summarized the background, identify (usually brief, bullet-form) points that should be considered and will contribute to the discussion.

Bear in mind that the objective of the submission is not to argue in support of a particular action, but rather to encourage informed discussion of the issue.

Tips:

Consider the factors categories used in the Decision Paper format, but do not be bound by these categories for the comments section.

Shorter is better – detailed history, research data, facts and figures may be included in an appendix.

If the temptation is to identify or argue for a particular action or solution, you probably should consider another type of submission normally used for making recommendations to Cabinet (i.e., Decision Paper, Options Paper or Legislative Proposal).

Example

CONFIDENTIAL

DISCUSSION PAPER TITLE

ISSUE

CURRENT STATUS

BACKGROUND

COMMENTS

Minister

Date

13 September 2007

Page X of Y

Committee-of-Cabinet Meeting Summary

This submission format is used to provide Cabinet with a summary of discussions and proceedings of individual Committees-of-Cabinet (COC) as required by the Terms of Reference for the established COCs. It should be a brief submission, usually not **more than two pages**, and need not include any detailed analysis or proposals.

Each meeting summary must be reviewed and signed by the Committee Chair prior to submitting to the Cabinet Secretariat. All meeting summaries submitted to the Cabinet Secretariat five working days in advance of the next Cabinet meeting will be included on the draft Agenda and distributed in the Cabinet package.

Should a COC wish to make a recommendation to Cabinet, based on work done or discussions taken in committee, each Committee Chair is authorized to bring recommendations forward to Cabinet as a decision item signed by the Chair in his or her capacity as Chair of the COC. These decision items should be formatted according to established Cabinet submission formats (decision paper, legislative proposal etc.) and submitted through the standard submission procedures for all items of this nature.

Outline and Contents

Meeting Date

Provide the date on which the summarized meeting took place.

Members Present

Provide a listing of the Members in attendance. References to portfolios are not necessary.

Advisors Present

List the advisors present by title.

Discussion Summary

Identify and briefly summarize each agenda discussed by the Committee, highlighting any agreement reached or items identified for further discussion.

Tip:

Do not include detailed arguments or analysis, the Discussion Summary is primarily meant to identify and track discussions that have taken place and not to make proposals or recommend decisions.

Action tracking

Identify any specific actions agreed to.

Tip:

Specific actions do not have to be reported in detail. For example, an indication that a letter will be finalized, and issue will be discussed at a future meeting, or a proposal will be submitted for Cabinet's consideration will suffice.

Signature Block

Please keep in mind that the Minister who signs the summary, must sign it in his/her capacity as Chair of the Committee, not as Minister of a specific portfolio.

Example

CONFIDENTIAL

COMMITTEE-OF-CABINET MEETING SUMMARY

NAME OF COMMITTEE

MEETING DATE:

MINISTERS PRESENT:

ADVISORS PRESENT:

DISCUSSION SUMMARY:

ACTION TRACKING:

Activity	Responsibility	Time

Date _____ **Committee Chair** _____

February 28, 2012

Page X of Y

SECTION IV -APPENDICES

1. PROCESS CONVENTIONS:

Appendix 1.1: Consensus Government in the Northwest Territories - Guiding Principles and Process Conventions (October 2016)

2. SUBMISSIONS GUIDELINES

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Appendix 2.2: Appointment Procedures (GNWT Committees, Board and Councils) (1986)

Appendix 2.3: Guidelines and Format for Submissions Recommending Direct Appointments (April 2017)

Appendix 2.4: Format for Executive Council Submissions Recommending Authorization to Negotiate Contracts under the Negotiated Contracts Policy (September 2007)

Appendix 2.5: Cabinet Operational Guidelines: When a Cabinet Submission Might be required (March 2009)

Appendix 2.6: Cabinet Operational Guidelines – Electronic Executive Council Submissions (April 2013)

3. COMMITTEES-OF-CABINET TERMS OF REFERENCE

Appendix 3.1: Committee-of-Cabinet Terms of Reference – Energy and Climate Change (April 2017)

Appendix 3.2: Committee-of-Cabinet Terms of Reference – Priorities and Planning (April 2017)

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4. CABINET OPERATIONAL GUIDELINES

Appendix 4.1: Cabinet Operational Guidelines: Board Appointments (August 2013)

Appendix 4.2: Cabinet Operational Guidelines: Committees-of-Cabinet: Operational Procedures (June 2016)

- Appendix 4.3: Cabinet Operational Guidelines: Government Activities During a Transition Period: (September 2015)
- Appendix 4.4: Cabinet Operational Guidelines During a Transition Period: Disclosure of Information During a Transition Period (September 2015)
- Appendix 4.5: Cabinet Operational Guidelines: Government Advertising During a Transition Period (September 2015)
- Appendix 4.6: Cabinet Operational Guidelines: Procurement Activities During a Transition Period (September 2015)
- Appendix 4.7: Guidelines for Selecting Names for GNWT Owned Office Buildings (May 2016)
- Appendix 4.8: Cabinet Operational Guidelines – Legislative Proposal Development and Distribution (December 2017)
- Appendix 4.9: Cabinet Operational Guidelines on the Use of the Terms “Indigenous” and “Aboriginal” (December 2017)

**Appendix I.1: Consensus
Government in the Northwest
Territories – Guiding Principles
and Process Conventions**

CONSENSUS GOVERNMENT IN THE NORTHWEST TERRITORIES

~

GUIDING PRINCIPLES AND PROCESS CONVENTIONS



Northwest
Territories

Legislative Assembly
Caucus

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Consensus Government in the NWT

Guiding Principles

1. Consensus government is defined by the ability and willingness of all Members of the Legislative Assembly to work together, within their respective roles, for the collective good of the people of the Northwest Territories.
2. Consensus government is a unique combination of the British traditions of ministerial responsibility, cabinet solidarity and legislative accountability and the Aboriginal traditions of open dialogue, inclusive decision-making, accommodation, respect and trust.
3. Open and respectful communication between all Members is the most essential feature of consensus government. While it is impossible to reach unanimous agreement on all issues, the opportunity for all Members to have meaningful input into important decisions is fundamental.
4. Effective communication is a "double-edged sword." For consensus government to work, all Members must agree to respect the confidentiality of information before it is properly made public. Similarly, Members should acknowledge the fact that information was shared in confidence once it has been released.
5. Except under extraordinary circumstances, Members of the Legislative Assembly should be made aware of and have opportunity to discuss significant announcements, changes, consultations or initiatives before they are released to the public or introduced in the Legislative Assembly. Use of the element of surprise is inconsistent with consensus government.
6. The business of consensus government should be carried out in public, unless there are compelling reasons to meet in private. Public meetings should be the rule and not the exception.
7. The role of the Caucus is fundamental to the effectiveness of consensus government. Caucus provides a venue for all Members to set broad strategic direction for a Legislative Assembly and discuss matters of widespread importance to the Northwest Territories as they arise.
8. The Premier and Cabinet are appointed by the Members of the Legislative Assembly to provide overall leadership and direction in accordance with the broad strategic direction set by the Caucus. Cabinet must have the ability to

implement this strategic direction effectively and efficiently but in a way that reflects the concerns of Regular Members and maintains their support.

9. Unlike a party-based parliamentary system, the Regular Members are not a "Cabinet in Waiting." Their ultimate goal is to support Cabinet in implementing the broad strategic direction set by the Caucus.
10. As with all parliamentary systems of government, a healthy level of tension must exist between Cabinet and Regular Members. While the ultimate goal of the Regular Members is not to defeat or discredit Cabinet, it is their responsibility to review and monitor the leadership and direction of Cabinet and hold it to account.
11. The attendance and participation of all Members of the Legislative Assembly within their respective roles is essential to the effectiveness of consensus government. Formal sessions of the Legislative Assembly and meetings of Caucus, Cabinet and standing and special committees must be a priority for every Member.

PROCESS CONVENTION

The Role of Caucus

Guiding Principle

The role of the Caucus is fundamental to the effectiveness of consensus government. Caucus provides a venue for all Members to set broad strategic direction for a Legislative Assembly and discuss matters of widespread importance to the Northwest Territories as they arise.

Guiding Principles: 1, 3, 4, 5, 7 and 11

General Protocols

1. Caucus is intended to provide a venue where Members can share their views and build consensus on matters that are highly sensitive in nature or of broad and strategic importance to all Members or the Northwest Territories.
2. Caucus is not a decision-making body. Caucus discussions should not limit or replace debate on the floor of the legislature, in Cabinet or Committees. Nothing in this protocol is intended to limit the rights and privileges normally enjoyed by Cabinet, the House or its Members and Committees.
3. The important role that Caucus plays in consensus government depends upon the ability of every Member to express their views in an honest and forthright fashion. Caucus cannot function without an absolute guarantee of confidentiality. No Member other than the Chair or Deputy Chair, when specifically authorized to do so, should comment upon or release information about matters discussed in Caucus.
4. Whenever possible, Caucus direction should be determined through consensus. In those rare cases where no clear consensus emerges, a vote may be taken. The results of votes are determined by the Chair.
5. Caucus is not intended to replace the formal roles and responsibilities of the House, the Speaker, Ministers, Cabinet, Committees or the Board of Management. Nothing in this protocol should be seen as limiting these roles and responsibilities.

Authority

This Process Convention is established under the authority of Caucus, the Executive Council and the Standing Committee on Priorities and Planning and may be amended at any time by the agreement of all parties.

Roles and Responsibilities in the Caucus

1. The Chair and Deputy Chair are selected by the Caucus. These appointments are not formally ratified by the House. The Chair and Deputy Chair are Members who do not serve on Cabinet, as Speaker or as Chair of a Standing Committee of the House. The election of Chair and Deputy Chair is presided over by the Clerk of the Legislative Assembly. The Chair or Deputy Chair serve at the pleasure of Caucus and may be removed at any time.

2. The Chair is responsible for calling meetings of the Caucus, approving and distributing draft agendas and supporting materials and maintaining order and decorum in meetings. When clearly and specifically authorized to do so, the Chair and Deputy Chair may speak publically on behalf of Caucus.
3. All MLAs serve as equal members of Caucus and are encouraged to participate in discussions free from Cabinet or Committee solidarity. Reference to Members by titles held outside the Caucus is discouraged. On rare occasions, Members may be expected to speak to a matter in an official role held outside the Caucus. For example, the Government House Leader may be called upon to advise Caucus of upcoming government House business or the Speaker may be called upon to advise Caucus of the proposed appointment of a statutory officer.
4. The Speaker of the Legislative Assembly is a member of Caucus and is entitled to participate in discussions without the usual restraints that accompany this office.


Caucus Meetings

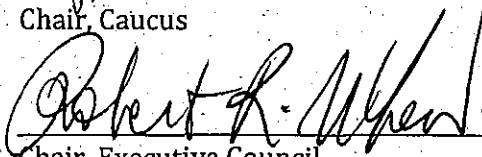
1. Caucus meets regularly when the House is in Session. Regular meetings occur on Tuesdays at 10:30 a.m. Caucus also meets at 1:30 pm on the day preceding the commencement of a legislative sitting. Regular meetings of Caucus take place in the Caucus Room of the Legislative Assembly.
2. At least once a year the Caucus meets when the House is not in Session. These meetings normally take place outside the capital and are scheduled at the call of the Chair after consulting with all Members. The Chair may call a special meeting of Caucus at any time after consulting with as many Members as possible.
3. Quorum for a Caucus meeting is a majority of sitting MLAs. A Caucus meeting may not commence until a quorum is established. Once a quorum has been established, the meeting is not terminated by the subsequent loss of quorum unless the attention of the Chair is drawn to such loss of quorum.
4. The attendance of all Members at Caucus meetings is essential to the effectiveness of consensus government. Attendance at regular and special Caucus meetings must be a priority for every Member.
5. As Caucus is not a formal decision-making body, minutes or records of decision are not kept. Caucus agendas and supporting information are confidential as is correspondence from the Chair or Secretary to Members.


Mandate of Caucus

1. Establishing, promoting and, each year, reviewing the Principles of Consensus Government and the consensus government protocols.
2. Orientation of a newly-elected Legislative Assembly.
3. Establishing the priorities for a newly elected Legislative Assembly.
4. Emergency or strategic issues of immediate concern to all Members

5. The political evolution of the Northwest Territories
6. Members' Code of Conduct and disciplinary matters
7. Appointment of officers of the Legislative Assembly.
8. Meetings with senior federal, provincial and territorial leaders.
9. Legislation affecting Members directly.
10. House planning and scheduling.


Chair, Caucus 27 Oct 2016
Date


Chair, Executive Council 27/10/16
Date


Chair, Standing Committee on
Priorities and Planning 28-Oct-2016
Date

PROCESS CONVENTION

Standing Committee Review of Legislative Proposals

Application

This process convention is not intended to govern Appropriation Acts, Supplementary Appropriation Acts, Miscellaneous Statutes Amendment Acts or any other legislative initiative, e.g. taxation measures, for which legislative proposals are not normally required by Cabinet.

Guiding Principles: 1, 2, 3, 4, 5, 6 and 9

General Considerations

It is fundamental to consensus government that Standing Committees are provided with an opportunity to review legislative proposals and provide advice to Cabinet prior to the introduction of legislation in the Legislative Assembly.

Legislative proposals are Cabinet documents that must be kept confidential.

While Cabinet decisions on legislative proposals are pending, individual Ministers are not in a position to make any commitments regarding the initiative. All advice and other communication from Standing Committees should therefore be addressed to the Government House Leader, who has overall responsibility for the Government's legislative agenda.

In consideration of the limitations noted above, Standing Committee review of legislative proposals may not be a conclusive exercise in terms of reaching full agreement prior to the introduction of a bill in the Legislative Assembly. The Committee's advice will guide the government in determining the advisability of proceeding.

Nothing in this process convention precludes Cabinet's prerogative to introduce bills in the Legislative Assembly or the right of Committees and Regular Members to debate and introduce amendments to these bills.

Authority

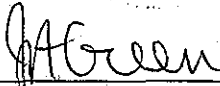
This Process Convention is established under the authority of Caucus, the Executive Council and the Standing Committee on Priorities and Planning and may be amended at any time by the agreement of all parties.

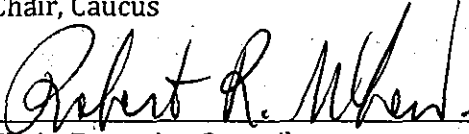
Process

1. A legislative proposal is prepared, signed by the Minister responsible and submitted to Cabinet via the Cabinet Secretariat.
2. At the discretion of the Government House Leader or upon request from the sponsoring Minister, a legislative proposal may be reviewed by Cabinet before it is referred to Standing Committee.
3. The legislative proposal is forwarded by the Government House Leader to the Chair of the appropriate Standing Committee. All Ministers are copied on this correspondence. The Standing Committee on Priorities and Planning will also be copied on this correspondence if the

legislative proposal is being referred to a different Standing Committee.

4. The Standing Committee reviews the legislative proposal. The Minister and officials may be invited to this meeting to provide additional information. However, it is understood that the legislative proposal is a Cabinet document and that the Minister cannot make changes to the proposal or make any commitments regarding the content of a bill.
5. Standing Committee advice on a legislative proposal is provided in a letter from the Committee Chair to the Government House Leader. The sponsoring Minister is copied on this correspondence.
6. Standing committees will endeavor to consider and provide a response to legislative proposals within six weeks of receipt. The Government House Leader will be mindful of committee meeting schedules when forwarding legislative proposals to standing committees.
7. Upon receipt of Standing Committee advice and the completion of an assessment report by central agencies, the Government House Leader will arrange for the legislative proposal to be put before Cabinet for final consideration. The proposal, assessment report and Standing Committee letter goes before Cabinet as a package.
8. The Government House Leader will, prior to the beginning of each sitting of the Legislative Assembly, provide Caucus with a list of bills anticipated for introduction in that sitting.


Chair, Caucus 27 Oct 2016
Date


Chair, Executive Council 27/10/16
Date


Chair, Standing Committee on
Priorities and Planning 28- Oct - 2016
Date

PROCESS CONVENTION

Consideration and Enactment of Bills Under the Administration of the Speaker and Board of Management of the Legislative Assembly

General Guidelines

This process convention applies to the consideration of legislation that falls under the administration of the Speaker and the Board of Management of the Legislative Assembly including bills to amend or replace the following statutes:

- *Legislative Assembly and Executive Council Act;*
- *Elections and Plebiscites Act*
- *Electoral Boundaries Commissions Act;*
- *Retiring Allowances Act;*
- *Supplementary Retiring Allowances Act;*
- *Human Rights Act, Part 3;*
- *Official Languages Act, Part 2; and*
- *Access to Information and Protection of Privacy Act, Part 4, Division A.*

Nothing in this Process Convention detracts from the financial prerogative of the government as expressed in Section 35 of the *Northwest Territories Act, SC. 2014, c.2, s.2.*

Guiding Principles: 3, 5, 6 and 7

Authority

This Process Convention is established under the authority of Caucus, the Executive Council and the Standing Committee on Priorities and Planning and may be amended at any time by the agreement of all parties.

Process

1. The need to amend one of the above-noted statutes, or to introduce a new bill, is proposed by any one of the following:
 - a. The Legislative Assembly, including an MLA, a Standing or Special Committee or Committee of the Whole;
 - b. The Speaker or the Board of Management;
 - c. Caucus;
 - d. The Executive Council;
 - e. The Independent Commission to Review Members' Compensation and Benefits;
 - f. The Conflict of Interest Commissioner;
 - g. The Chief Electoral Officer;
 - h. The Electoral Boundaries Commission; or
 - i. Any member of the public.

2. Consultation with affected agencies and special interest groups including any of those listed in Step 1.
3. A legislative proposal is drafted by the Clerk of the Legislative Assembly and forwarded to the Speaker for signature and submission to the Board of Management.
4. The Board of Management considers the legislative proposal and will either:
 - a. Approve it;
 - b. Approve it subject to amendments;
 - c. Defer it to another meeting; or
 - d. Reject it.
5. Depending upon the source and nature of the legislative proposal, the Speaker may elect to brief the full Caucus prior to rejecting a legislative proposal or issuing drafting instructions for a bill.
6. The Clerk of the Legislative Assembly issues drafting instructions to the Department of Justice (Director, Legislation Division) for the preparation of a bill.
7. The Board of Management may authorize an early draft of the bill to be circulated to affected departments, agencies or special interest groups for comment.
8. The bill is finalized, signed off by the Clerk of the Legislative Assembly and then translated into French by the Department of Justice. The Director, Legislation Division transmits the bill to the Clerk of the Legislative Assembly advising that the bill is ready for the consideration of the Speaker and Board of Management.
9. The Board of Management considers the draft bill and will either:
 - a. Approve it;
 - b. Approve it subject to amendments;
 - c. Defer it to another meeting; or
 - d. Reject it.

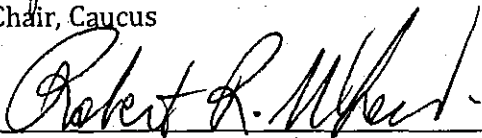
If approved, the Board will designate one of its members to move (sponsor) the bill in the House and another member to second the bill.


10. The Speaker will provide a clause-by-clause briefing of the draft bill to the full Caucus prior to introduction in the House.
11. The Clerk of the Legislative Assembly prepares standard text for Notice of Motion for First Reading, First Reading, Second Reading, referral to Committee of the Whole and Third Reading of the bill in the House.
12. The Clerk of the Legislative Assembly will ensure that the mover (sponsor) of the bill is briefed on the bill and is prepared to speak to the principle of the bill at Second Reading, if necessary.
13. The sponsor of the bill gives Notice of Motion for First Reading of the bill on a date agreed to by the Caucus. First and Second Reading of the bill are given in accordance with the Rules of the

Legislative Assembly. Unless otherwise directed by the Caucus, the sponsor of the bill will, as part of the Motion for Second Reading, move that the bill be referred directly to Committee of the Whole for consideration.

14. Committee of the Whole determines when the bill will be considered.
15. The Clerk of the Legislative Assembly ensures that the sponsor of the bill has opening remarks to introduce the bill in Committee of the Whole.
16. Committee of the Whole review: The sponsor of the bill delivers opening remarks. If agreed to by the Committee, the sponsor of the bill will invite witnesses into the House for discussion and clause-by-clause review. The Speaker does not appear before Committee of the Whole to defend the bill. Witnesses will normally include the Clerk of the Legislative Assembly and the Director, Legislation Division, Department of Justice.
17. When Committee of the Whole review is complete, the Bill is reported to the Speaker as ready for Third Reading. The Bill is given Third Reading and Assent in accordance with the Rules of the Legislative Assembly.
18. If the bill has no "coming into force" provision, it is law immediately upon Assent being given by the Commissioner of the Northwest Territories.


Chair, Caucus 27 Oct 2016
Date


Chair, Executive Council 27/10/16
Date


Chair, Standing Committee on
Priorities and Planning 28-Oct-2016
Date

PROCESS CONVENTION

Standing Committee Review of Proposed Policy Initiatives and Implementation Plans

Application

Proposed policy initiatives subject to this Convention are those policies considered for approval by the Commissioner in Executive Council and the signature of the Premier. This would include both the establishment of new policies and substantive amendments to, or rescinding of, existing policies. This Process Convention does not apply to minor administrative amendments, which will not significantly impact established policy commitments.

This Convention also applies to Standing Committee briefings on implementation schedules, communication plans, and implementation tools required to bring a new or substantively amended policy into force.

Guiding Principles 1, 3, 4, 5 and 8

General Considerations

It is fundamental to consensus government that Standing Committees are provided with an opportunity to review proposed policy initiatives and provide advice to the Government in advance of Cabinet decisions.

These policy initiatives are proposed statements of the government's commitment to the public and must be kept confidential until approved by Cabinet.

One of the guiding principles of consensus government is that Members of the Legislative Assembly should be made aware of and have the opportunity to discuss significant announcements, changes, consultations, or initiatives before they are released to the public.

Authority


This Process Convention is established under the authority of Caucus, the Executive Council and the Standing Committee on Priorities and Planning and may be amended at any time by the agreement of all parties.

Process

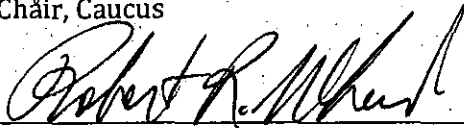
1. A proposed policy initiative is prepared, signed by the Minister responsible and submitted to Cabinet via the Cabinet Secretariat.
2. Cabinet considers the proposed policy initiative. The only decision made at this time is whether or not the proposed policy initiative should be referred to Standing Committee for review and comment.
3. If approved for referral to Standing Committee, the proposed policy initiative is referred by the Premier to the Chair of the appropriate Standing Committee. The letter of transmission includes an indication of a preferred date for Cabinet consideration of the initiative so that the Standing Committee will have an understanding of the time frame for providing comments. The

Minister responsible is copied on this correspondence. The Standing Committee on Priorities and Planning will also be copied on this correspondence if the proposed policy initiative is being referred to a different Standing Committee.

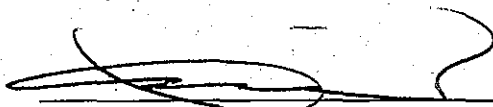
4. The Standing Committee reviews the proposed policy initiative. The Minister and officials may be invited to this meeting to provide additional information. However, it is understood that the proposed policy initiative is a Cabinet document and that any recommendations or advice regarding modifications to the proposed policy initiative, or advice on the proposed policy's implementation, must be provided in the form of a letter from the Standing Committee Chair back to the Premier. The Minister responsible is copied on this correspondence.
5. The Premier, following consultations with the Minister responsible for the original policy initiative, then makes a subsequent submission to Cabinet advising of any concerns raised by Standing Committee and recommending actions for Cabinet's consideration. The proposed policy initiative is received by the Cabinet Secretariat and the Cabinet Secretariat prepares an assessment of the initiative.
6. Cabinet considers the proposed policy initiative, along with Standing Committee comments and Cabinet Secretariat assessment.
7. The Premier advises the Standing Committee Chair of Cabinet's decision with respect to the proposed policy initiative and any relevant implementation plans.
8. When Cabinet decides to establish a new policy, apply a policy that had previously not been approved or applied, or substantively amend an existing policy in accordance with this Convention, the Minister responsible for implementing the Policy will provide both Cabinet and the appropriate Standing Committee with briefings on the relevant implementation and communication plans, as well as any significant implementation tools (e.g., ministerial policies, eligibility criteria, program guidelines), in advance of the Policy's implementation, application and any substantive public communications.


Chair, Caucus

27 OCT 2016
Date


Chair, Executive Council

27/10/16
Date


Chair, Standing Committee on
Priorities and Planning

28-Oct-2016
Date

PROCESS CONVENTION

Transition Stewardship

Definition

Transition Period: For the purposes of this convention, transition period refers to the period between the dissolution of one Legislative Assembly through to the appointment of Members of the Executive Council for the next Assembly.

Preamble

During a transition period an outgoing Cabinet cannot be held accountable for its decisions in the same manner that Cabinet/Financial Management Board (FMB) can be held responsible before the dissolution of an Assembly.

Further, during a transition period the business of government, including legal and intergovernmental commitments and routine matters of administration, still needs to be addressed.

For both these reasons, during a transition period an outgoing Cabinet/FMB should avoid, whenever possible, making any new and significant policy decisions, contractual commitments, or appointments which were not previously referred for Standing Committee review and comment.

Guiding Principles **1, 3, 4 and 5**

This process convention will be implemented in accordance with the following Caucus approved guiding principles for Consensus Government in the NWT:

Authority

This Process Convention is established under the authority of Caucus, the Executive Council and the Standing Committee on Priorities and Planning and may be amended at any time by the agreement of all parties.

Process

- (1) Within the three months immediately preceding the dissolution of a Legislative Assembly and not less than one month before the dissolution, Cabinet/FMB will provide the Standing Committee on Priorities and Planning with a confidential briefing which will identify any:
 - a) significant intergovernmental, labour, program, or contractual negotiations currently underway which could reasonably be expected to conclude or require final approval during the transition period;
 - b) significant policy reviews, program assessments or strategic evaluations currently underway which could reasonably be expected to lead to significant policy decisions during the transition period;
 - c) vacancies or pending vacancies that might require appointments during the transition period which have the potential to be controversial; and
 - d) planned departmental or agency restructuring.

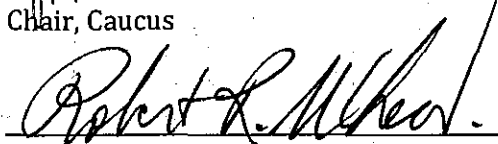
- (2) The Standing Committee on Priorities and Planning will, not less than two weeks before the dissolution of a Legislative Assembly, provide Cabinet/FMB written comments on the issues and plans identified in the briefing referred to in paragraph (1) above.
- (3) The outgoing Cabinet/FMB will not decide on any new and significant policy decisions, contractual commitments, or appointments during the transition period without first considering:
- a) specific comments received from the Standing Committee on Priorities and Planning in accordance with paragraph (2) above;
 - b) the principles of "good faith negotiations" and the reasonable expectations of third parties, especially with respect to intergovernmental negotiations;
 - c) the extent to which a decision would preempt or fetter the authority of the next Legislative Assembly;
 - d) the implications of deferring the decision to the next Cabinet/FMB or Legislative Assembly; and
 - e) the spirit and intent of this process convention.
- (4) Following the first sitting of a new Legislative Assembly and before the second sitting of that Assembly, the Secretary to Cabinet and the Clerk of the Legislative Assembly shall, jointly and in confidence, bring to the attention of the incoming Cabinet and the incoming Standing Committee on Priorities and Planning:
- a) those matters brought to the attention of the former Standing Committee on Priorities and Planning in accordance with paragraph (1) above and any substantive comments offered by the former Standing Committee on Priorities and Planning in accordance with the paragraph (2) above; and
 - b) any new and significant policy decisions, contractual commitments, or appointments made by the outgoing Cabinet/FMB during the transition period.



Chair, Caucus

27 OCT 2016

Date



Chair, Executive Council

27/10/16

Date



Chair, Standing Committee on
Priorities and Planning

28-Oct-2016

Date

PROCESS CONVENTION

Territorial Leadership Committee

General Considerations

The Territorial Leadership Committee (TLC) is the vehicle used by the Northwest Territories' consensus style government to recommend the appointment of the Speaker, Premier and Members of the Executive Council to the Legislative Assembly and Commissioner of the Northwest Territories. The Territorial Leadership Committee is a unique meeting of all duly elected Members of the Legislative Assembly. Its meetings are not governed by the Rules of the Legislative Assembly and constitute neither a formal sitting of the House or one of its standing or special committees. Its decisions do not carry the weight of law and are not binding in any way.

The Speaker and Premier are appointed by motion of the Legislative Assembly. The Executive Council is composed of the Premier chosen by the Legislative Assembly and persons appointed to the Executive Council by the Commissioner on the recommendation of the Legislative Assembly. The size and structure of the Executive Council is governed by political convention only. It is up to each Legislative Assembly to determine the size and make-up of its Executive Council and the timing of its appointment. These conventions, known as the "Guidelines and Procedures for Selection of Speaker, Premier and Members of the Executive Council (Guidelines and Procedures)" may be reviewed and revised as often as Caucus sees fit. The most up-to-date Guidelines and Procedures are included in this protocol as Appendix 1.

Guiding Principles 1, 2, 6 and 7

Authority

This Process Convention is established under the authority of Caucus, the Executive Council and the Standing Committee on Priorities and Planning and may be amended at any time by the agreement of all parties.

Protocols

Initial Meeting

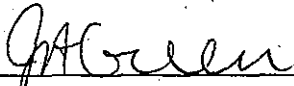
1. The first meeting of the Territorial Leadership Committee following a general election is called by the Clerk of the Legislative Assembly following consultation with the full Caucus membership. Until such time as a Speaker-elect and a Caucus Chair have been chosen, the Clerk serves as Chair of the Caucus and the TLC.
2. Prior to the first meeting of the Territorial Leadership Committee, the Clerk will review the existing Guidelines and Procedures with the Caucus. At least two days prior to the initial Territorial Leadership Committee meeting, Caucus will adopt the "Guidelines and Procedures" with or without amendment.
3. Immediately following Caucus adoption of the Guidelines and Procedures, the Clerk will issue a media release advising of the time and location of the Territorial Leadership Committee meeting and the Guidelines and Procedures adopted by Caucus. The most up-to-date version of this media release is included in this protocol as Appendix 2.

4. At the conclusion of the Territorial Leadership Committee meeting, the Clerk will issue a media release advising who has been recommended by the TLC for appointment as Speaker, Premier and Members of the Executive Council.
5. The Clerk will draft formal motions of appointment for the Speaker and Premier-elect and a formal motion to recommend the appointment of Members of the Executive Council. The Clerk will first call upon Members who were nominated for each of the positions in question (where applicable) to move and second the motions. Failing this, the Clerk will seek the advice of the successful candidates for each position as to who should move and second the motions.
6. Immediately following adjournment of the sitting day at which the above-noted motions are adopted, the Speaker will preside over a Swearing-in Ceremony for the Members of the Executive Council. At this ceremony, the Commissioner will be called upon to administer the Oath of Office for Members of the Executive Council.

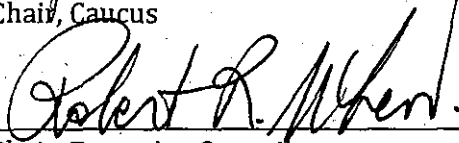
Subsequent Meetings

1. Following the initial appointment and/or swearing-in of a Speaker, Premier and Member of the Executive Council, vacancies in these offices may occur by reason of resignation, death or revocation of appointment by the Legislative Assembly or the Commissioner on the recommendation of the Legislative Assembly.
2. The only means by which a lack of confidence in the appointment of the Speaker, Premier or one or more Members of the Executive Council may be expressed is by way of the adoption of a formal motion duly moved, seconded and resolved in the Legislative Assembly in accordance with its Rules.
3. If the position of the Speaker or Premier becomes vacant, the Deputy Speaker or the Deputy Premier, as the case may be, exercises the powers and performs the duties of that office until a new Speaker or Premier is appointed by the House. If the vacancy occurs within six months of the scheduled dissolution of a Legislative Assembly, the Deputy Speaker or Deputy Premier will continue to exercise the powers and perform the duties of that office in an acting capacity until a Speaker and Premier are selected by the next Legislative Assembly.
4. If one or more vacancies occur on the Executive Council within six months of the scheduled dissolution of a Legislative Assembly, the vacancy will not be filled. The ministerial responsibilities of the former Minister will be redistributed by the Premier or the Deputy Premier, as the case may be, to the remaining Members of the Executive Council.
5. If the number of vacancies occurring within six months of the scheduled dissolution of a Legislative Assembly causes the number of Members appointed to the Executive Council to fall below four, Caucus will meet to fill one or more of the vacancies as if they had occurred more than six months prior to the scheduled dissolution (see process outlined below).
6. If the appointment of the Speaker, Premier or a Member of the Executive Council is ended for any reason more than six months prior to the scheduled dissolution of the Legislative Assembly, the Chair of Caucus will, after consulting with all Members, call a meeting of the Caucus. Every effort will be made to schedule this meeting no later than four weeks from the effective date of the vacancy.


7. At the Caucus meeting, the Clerk will review the existing Guidelines and Procedures with the Caucus. Caucus will adopt the "Guidelines and Procedures" with or without amendment.
8. Immediately following Caucus agreement on the Guidelines and Procedures, the Clerk will issue a media release advising of the time and location of the Territorial Leadership Committee meeting and the Guidelines and Procedures adopted by Caucus.
9. Following the establishment of a date for the Caucus meeting, the Speaker will call a meeting of the Territorial Leadership Committee to take place on the first working day following the Caucus meeting. If the Legislative Assembly is in recess and is not scheduled to sit on the day following the Territorial Leadership Committee meeting, the Speaker will recall the House on the first working day following the TLC meeting in the Speaker will recall the House on the first working day following the TLC meeting in accordance with an Extended Adjournment Motion. If a Session of the Legislative Assembly has been prorogued, the Speaker shall request the Commissioner of the Northwest Territories to convene a special Session at the appropriate date and time.
10. At the conclusion of the Territorial Leadership Committee meeting, the Clerk will issue a media release advising who has been recommended by the TLC for appointment as Speaker, Premier or Member of the Executive Council.
11. The Clerk will draft either formal motions of appointment or a formal motion to recommend the appointment of a Member or Members of the Executive Council. The Clerk will first call upon Members who were nominated for the positions in question (where applicable) to move and second the motion or motions. Failing this, the Clerk will seek the advice of the successful candidates for each position as to who should move and second the motion or motions.
12. If the vacancy in question pertains to the Office of the Speaker, the person appointed assumes the role in the House immediately upon adoption of the motion. If the vacancy in question pertains to the Premier or a Member of the Executive Council, the Speaker will preside over a Swearing-in Ceremony at the adjournment of the sitting day at which the motion is adopted. At this ceremony, the Commissioner will be called upon to administer the Oath of Office for Members of the Executive Council.



 Chair, Caucus 27 OCT 2016
Date



 Chair, Executive Council 27/10/16
Date



 Chair, Standing Committee on 28-OCT-2016
 Priorities and Planning Date

PROCESS CONVENTION

Communications between Cabinet, Ministers, Standing Committees and Regular Members

Application

This process convention is not intended to supersede the existing roles, authorities or privileges of individual members of the Legislative Assembly, Standing Committees, the Executive Council, Ministers or the Speaker.

Guiding Principles: 3, 4, 5, 6 and 8

Authority

This Process Convention is established under the authority of Caucus, the Executive Council and the Standing Committee on Priorities and Planning and may be amended at any time by the agreement of all parties.

Processes

1 Regular Meetings between Premier and Regular Members

- a) Formal meetings between the Premier and the Regular Members may be initiated at the request of either party and will be held not less than three times a year. The purpose of these meetings will be to discuss issues of mutual interest and concern and are not meant to replace or exclude other opportunities for the Premier to appear before the Standing Committee on Priorities and Planning.
- b) The Clerk of the Legislative Assembly and the Principal Secretary (or their respective designates) will identify specific agenda topics, and attend the formal meetings to provide procedural advice as necessary.
- c) Decisions as to whether to invite other Ministers and officials and when to conduct a meeting *in camera* will be made by the Premier and Regular Members on a case by case basis.

2 Advance Notice of Media Communications

- a) The Premier will provide Regular Members with a weekly listing of planned government news releases and media advisories, indicating the planned release date, subject of the release and main government message to be communicated. The listing will allow Regular Members to make better and more informed decisions and seek further information from Ministers on planned announcements of particular interest to them.
- b) Information prepared for distribution at media events and not otherwise distributed to the public will be shared in advance with Regular Members.
- c) While the Premier will make best efforts to provide Regular Members with a complete list of upcoming communications each week, there may be times when the Government

will need to comment on breaking news or make an unplanned announcement. In these instances, Regular Members will be provided with advance copies of approved news releases two (2) hours before they are issued to the media.

- d) Government boards and agencies are responsible for their own media relations, including issuing their own news releases and media advisories to the press. Each Minister's office will make best efforts to directly advise Regular Members in advance of releases that they are aware of being issued by boards and agencies.
- e) From time to time, the Government may redistribute news releases already issued by other governments or external organizations concerning events or initiatives the GNWT is involved in. As such releases are being redistributed after initial distribution by another organization, and are already publicly available, they will not be provided in advance to Regular Members.
- f) Standing Committees and Regular Members will provide the Premier's Office with copies of proposed news releases two (2) hours before they are issued to the media. This will allow Government to respond to potential requests for interviews and information in a timely fashion.
- g) In the event of a civil emergency or natural disaster, the Government has a responsibility to provide residents with accurate and timely information on the situation and Government emergency operations. This will be done in the form of emergency bulletins issued by the Press Secretary. Time is of the essence in emergency communication and Members will receive emergency bulletins at the same time as they are issued to media.
- h) MLAs representing communities or regions affected by an emergency will receive summary operational reports as information becomes available. Other MLAs will receive these reports on request. Reports will include information on the current status of the situation, GNWT departments responding and current public messaging. Reports will be provided by the responsible Minister for situations involving one department or the Minister of Municipal and Community Affairs for situations involving multiple departments. Reports will be for the information of Members only and all requests for additional information should be directed to the appropriate Minister.

3 Consultations with Standing Committees

- a) From time to time, Cabinet may wish to seek considered input from a Standing Committee on a proposed Government initiative, plan, activity or discussion paper. In these instances, Cabinet may provide a Committee with proposals, draft plans or discussion papers for the Committee's formal review and comment. Proposals, plans and discussion papers provided under this section are to be considered confidential and will be clearly identified as confidential and not for distribution nor subject to commentary or scrutiny on social media platforms or other public mediums. In addition, the confidentiality of any input received from Standing Committee will also be fully respected and will be considered strictly confidential by all parties involved.
- b) When seeking Standing Committee input under this section Cabinet will identify, with proper regard to both Committee calendars and to operational demands, a reasonable date by which a response is requested. If no written response is received by the

identified date Cabinet may assume the Standing Committee's consent to proceed. Cabinet may consider a written request from a Standing Committee to extend the consultation period.

- c) Written input provided by a Standing Committee under the signature of the Chair or Deputy Chair shall reflect accurately the views of the Committee. While individual MLAs reserve the right to disagree with the written input of a Committee, only the Committee itself can amend the written input previously provided.

4 Materials Provided to Regular Members or Standing Committees For Information Only

- a) As a matter of course, Ministers may distribute information to Regular Members or Standing Committees for information only. Ministers will clearly identify materials distributed for information only so as not to confuse the distribution of that information with requests for feedback on confidential draft materials or proposals as addressed under the consultation section above.
- b) Regular Members or Standing Committees may request further information or briefings on materials distributed under this section. Such requests should be made in writing and directed to the appropriate Minister.

5 Advance Notices and Briefings Offered to Standing Committees

- a) From time to time, Ministers may wish to provide a Standing Committee with advance notice of a Government initiative or activity. Advance notices issued under this section will be clearly identified as notices and should be distinguished from requests for input addressed under the consultation section above.
- b) From time to time, Ministers may wish to offer a Standing Committee a briefing on a particular subject. Briefings offered under this section will be clearly identified as offers to brief and should be distinguished from requests for input under the consultation section above.

6 Public Briefings and Meetings with Standing Committees

- a) Where Ministers offer or agree to a request to brief a Standing Committee, the briefing will be held in public. If confidential matters are expected to be discussed in the course of the briefing, or if they arise after the briefing has commenced, the Minister or any member of the committee may request that the meeting or a portion of it be held *in camera*.
- b) The decision to hold all or a portion of a briefing *in camera* rests with the Standing Committee on the understanding that Ministers may be limited in terms of what information they can provide in public.
- c) For the purposes of this protocol, confidential matters include:
 - i. the draft business plan or budget of a department or public agency prior to their introduction in the Legislative Assembly;

- ii. a proposed policy initiative, legislative proposal or bill prior to its formal introduction in the Legislative Assembly;
 - iii. a personnel matter relating to an employee or statutory officer;
 - iv. concerns with the performance of a specific Minister; and
 - v. any other matter, where a member of the committee or the Minister identifies the matter as one which is, or would likely be, protected by privacy and data protection laws.
- d) A motion to hold all or a portion of a committee meeting *in camera* shall include the nature of the item to be discussed as well as the rationale for discussing the matter *in camera*.

7 Technical Briefings

- a) From time to time, Ministers may offer or Standing Committees may request a technical briefing to provide detailed information on a specific program, initiative or proposal.
- b) Technical briefings are briefings provided by senior government officials and technical experts. Ministers do not attend technical briefings,
- c) Standing Committees may request technical briefings on specific programs, initiatives or proposals.

8 Identifying Confidential Information

- a) When sharing information with a Standing Committee under this Process Convention, Cabinet will clearly identify which materials are, and which materials are not, being provided in confidence. When Cabinet has a plan to eventually publicly release information provided to a Committee in confidence, it will indicate when such a public release might take place and when the embargo on Standing Committee disclosure imposed under this Process Convention will be lifted.
- b) In the event that information provided to a Standing Committee in confidence under (a) is published, Cabinet may be required to speak publically on that information to address public concerns or media inquiries. In such circumstances, Cabinet will make every reasonable effort to provide advance notice to standing committees by the most efficient means available.

9 Tracking and Reporting on Regular Members' Requests

- a) Ministers will endeavour to ensure that written requests from Regular Members are responded to within five business days from the Minister's receipt of the request. Should more than five days be required to address a Regular Member's request, Minister's will advise the Regular Member that more time is required, the reasons why more time is required and an anticipated response date.
- b) Detailed and lengthy inquiries about government policies and programs that are complex in nature may best be handled through other means such as Oral and Written

Questions in the House, Committee briefings and the review of Legislative Proposals, Business Plans and Budgets.

10 Providing Committee Presentation Materials

- a) Ministers will provide copies of all presentation decks and related briefing materials to the appropriate standing committee at least three (3) business days prior to the scheduled date of delivery. The receipt of these materials will allow Committee Members to review information in advance and make optimal use of the limited time and resources available to Ministers and Committees, particularly during sittings of the Assembly.
- b) Occasionally a briefing is either offered or requested with very little or no advance notice. In such instances, the time requirement will be waived through mutual agreement of the parties involved.

11 Advance Notice of Ministerial and Standing Committee Travel

- a) The Premier will, whenever possible, provide a minimum of two weeks advance notice to Regular Members of any planned Ministerial travel or visits to constituencies outside of the capital.
- b) Ministers will, whenever possible, provide a minimum of two weeks advance notice of any public meetings being held by their departments in a Member's constituency.
- c) The Standing Committees will, whenever possible, provide a minimum of two weeks advance notice to the Premier's Office of any planned Committee travel to constituencies outside of the capital.
- d) A weekly activities advisory listing Ministerial travel will be prepared and circulated to all Members by the Premier's Office.

12 Advance Notice of Protocol Visits

- a) Regular Members will be advised of planned protocol visits to the NWT being organized by the GNWT by letter from the Premier as soon as details of proposed visits are confirmed.

13 Absences During Sittings of the House

- a) The Premier will provide a written summary of planned absences of Ministers that are scheduled to occur during a sitting of the Assembly to the Priorities and Planning Committee on or before the first sitting day of each sitting.
- b) To the greatest extent possible, Ministerial absences during sittings of the House will be limited to obligatory federal/provincial/territorial (FPT) meetings.

14 Correspondence addressed to all Regular Members

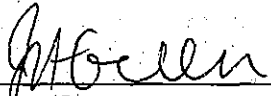
- a) Government correspondence directed to all Regular Members will also be copied to the Clerk of the Legislative Assembly and other appropriate staff unless there are compelling reasons not to do so.

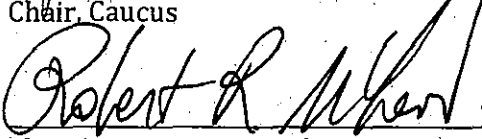
15 Invitations to Participate in Ministerial Travel

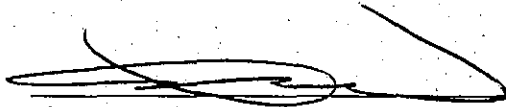
- a) When a Minister believes it is appropriate to involve a Regular Member in ministerial travel, the Minister shall invite the appropriate Standing Committee to nominate one of its Members to join the Minister in that travel.
- b) A Regular Member's travel expenses arising out of Ministerial travel will be paid by the Minister's Department and publicly reported through the Ministerial Travel Report.
- c) Regular Members accompanying Ministers on trips will be identified in the weekly Ministerial travel and activities advisory distributed to media.

16 In the Absence of an Appropriate Standing Committee

- a) During the period between the Legislative Assembly's official establishment of a Standing Committee on Priorities and Planning and the Legislative Assembly's formal establishment of the Assembly's Committee structure, communications between the Executive Council and Regular Members should be directed through the Standing Committee on Priorities and Planning.


Chair, Caucus 27 Oct 2016
Date


Chair, Executive Council 27/10/16
Date


Chair, Standing Committee on 28-Oct-2016
Priorities and Planning Date

PROCESS CONVENTION

Priority Setting and Reporting

Preamble

The priorities determined at the beginning of a Legislative Assembly guide the work of all Members over the term of an Assembly. Although each Legislative Assembly builds on the legacy of previous assemblies as reflected in existing laws, policies, programs, and services, no Assembly can be bound by the decisions of a previous Assembly.

Consensus government is a form of responsible government. The Executive Council provides overall leadership and direction, and is responsible to the Legislative Assembly for its decisions. Regular Members of the Legislative Assembly review and monitor these decisions in order to hold the government to account. The Executive Council must maintain the confidence of the Legislative Assembly. This is the essence of responsible government.

Guiding Principles **6, 7, 8 and 10**

Authority

This Process Convention is established under the authority of Caucus, the Executive Council and the Standing Committee on Priorities and Planning and may be amended at any time by the agreement of all parties.

Process

Priority Setting

1. At the beginning of a Legislative Assembly, after the orientation of Members-elect, each Member shall be invited by the Clerk to make a public statement about what the Member believes should be the priorities for the forthcoming legislative term. These statements shall be transcribed and the transcriptions made public.
2. Following a public statement of priorities by each individual Member, the Clerk shall convene a meeting of Caucus in order for the Caucus to establish a collective statement of priorities for the forthcoming legislative term. In establishing this collective statement of priorities, Caucus shall take into account the transcribed statements of all members of the current Assembly as well as the Report of the Special Committee on Transition Matters tabled during the last sitting of the previous Assembly.
3. The Caucus statement of priorities will be tabled in the first session of the Legislative Assembly.

Establishing a Mandate

1. Following the conclusion of the Territorial Leadership Committee and the swearing-in of Members of the Executive Council, the Premier shall promptly convene a meeting of the Executive Council to discuss a draft mandate for the forthcoming legislative term. This discussion shall take into account the stated priorities of all Members of the current Assembly as well as the Report of the Special Committee on Transition Matters tabled during the last sitting of the previous Assembly.

2. The Premier shall request that the Chair of Caucus convene a meeting of Caucus so that the Executive Council may present to Caucus a draft mandate for the forthcoming legislative terms and to solicit feedback from all Members on the draft mandate.
3. The Premier shall schedule a subsequent meeting of the Executive Council to consider feedback from all Members expressed in Caucus and to discuss possible amendments to the draft mandate.
4. Caucus and/or the Executive Council may meet as often as is necessary before the Executive Council is satisfied that the draft mandate is sufficiently responsive to the stated priorities of all Members and sufficiently feasible for implementation by government.
5. The mandate shall form the basis for the Commissioner's Address made at the opening of the second session of a Legislative Assembly.
6. The mandate of the Executive Council shall be tabled by the Premier during the second session of a Legislative Assembly.
7. Once tabled, the mandate of the Executive Council shall be referred to Committee of the Whole and debated, prior to adoption by the Legislative Assembly.

Reporting

1. The Executive Council will be held to account for its progress implementing the mandate through the debate of its budgets, oral questions, meetings of legislative committees, and meetings between the Premier and Regular Members.
2. The Executive Council shall maintain a report on progress on the implementation of the mandate, and provide that report to the Standing Committee on Priorities and Planning not less than once every 12 months. The same progress report shall also be made available to the public in a timely manner.
3. At the mid-point of a legislative term, the Legislative Assembly will be prorogued to allow for Caucus to discuss the priorities, the mandate and progress made towards implementation.
4. The Legislative Assembly will resume with a Commissioner's Address that will reflect any adjustments to the priorities or the mandate.
5. Not less than four months before the dissolution of an Assembly, the Legislative Assembly should establish, by motion, a joint Special Committee on Transition Matters to prepare a report with recommendations on the transition process and major priorities for consideration by the next Assembly.
6. Prior to the last sitting before dissolution of an Assembly, the Executive Council shall provide to Caucus a report on the actions undertaken to implement the mandate. This report will be tabled in the final sitting of a Legislative Assembly.
7. The report of a Special Committee on Transition Matters will be tabled in the final sitting of a Legislative Assembly.

J. Allen

Chair, Caucus

27 Oct 2016

Date

Robert R. Whod

Chair, Executive Council

27/10/16

Date

[Signature]

Chair, Standing Committee on
Priorities and Planning

28-Oct-2016

Date

Appendix 2.1:
Process and Format for Joint
Submissions to the Executive
Council and Financial Management
Board (September 1999)

Process and Format for
JOINT SUBMISSIONS TO
THE EXECUTIVE COUNCIL AND FINANCIAL MANAGEMENT BOARD

Background

The Executive Council (Cabinet) is responsible for the overall management and direction of the executive branch of government, including setting government policy and priorities and providing overall direction to the public service.

The Financial Management Board (FMB) is responsible for the management and control of the financial, human and information resources of the Government of the Northwest Territories.

Both Cabinet and FMB also have specific authorities and responsibilities assigned through legislation, policy and directives.

Cabinet and FMB each have their own submission process and formats; however at times issues arise which require direction from both Cabinet and FMB. On such occasions a joint submission to both bodies may be appropriate.

Criteria

A joint submission may be appropriate when:

- The submission addresses significant and interrelated policy, financial, organizational or human resource issues requiring both Cabinet and FMB direction.
- An initiative requires the approval authority of both Cabinet and FMB as established in legislation, Cabinet approved policy or FMB directive.
- A submission requires *immediate* direction from both Cabinet and FMB and the submission presents sufficient background and information for both Cabinet and FMB to make an informed decision.
- The submission is prepared in response to earlier Cabinet or FMB direction to return to both Cabinet and FMB.

Note: Where it is judged more appropriate to make two separate submissions as opposed to one joint submission, each submission should reference that there is a concurrent FMB or Cabinet submission or that a subsequent FMB or Cabinet submission will be brought forward at a later date.

Submission Process

1. Department should consult with both FMBS and Cabinet Secretariat staff to ascertain whether it would make sense to develop a joint submission.
2. If a joint submission is considered appropriate, departmental staff can work with both FMB analysts and Cabinet Secretariat advisors in the development of the draft joint submission.
3. Joint submissions should be prepared in accordance with the attached format.
4. Once a submission has been approved, two copies should be signed by the Minister (or Ministers) responsible.
5. One of the original signed submissions should be transmitted, under the Minister's signature, to the Chair of the FMB and copied to the Secretary of the FMB. The other original signed submission should be transmitted, again under the Minister's signature to the Deputy Secretary to Cabinet.

Twenty copies of the submission, and all attachments, should also be forwarded to the Cabinet Secretariat. An additional twenty-four copies of the submission, and all attachments, should be forwarded to the Director, Budgeting and Evaluation, FMBS.

6. The deadline for joint submissions is **10 working days** before the next Cabinet/FMB meeting. Submissions not received before the deadline will be deferred until the following Cabinet /FMB meeting.

Assessment Process

1. FMB analysts and Cabinet advisors will collaborate and develop a joint assessment, working with the department to clarify and discuss outstanding issues. A copy of the assessment format is attached.
2. The nature of the joint submission and respective workloads will determine whether the FMB analyst or the Cabinet advisor will take the lead in drafting.
3. Joint assessments will be submitted for approval and signature of both the Secretary to Cabinet and the Secretary of the FMB.
4. Joint submissions will be placed on the Cabinet and FMB agendas as deemed appropriate by the Chairs. Ministers will be advised by one of the Chairs should the decision be made not to place a submission on the agenda. In most instances, a joint submission would be the last item on the Cabinet agenda and the first item on the FMB agenda.
5. Pending Cabinet and FMB direction, both a Cabinet and FMB Record of Decision (ROD) will be produced. Each ROD will make reference to the other.
6. The discussion at the joint Cabinet/FMB meeting will be captured in both Cabinet and FMB minutes.

**JOINT EXECUTIVE COUNCIL/FINANCIAL MANAGEMENT BOARD
DECISION PAPER**

TITLE

(Where a submission involves significant financial considerations, it may be appropriate to include a table summarizing the following:

DOLLARS:	
DEPARTMENTS:	VOTE:
ACTIVITIES:	REGIONS:
FISCAL YEAR:	FUNDING SOURCE:

PROBLEM/PURPOSE

(A concise statement of the issue or initiative requiring Cabinet and FMB’s consideration.)

BACKGROUND

(A summary of the events that have led to the need to seek Cabinet/FMB direction.)

PROPOSAL SUMMARY

(Describe the recommended course of action.)

FACTORS

- i) **Political**
- ii) **Legal**
- iii) **Financial**
- iv) **Interdepartmental**
- v) **Labour Relations**
- vi) **Other**

CONSULTATION

(Identify all agencies, organizations, and individuals consulted and their views on the problem or the recommended decision.)

EXECUTIVE COUNCIL RECOMMENDED DECISION

(State the recommended decision(s) for which Cabinet approval is sought. The language used should be as close as possible to what the department(s) would like to see expressed in the Cabinet ROD.)

FINANCIAL MANAGEMENT BOARD RECOMMENDED DECISION

(State the recommended decision(s) for which FMB approval is sought. The language used should be as close as possible to what the department(s) would like to see expressed in the FMB ROD.)

PUBLIC RELATIONS

(Specify any public relations considerations or strategies related to the recommended decisions.)

* For general information on what is to be addressed in Cabinet/FMB submissions, see the *Executive Committee Systems Handbook* and the *Financial Management Board Handbook*.

**EXECUTIVE COUNCIL and FINANCIAL MANAGEMENT BOARD
ASSESSMENT REPORT**
prepared by the Cabinet and Financial Management Board Secretariats

(Submitting Department):
(Submission Title)

BACKGROUND

(A brief synopsis of the Minister's proposal and the relevant background.)

ISSUES/COMMENTS

(Issues identified and comments offered by the Cabinet and Financial Management Board Secretariats.)

CABINET SECRETARIAT RECOMMENDED DECISION

(Decision recommended by the Cabinet Secretariat.)

FINANCIAL SECRETARIAT RECOMMENDED DECISION

(Decision recommended by the Financial Management Board Secretariat.)

Secretary to Cabinet

Secretary of the Financial
Management Board

Appendix 2.2:
Appointment Procedures (GNWT
Committees, Board and Councils)
(1986)

APPOINTMENT PROCEDURES

(Excerpt from 1986 Cabinet Direction)

If the Minister or Commissioner has the authority to make the appointment, an information item is prepared by the Minister and submitted to the Executive Council. The information item should include:

- the name of the board;
- the name of the appointee;
- the position to which he or she is appointed (i.e. Chairperson, Member);
- the term of the appointment;
- the group or community the person represents, if any;
- the appointee's qualifications for the position; and
- a list of the membership and terms of the current board (the relevant pages of the Public committees, Board and Councils Handbook may be attached for this purpose).

Community level committees may be appointed without going through the above nominating procedure (e.g. Community Social Assistance Appeal Committees). These appointments, however, must follow the legislated appointment procedures.

Once the meeting of the Executive Council takes place with the information item on the agenda, and there are no objections or specific direction given to the contrary, the Minister takes the appropriate steps to make the appointment as specified under the section on appointment procedures below.

If the Executive Council has the authority to make the appointment, the item should be submitted for Executive Council consideration in a decision paper format with the information, as listed above for an information item, included. Should Executive Council approval of the nomination be given, a record of decision is issued.

In some instances, the Legislative Assembly must approve nominations prior to the appointment being made. Where a formal Executive Council nomination is to be forwarded to the Legislative Assembly, the nomination may be obtained by means of a decision paper.

Appendix 2.3:
Guidelines and Format for
Recommending Direct
Appointments (April 2017)

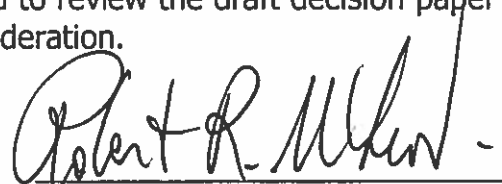
Executive Council Guidelines and Format for Submissions Recommending Direct Appointments

The following guidelines apply to direct appointments to the public service.

Guidelines

- (1) Cabinet approval is required prior to any direct appointments to the public service.
- (2) Cabinet approval for a direct appointment may be sought in the following circumstances:
 - (a) to support the career development of long-term employees (i.e., one with five or more years of service) who have demonstrated both ability and commitment to the organization;
 - (b) to support the advancement of an existing employee who has successfully completed formal training/preparatory assignment directly related to the proposed appointment;
 - (c) when a direct appointment would ensure that specialized and unique experience is retained within the public service;
 - (d) to resolve an undesirable work situation (e.g., marriage between two employees in a supervisor/subordinate relationship);
 - (e) to obtain necessary managerial, technical or operational expertise that is not currently available within the Government of the Northwest Territories;
 - (f) to support the career development of an affirmative action candidate from outside the public service where an open competition would not be an appropriate way of filling the position;
 - (g) to fill a position when recent recruitment practices for similar positions indicate that an open competition would be unproductive;
 - (h) to fill a position when there is reasonable and sufficient evidence to suggest that other candidates could not successfully compete with the proposed candidate; or

- (i) to support the training and development of an individual where a position has been difficult to fill and the only potential candidate requires some time in a trainee capacity to reach the appropriate skill level.
 - (j) to provide for the training and development of an individual who has successfully screened in through a publicly advertised expression of interest process undertaken by the Department of Finance; or
 - (k) to appoint, on a term basis to intern positions, northern graduates eligible under the Graduate Internship Program.
- (3) When alternative methods of staffing such as open competition and limited competition have been considered and determined to be inappropriate.
- (4) Direct appointments may also be requested for extraordinary circumstances such as:
- (a) appointment of individuals hired on a term basis for Ministerial staff positions;
 - (b) appointment of individuals when an outside agency or group becomes part of the public service and the status of existing staff needs to be confirmed;
 - (c) appointment of individuals to positions that provide direct administrative support to deputy heads; and
 - (d) appointment of individuals that provide dedicated policy support and analysis services directly to a deputy head.
- (5) The attached format should be followed when developing a decision paper seeking Cabinet approval for a direct appointment.
- (6) The Department of Finance is required to review the draft decision paper prior to it being submitted for Cabinet consideration.



Premier and Chairman of the
Executive Council

**DECISION PAPER FORMAT FOR
APPOINTMENT TO THE PUBLIC SERVICE WITHOUT COMPETITION
OF [NAME OF INDIVIDUAL]**

PROBLEM

The open competition process is not expected to maximize benefits to the Government of the Northwest Territories with respect to the staffing of [position title].

BACKGROUND

The background section should address:

- (a) the name of the individual proposed to be direct appointed and the proposed position;
- (b) the department, division and location/community of the position;
- (c) the kind of position (term, indeterminate, seasonal) and the pay level;
- (d) whether this is a new or existing position;
- (e) current status of the individual (employee or not, employment status);
- (f) affirmative action status of the individual;
- (g) events leading to this direct appointment request (was the individual acting in this position, was there a previous unsuccessful competition, are there factors within the work environment that support this request);
- (h) what alternative methods of staffing were considered and why they were deemed inappropriate;
- (i) explanation of how this appointment would be consistent with the career development of this individual;
- (j) explanation of how this appointment would benefit the public service;
- (k) description of the labour market for this particular position – have competitions been run? Is there a pool of available candidates?

- (l) are there other individuals who may feel they should have been given the opportunity to apply on this position?

FACTORS

Political: Describe, if any, the potential political ramifications of this request.

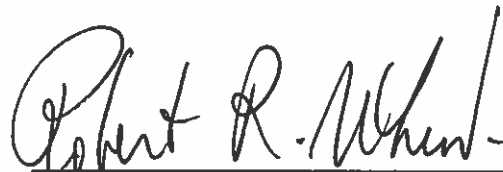
Financial: Are there costs to the government if this individual is not directly appointed?

Specific Benefits: Identify the specific benefits to the public service as a consequence of directly appointing this individual as opposed to conducting an open competition.

Consultation: Has the Department of Finance reviewed a draft of the submission?

RECOMMENDATION

That Cabinet recommend to the Minister Responsible for the Public Service that [name of individual] be directly appointed to the position of [position title] with [department name] in [location] on an [indeterminate or term with end date of term] basis.



Minister
[name of department]

Appendix 2.4:
Format for Executive Council
Submissions Recommending
Authorization to Negotiate
Contracts under the Negotiated
Contracts Policy (September 2007)

**Format for Executive Council Submissions Recommending
Authorization to Negotiate Contracts
Under the Negotiated Contracts Policy (11.26)**

DECISION PAPER

Negotiated Contract for [description of work] in [community(ies)]

PROBLEM

Contract regulations pursuant to the *Financial Administration Act* provide that only Cabinet may enter into or direct a contract authority to enter into a contract outside of competitive or sole-source contracting processes.

[Contractor(s)], of [community], has requested a negotiated contract for [description of work and dates] arguing that a negotiated contract would provide opportunities to improve the skills and experience of residents and northern businesses or realize economic benefits for residents, the community or region, which would not be provided or realized through a competitive contract process.

BACKGROUND

The background section should address:

- the decision to contract for the proposed services (reasons for contracting for the goods or services, history of comparable contracting, whether the proposed activities are identified in business plans, allocated budgets, etc.);
- events leading to the request that the contract be negotiated;
- the specific benefits to be achieved from negotiating the contract which would not be achieved through a competitive contract process;
- the proposed contractor's standing as a northern business as defined by the Business Incentive Policy;
- the proposed contractor's ability to fulfil the contract (past experience, etc.);
- a listing of all other GNWT contracts the proposed contractor has been awarded either through negotiated or public processes (i.e., term of the contract, type of service, etc.);

- the involvement, if any, of a subcontractor or partner who would not qualify as an eligible contractor under the Negotiated Contracts Policy;
- whether there are other businesses that might be interested if the contract was publicly tendered;
- compliance with, or requirements to make an exception to, any applicable Executive Council approved policies; and
- compliance with, or requirements to make an exception to, any Executive Council approved intergovernmental agreement.

PRINCIPLES

1. Negotiated contracts should contribute to the support and development of self-sustaining businesses at the local and regional level.
2. Goods and services obtained by the Government of the Northwest Territories through contracts shall be provided at a reasonable cost.

PROPOSAL SUMMARY

To waive the competitive contract process and authorize negotiations with [contractor(s)], of [community], for [description of work and dates] in order to achieve [identify specific benefits to residents, northern business, community or region].

FACTORS

i) Political

The [municipal corporation(s) or band council(s)] of [community(ies)] and [any regular MLA(s) representing the community(ies)] have provided their written support for the [contractor(s)] request to negotiate a contract for the [description of work]. Copies of the letters of support are attached.

ii) Financial

Should address:

- the total cost which the proposed contract should not exceed,
- how the total cost was estimated,
- the estimated cost of the contract if it were to go to a competitive process,
- whether or not the proposed contract can be supported within existing budget allocations; and

- In the case of multi-year contracts, the financial section should also address:
- the estimated annual per unit costs; and
 - where applicable, the basis upon which contract cost adjustments will be negotiated.

iii) Specific Benefits

Identify the specific benefits to be achieved as a consequence of negotiating the contract as opposed to using a competitive contracting process.

CONSULTATION

Indicate the results of any public or interdepartmental consultation undertaken in the development of the decision paper.

PUBLIC RELATIONS

Upon successful negotiation and award of the negotiated contract, the Minister of [department] shall give public notice of the awarding of the contract and the reasons for negotiating the contract rather than using the competitive contracting process. Notices shall be placed in the local newspaper serving the community in question. In the absence of a local newspaper, notices shall be placed in a territorial newspaper available in the community in question. French language notices shall be placed in the territorial French newspaper.

All notices must follow the GNWT Visual Identity Program guidelines.

CONCLUSION

The Minister of [department] should be authorized to enter into negotiations with [contractor(s)] for [description of work and dates] and to award the contract provided that the total amount of the negotiated contracts does not exceed [\$ total].

RECOMMENDATIONS

It is recommended that, in order to achieve [identify specific benefits to residents, northern business, community or region]:

- (1) the Minister of [department] be authorized to enter into negotiations with the [contractor(s)] for the [description of work] in [community(ies)] for the [period] [with any option years if applicable];
- (2) further to paragraph (1) above, the Minister of [department] be authorized to award the negotiated contract to the [contractor(s)] provided the amount of the negotiated contract does not exceed [total cost];

- (3) further to paragraph (2) above, if the amount of the contract exceeds [total cost], the Minister of [department] return to Cabinet for further consideration of the proposed negotiated contract;
- (4) subject to (2) above, the Minister of [department] be directed to give public notice of the awarding of the negotiated contract consistent with the attached announcement;
- (5) direct the Minister of [department] to submit to Cabinet:
 - (a) upon the awarding of the contract, the:
 - scope of the contract
 - name of the contractor
 - location of contract
 - total contract value
 - fiscal year of contract
 - duration of contract if multi-year
 - benefits analysis
 - the total estimated premium (if applicable); and
 - (b) upon completion of the contract, or at the end of each year of a multi year contract, a report on the contract including benefits achieved that might not have been achieved if the contract had been awarded through a competitive process.

NOTICE OF AWARD

The Minister of [department] has awarded a contract to [contractor(s)] for the [description of work] in [community(ies)] for the [period] for an amount not to exceed [total cost].

This contract has been negotiated and awarded under the authority of the Executive Council so as to [identify specific benefits to residents, northern business, community or region].

Appendix 2.5:
Cabinet Operational Guidelines:
When a Cabinet Submission Might
be required (March 2009)

CABINET OPERATIONAL GUIDELINES

WHEN A CABINET SUBMISSION MIGHT BE REQUIRED

POLICY BASE

All Members of the Executive Council share, to varying degrees, collectively responsibility for the management of government departments, boards and agencies.

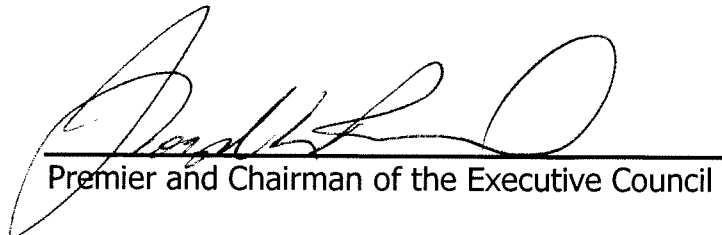
Ministers may carry out most activities related to their assigned portfolios on their own authority and in accordance with established legislation and policies. However, the convention of collective responsibility means that, even when specific Executive Council direction is not required, there are times when a Minister should, at a minimum, advise the Executive Council of his or her plans before those plans are implemented.

GUIDELINES

- 1.** Certain decisions fall outside of an individual Minister's authority and can only be authorized by Cabinet or the Financial Management Board. For example, a Minister is obliged to seek Cabinet or FMB direction when:
 - a) there is a legal requirement to do so;
 - b) a requirement to do so is established in Commissioner in Executive Council approved policy; and
 - c) previous Cabinet or FMB direction requires the Minister to do so.

- 2.** Examples of when a Minister should consider the submission of a formal Discussion Paper, Ministerial Initiative or Information Item advising the Executive Council of his or her plans to make certain decisions or to take certain actions include plans to:
 - a) significantly change a department's, board's or agency's internal organization;
 - b) change the approach to public programs or services delivery;
 - c) implement actions or strategies that will have a significant impact on the public or on other departments;

- d) undertake consultations or communications likely to attract significant public attention or to create expectations that might inappropriately restrict future options;
 - e) brief Standing Committee on matters not yet reviewed or considered by the Executive Council;
 - f) table in the Legislative Assembly, or present to Standing Committees, documents that have not been previously provided to the Executive Council either through a formal submission or a Cabinet House Strategy agenda;
 - g) address potentially controversial matters that are entirely within the Minister's authority, but for which he or she would like to seek Cabinet advice; and
 - h) significantly vary or reverse an action that has been the subject of a previous Information Item.
- 3.** A Minister is obliged to submit a formal Information Item to the Executive Council when the Executive Council has:
- a) issued specific direction to the Minister to return with further information regarding a particular matter (e.g., through a Record of Decision); and
 - b) established a convention or guidelines governing the actions in question (e.g., Cabinet's Appointment Procedures).



Premier and Chairman of the Executive Council

Note:

For further information on Cabinet submissions and operations please see the *Executive Council Submissions Handbook*.

Appendix 2.6:
Cabinet Operational Guidelines:
Electronic Executive Council
Submissions (April 2013)

CABINET OPERATIONAL GUIDELINES
ELECTRONIC EXECUTIVE COUNCIL SUBMISSIONS

INTRODUCTION

Cabinet Secretariat manages the Executive Council (Cabinet) submission process on behalf of the Executive Council. Formal Cabinet submission procedures have been developed to ensure that information required for informed decision making is efficiently developed and distributed and that there is a complete record of proposals submitted to, and decisions made by, Cabinet.

The Cabinet-approved conventions around the development, drafting and submission of discussion items, legislative proposals, decision papers, options papers, ministerial initiatives and information items for a Minister's approval and signature remain. However, the following procedures apply to the electronic transmittal of submissions for the purposes of e-Cabinet meeting packages.

GUIDELINES

1. PDF Submissions

Once the submission is signed by the Minister(s), one signed original and two hard copies, along with all of its attachments, must be submitted to the Deputy Secretary to Cabinet. The original signed documents are necessary for the legal integrity of the Cabinet record.

An electronic copy of the submission, along with all of its attachments, as a single file in PDF format, must also be emailed to the Deputy Secretary to Cabinet at Cabinet_Secretariat@gov.nt.ca. The Minister may wish to include a covering letter with the submission explaining any special handling considerations.

When converting a submission to PDF:

- Submission should be "printed to PDF" from the Word version of the document. This saves space and provides for a searchable document.
- Exceptions to the above will be the inclusion of the signature page in Ministerial submissions. A scanned-in copy of the signature page (only) should be inserted into the previously saved PDF of the rest of the submission. Questions regarding e-submissions may be directed to the Cabinet Secretariat.
- Electronic Cabinet submissions that consist of several files are problematic. All attachments to the submission must be in PDF format and must be a part of a single PDF file.

2. Cabinet Decision Items Referred to Cabinet House Strategy

On occasion decision items are submitted to Cabinet House Strategy. This practice can continue, however, the Cabinet Secretariat still requires the original signed submission as described above. This is required for the permanent Cabinet record and searchable database.

3. File Naming Conventions

All electronic Cabinet submissions must adhere to the following naming convention:

Submission Type Acronym – Dept. Acronym – Transmission Date – (YYYY-MM-DD) – Submission Title

For example:

DA – ENR – 2011-12-06 – Direct Appointment to the Public Service without Competition of Mr. John Doe

II – HSS – 2011-11-14 – Summary, Federal, Provincial and Territorial (FPT) Ministers of Health Meeting

DP – JUS – 2011-10-07 – Canada/Northwest Territories Correctional Services Coordination Agreement

Departmental Acronyms

EXE	Executive
DAAIR	Aboriginal Affairs and Intergovernmental Relations
HR	Human Resources
FIN	Finance
MACA	Municipal and Community Affairs
DOT	Transportation
PWS	Public Works and Services
HSS	Health and Social Services
ENR	Environment and Natural Resources
ITI	Industry, Tourism and Investment
ECE	Education, Culture and Employment
JUS	Justice
NWTHC	NWT Housing Corporation

Submission Acronyms

DI	Discussion Item
DL	Draft Legislation
LP	Legislative Proposal
DP	Decision Paper
DA	Direct Appointment
OP	Options Paper
MI	Ministerial Initiative
II	Information Item

4. E-Mail Naming Conventions

The subject line on e-mails forwarding submissions to Cabinet_Secretariat@gov.nt.ca should identify the sponsoring Minister (by portfolio) and the proposed meeting date.

For example: ECE – Cabinet March 1, 2013

5. Submission Deadlines

The Cabinet Secretariat must receive the electronic version of the signed submission no later than ten (10) working days before the next scheduled Cabinet meeting if they are to be considered at that meeting. For example: If the next Cabinet meeting is scheduled for the morning of Thursday, January 19, submissions must be received electronically by the Cabinet Secretariat **no later than midnight** of Thursday, January 5.

Information items may be submitted up to five (5) working days before the next scheduled Cabinet meeting. For example: If the next Cabinet meeting is scheduled for the morning of Thursday, January 19, submissions must be received electronically by the Cabinet Secretariat **no later than midnight** of Thursday, January 12.

Meeting specific deadlines are identified on the Cabinet calendar.

Submissions received after this deadline has passed will be held for the following Cabinet meeting.

Walk-ins will continue to follow the same procedures as in the paper based submission process. If a Minister wishes to make a submission after the submission deadline has passed, he or she must write a letter to the Premier to request permission to bring that item to the next Cabinet meeting. The letter must explain why a decision is urgently required and identify the potentially negative consequences of deferring the submission to the next scheduled meeting. If the Premier approves the Minister's request, the submission may be brought to the upcoming meeting. Each Minister is responsible for ensuring that copies of all approved walk-ins are distributed to Ministers and the senior staff who normally attend Cabinet meetings.

6. Amending, Deferring or Withdrawing Submissions

Ministers may request that a previously signed submission be withdrawn from the draft agenda, deferred to another Cabinet meeting, or replaced with a revised submission, but in each case the request must be addressed to the Deputy Secretary to Cabinet by the sponsoring Minister (i.e., requests by the Minister's staff or department to amend, defer or withdraw a submission signed by the Minister are not sufficient).

7. Confidentiality of the E-Cabinet Meeting Packages

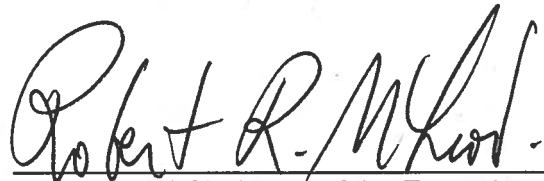
The records distributed as part of the e-Cabinet Package are confidential. Redistribution of the e-Cabinet packages provided to Ministers Offices and Cabinet Advisors to any person, including departmental staff, not identified in the confidentiality statement included in each Cabinet package is strictly prohibited.

8. E-Package Storage and Destruction

Depending on the preference of the Minister, copies of the Cabinet Package may be maintained in the Minister's electronic files until the term of the current Assembly is complete.

Because the Cabinet records of one Assembly are closed upon the election of the Cabinet of the next Assembly, all electronic and paper copies of Cabinet records must be purged from Minister's offices during the transition from one Cabinet to the next. Ministers' staff is responsible for ensuring that electronic and paper copies of Cabinet records are stored in such a manner as to permit the effective destruction of those copies.

Legal destruction of the electronic package as described above is dependent upon the Cabinet Secretariat's receipt of the original signed submission.

A handwritten signature in black ink, appearing to read "Robert R. McLeod". The signature is written in a cursive style with a large initial "R" and "M".

Premier and Chairman of the Executive Council

Appendix 3.1:
Committee-of-Cabinet Terms of
Reference – Energy and Climate
Change (April 2017)

ENERGY & CLIMATE CHANGE COMMITTEE-OF-CABINET TERMS OF REFERENCE

AUTHORITY

This Terms of Reference is established under the authority of the Executive Council (Cabinet) of the Government of the Northwest Territories (GNWT).

MANDATE

The mandate of the Energy & Climate Change Committee-of-Cabinet is to provide an interdepartmental focus to identify issues, track efforts, coordinate policy, and offer recommendations to Cabinet or the Financial Management Board with respect to the Government's focus on:

- (a) collaboration with other governments and organizations on addressing climate change;
- (b) options for climate change adaptation and mitigation;
- (c) energy policy;
- (d) making and incentivizing investments in alternative energy solutions; and
- (e) communications about government approaches to energy and climate change issues.

CHAIR

The Honourable Wally Schumann shall Chair the Energy & Climate Change Committee-of-Cabinet.

The Honourable Robert C. McLeod shall be the Vice-Chair.

COMPOSITION

The Committee comprises the:

- Minister of Infrastructure
- Minister of Finance
- Minister of Industry, Tourism and Investment
- Minister of Environment and Natural Resources
- Minister of Executive and Indigenous Affairs
- Minister Responsible for the Northwest Territories Housing Corporation
- Minister Responsible for the Northwest Territories Power Corporation

All Members of the Executive Council have a standing invitation to attend Committee meetings.

Established: 18 February 2016
Amended: 1 April 2017

QUORUM

The Chair or Vice-Chair and any two individuals appointed to the Committee, regardless of their portfolio assignments, will constitute a quorum.

OPERATIONS

The Committee:

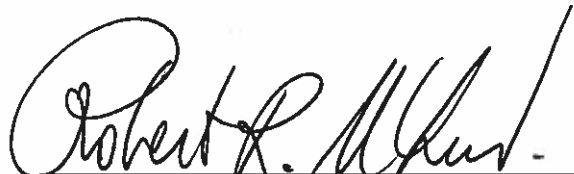
- (a) will remain informed of emerging issues and challenges related to the Committee's mandate;
- (b) may meet with standing committees of the Legislative Assembly, as appropriate, to ensure Members of the Legislative Assembly are made aware of and have an opportunity to provide meaningful input into discussions, reviews and proposals that fall within the Committee's mandate;
- (c) may establish meeting procedures and policies necessary to the Committee's operations;
- (d) will, following each meeting, submit for Cabinet's review, a summary of the Committee's discussions;
- (e) may be supported by a committee(s) of deputy ministers as established by the Secretary to Cabinet;
- (f) may, through the Committee Chair, and in accordance with Cabinet direction and established conventions, submit formal decision papers proposing specific actions for Cabinet's consideration and direction.

OPERATIONAL SUPPORT

The Office of Priorities & Planning, Department of Executive and Indigenous Affairs will provide the Committee with logistical, policy, and technical support. Cabinet Communications will provide communications support.

27/12/17

Date



Chairman of the Executive Council

Appendix 3.2:
Committee-of-Cabinet Terms of
Reference – Priorities and Planning
(April 2017)

PRIORITIES & PLANNING COMMITTEE-OF-CABINET TERMS OF REFERENCE

AUTHORITY

This Terms of Reference is established under the authority of the Executive Council (Cabinet) of the Government of the Northwest Territories (GNWT).

MANDATE

The mandate of the Priorities & Planning Committee-of-Cabinet is to:

- (a) track and monitor government progress in addressing the priorities of the 18th Legislative Assembly and the mandate of the Executive Council;
- (b) recommend whole-of-government approaches and priorities for consideration by Cabinet and/or the Financial Management Board; and
- (c) propose actions to ensure that government policies and initiatives are communicated in a manner that promotes awareness, openness and accountability.

The Priorities & Planning Committee-of-Cabinet also provides an interdepartmental focus to identify issues, track efforts, coordinate policy, and offer recommendations to Cabinet or the Financial Management Board with respect to the Government's focus on:

- (a) resolving outstanding Aboriginal land claim and self-government agreements;
- (b) working in partnership with Aboriginal, community, provincial, and territorial governments;
- (c) leveraging federal support for strategic infrastructure development and to reduce the cost of living in the territory;
- (d) advancing the principles and practices of open government;
- (e) promoting gender equity in political representation and board appointments.

CHAIR

The Honourable Robert R. (Bob) McLeod shall Chair the Priorities & Planning Committee-of-Cabinet.

The Honourable Robert C. McLeod shall be the Vice-Chair.

COMPOSITION

All Members of the Executive Council are members of the Priorities & Planning Committee-of-Cabinet.

Established: 18 February 2016

Amended: 1 April 2017

QUORUM

The Chair or Vice-Chair and any three members appointed to the Committee constitute quorum.

OPERATIONS

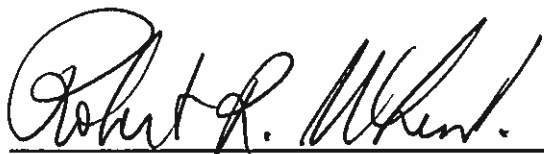
The Committee:

- (a) will remain informed of emerging issues and challenges related to the government's mandate;
- (b) will undertake broad strategic planning in support of the government's mandate;
- (c) may undertake periodic reviews of international, federal, provincial and territorial legislation, policies, strategies and initiatives relevant to the government's mandate;
- (d) may meet with standing committees of the Legislative Assembly, as appropriate, to ensure Members of the Legislative Assembly are made aware of and have an opportunity to provide meaningful input into discussions, reviews and proposals that fall within the Committee's mandate;
- (e) may establish meeting procedures and policies necessary to the Committee's operation;
- (f) will, following each meeting, submit for Cabinet's review, a summary of the Committee's discussions;
- (g) is supported by the Senior Management Committee of Deputy Ministers; and
- (h) may, through the Committee Chair, and in accordance with Cabinet direction and established conventions, submit formal decision papers proposing specific actions for Cabinet's consideration and direction.

OPERATIONAL SUPPORT

The Office of Priorities & Planning, Department of Executive and Indigenous Affairs will provide the Committee with logistical, policy, and technical support. Cabinet Communications will provide communications support.

27/02/17
Date


Chairman of the Executive Council

Appendix 3.3:
Committee-of-Cabinet Terms of
Reference – Economy and
Environment (April 2017)

ECONOMY AND ENVIRONMENT COMMITTEE-OF-CABINET TERMS OF REFERENCE

AUTHORITY

This Terms of Reference is established under the authority of the Executive Council (Cabinet) of the Government of the Northwest Territories (GNWT).

MANDATE

The mandate of the Economy and Environment Committee-of-Cabinet is to provide an interdepartmental focus to identify issues, track efforts, coordinate policy, and offer recommendations to Cabinet or the Financial Management Board with respect to the Government's focus on:

- (a) economic growth;
- (b) the strategic growth, maintenance and modernization of infrastructure in the territory;
- (c) infrastructure planning, acquisition, and delivery;
- (d) supporting the mineral exploration and mining sector;
- (e) partnerships with northern and Aboriginal businesses;
- (f) investing in, and attracting investment in, renewable and non-renewable resources;
- (g) improving the coordination and effectiveness of resource and wildlife management systems; and,
- (h) land use and sustainability.

CHAIR

The Honourable Robert C. McLeod shall Chair the Economy & Environment Committee-of-Cabinet.

The Honourable Louis Sebert shall be the Vice-Chair.

COMPOSITION

The Committee comprises the:

- Minister of Executive and Indigenous Affairs
- Minister of Industry, Tourism and Investment
- Minister of Environment and Natural Resources
- Minister of Lands

Established: 18 February 2016

Amended: 13 April 2018

- Minister of Infrastructure
- Minister of Finance
- Minister of Education, Culture and Employment

All Members of the Executive Council have a standing invitation to attend Committee meetings.

QUORUM

The Chair or Vice-Chair and any two individuals appointed to the Committee, regardless of their portfolio assignments, will constitute a quorum.

OPERATIONS

The Committee:

- (a) will remain informed of emerging issues and challenges related to the Committee's mandate;
- (b) may meet with standing committees of the Legislative Assembly, as appropriate, to ensure Members of the Legislative Assembly are made aware of and have an opportunity to provide meaningful input into discussions, reviews and proposals that fall within the Committee's mandate;
- (c) may establish meeting procedures and policies necessary to the Committee's operations;
- (d) will, following each meeting, submit for Cabinet's review, a summary of the Committee's discussions;
- (e) may be supported by a committee(s) of deputy ministers as established by the Secretary to Cabinet;
- (f) may, through the Committee Chair, and in accordance with Cabinet direction and established conventions, submit formal decision papers proposing specific actions for Cabinet's consideration and direction.

OPERATIONAL SUPPORT

The Office of Priorities & Planning, Department of Executive and Indigenous Affairs will provide the Committee with logistical, policy, and technical support. Cabinet Communications will provide communications support.

May 24, 2018
Date

Robert R. McKeown
Chairman of the Executive Council

Appendix 3.4:
Committee-of-Cabinet Terms of
Reference – Social Envelope (April
2017)

SOCIAL ENVELOPE COMMITTEE-OF-CABINET TERMS OF REFERENCE

AUTHORITY

This Terms of Reference is established under the authority of the Executive Council (Cabinet) of the Government of the Northwest Territories (GNWT).

MANDATE

The mandate of the Social Envelope Committee-of-Cabinet is to provide an interdepartmental focus to identify issues, track efforts, coordinate policy, and offer recommendations to Cabinet or the Financial Management Board with respect to the Government's focus on:

- (a) overall health and wellness of residents, including: mental health and addictions; seniors aging in place; family and community wellness; and, healthy lifestyles;
- (b) crime prevention and reduction;
- (c) safe and affordable housing and solutions to address homelessness;
- (d) improved nutrition and food security;
- (e) early childhood development and universal and affordable childcare;
- (f) K-12 and post-secondary education systems and institutions;
- (g) workforce training and development;
- (h) cultural education and Aboriginal languages;
- (i) youth leadership and capacity-building.

CHAIR

The Honourable Glen Abernethy shall Chair the Social Envelope Committee-of-Cabinet. The Honourable Caroline Cochrane shall be the Vice-Chair.

COMPOSITION

The Committee comprises the:

- Minister of Health and Social Services
- Minister Responsible for the Northwest Territories Housing Corporation
- Minister of Education, Culture and Employment
- Minister of Justice

Established: 1 April 2017

- Minister of Municipal and Community Affairs

All Members of the Executive Council have a standing invitation to attend Committee meetings.

QUORUM

The Chair or Vice-Chair and any two individuals appointed to the Committee, regardless of their portfolio assignments, will constitute a quorum.

OPERATIONS

The Committee:

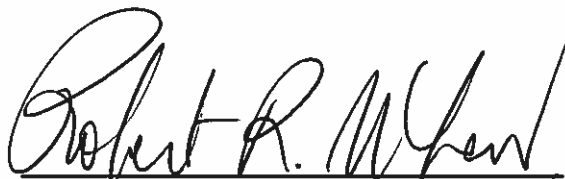
- (a) will remain informed of emerging issues and challenges related to the Committee's mandate;
- (b) may meet with standing committees of the Legislative Assembly, as appropriate, to ensure Members of the Legislative Assembly are made aware of and have an opportunity to provide meaningful input into discussions, reviews and proposals that fall within the Committee's mandate;
- (c) may establish meeting procedures and policies necessary to the Committee's operations;
- (d) will, following each meeting, submit for Cabinet's review, a summary of the Committee's discussions;
- (e) may be supported by a committee(s) of deputy ministers as established by the Secretary to Cabinet;
- (f) may, through the Committee Chair, and in accordance with Cabinet direction and established conventions, submit formal decision papers proposing specific actions for Cabinet's consideration and direction.

OPERATIONAL SUPPORT

The Office of Priorities & Planning, Department of Executive and Indigenous Affairs will provide the Committee with logistical, policy, and technical support. Cabinet Communications will provide communications support.

27/02/17

Date



Chairman of the Executive Council

Appendix 4.1:
Cabinet Operational Guidelines:
Board Appointments (August
2013)

CABINET OPERATIONAL GUIDLEINES

BOARD APPOINTMENTS

GUIDELINES STATEMENT

Pursuant to the Boards Policy (11.25), the Government of the Northwest Territories (GNWT) is committed to consistent and transparent processes for the nomination and appointment of individuals to public committees, boards and councils made, in whole or in part, by the Government of the Northwest Territories.

DEFINITIONS

The following terms apply to these Guidelines:

Boards Registry – a registry established pursuant to Board Policy (11.25) and mandated with responsibilities for soliciting, evaluating, processing and otherwise supporting GNWT nominations and appointments to public committees, boards and councils.

Candidate Database – an electronic database of persons interested in serving on public committees, boards and councils to which the GNWT may make appointments or recommend or nominate persons for appointment.

GNWT Board – as defined by the Boards Policy (11.25).

Non-GNWT Board – public committees, boards and councils established by authorities other than the GNWT, to which the GNWT may make appointments or nominate appointees.

Responsible Minister – the Minister assigned, through legislation, policy, or intergovernmental agreement, the authority to make or recommend an appointment or nomination to GNWT or Non-GNWT Board.

AUTHORITY AND ACCOUNTABILITY

These Guidelines are issued under the authority of the Executive Council (Cabinet) pursuant to section 5(2) (iii) of Boards Policy (11.25).

- (a) The Premier will maintain a Boards Registry within the Department of Executive.
- (b) Responsible Ministers will advise the Boards Registry of:
 - upcoming vacancies for which the Minister will be responsible for making appointments or nominations;

**CABINET OPERATIONAL GUIDELINES
BOARD APPOINTMENTS**

- any concerns which, in the Minister's opinion, should be brought to Cabinet's attention concerning a candidate's ability to effectively serve on a GNWT or Non-GNWT Board; and
 - the acceptance or rejection of any of the Minister's nominations to a non-GNWT Board.
- (c) Responsible Ministers will ensure that all proposed appointments and nominations submitted for Cabinet's approval or information incorporate data required to assess the factors outlined under Provision XX below.
- (d) The Cabinet Secretariat will assess, in accordance with these guidelines, all proposed appointments submitted for Cabinet's approval or information.

Provisions

1. Candidate's Eligibility

When reviewing a submission for an appointment or nomination to a GNWT or Non-GNWT Board, Cabinet will consider:

- any specific competencies, credentials or endorsements essential for appointment to the vacant position;
- if and whether the proposed candidate has cleared any required reference checks, including, but not limited to, criminal records checks where appropriate;
- the proposed candidate's competencies, specific technical skills, or experience which led to the proposed appointment or nomination;
- where appropriate, the proposed candidate's ability to adequately represent the communities, regions and stakeholders directly impacted by the respective Board;
- the proposed candidate's past service on other Boards; and
- any other factors judged relevant by Cabinet.

2. The Nature of the Specific Board

When reviewing a submission for an appointment or nomination to a GNWT or Non-GNWT Board, Cabinet will consider:

- any particular qualifications or general experience required of the respective Board's members;
- the current makeup of the Board, including representational appointments (e.g., worker's representatives, Law Society representatives) and term expiries;
- where appropriate, equitable geographical representation on the Board;
- nominations from any authorized nominating authority (e.g., a Land Claim authority);
- the process followed in soliciting nominations for the relevant vacancy; and


**CABINET OPERATIONAL GUIDELINES
BOARD APPOINTMENTS**

- the extent to which the proposed candidate's appointment or nomination is supported by Members of the Legislative Assembly.

3. Boards Registry

The Boards Registry is mandated to:

- (i) maintain a publicly accessible and up to date listing of all GNWT and Non-GNWT Boards comprised, in whole or part, of members appointed or nominated by GNWT Ministers; which includes information on the Board's purpose or function, the current membership, duration of terms, appointment authority and Board contact information;
- (ii) propose for the Premier's consideration further appointment guidelines addressing, among other things, soliciting interest in serving on Boards, geographical representations, term limitations, requirements for criminal records checks, requirements for conflict of interest disclosures, restrictions on the appointment of public servants to GNWT and Non-GNWT Boards, and multiple appointments;
- (iii) establish an application process, publicly advertise vacancies and solicit expressions of interests in serving on GNWT Boards or being nominated to serve on Non-GNWT Boards;
- (iv) design and maintain a candidate database available to Responsible Ministers and to public bodies subject to the Access to Information and Protection of Privacy Act;
- (v) assist the Responsible Minister, as requested, with identifying and soliciting suitable candidates; and
- (vi) assist the Cabinet Secretariat with assessing, in accordance with these guidelines, proposed appointments submitted for Cabinet's approval or information.



Premier and Chairman of the
Executive Council

Appendix 4.2:
Committees-of-Cabinet:
Operational Procedures (June
2016)

18th LEGISLATIVE ASSEMBLY COMMITTEES-OF-CABINET

OPERATIONAL PROCEDURES

INTRODUCTION

Committees-of-Cabinet (COC) are established under the authority of the Executive Council (Cabinet) to:

- promote a corporate approach and interdepartmental collaboration on matters within a committee's terms of reference
- track related commitments in the government's mandate
- offer advice and recommendations to Cabinet and/or the Financial Management Board
- recommend when items should be referred to Members of the Legislative Assembly to ensure awareness or to provide for meaningful review and input on matters within a committee's terms of reference

Each COC's mandate and membership is detailed in their respective terms of reference.

Each COC may be supported by a committee(s) of Deputy Ministers as established by the Secretary to Cabinet. The supporting Deputy Minister committee(s) will be chaired by a Deputy Minister Lead (DM Lead), selected by the Secretary to Cabinet. For the purposes of COC operations, the DM Lead reports directly to the COC Chair.

The Office of Priorities & Planning, Department of Executive (OPP) provides policy and administrative support to the COCs, and the Cabinet Communications division provides communications support.

PROCEDURES

(1) Scheduling and Calling Meetings

- COC meetings may be called at the discretion of the Chair.
- COC Chairs are encouraged to establish annual meeting schedules.
- COC meetings are arranged and organized by the OPP at the direction of the COC Chair.

(2) COC Agendas

- COC draft agendas are normally organized under the following headings, although other headings may be required from time to time:
 1. Declarations of Conflict of Interest
 2. Approval of Agenda
 3. Summary of Previous Meeting
 4. Tracking Progress on the Mandate
 5. Discussions Items
 6. Information Items
 7. Items for referral to Cabinet
 8. Items for future consideration
 9. In Camera

(3) Approval of Agendas and Meeting Packages

- When a COC meeting has been called, the DM Lead, following consultation with the OPP, shall submit a preliminary draft agenda for the Chair's consideration.
- The Deputy Secretary to Cabinet, Priorities & Planning, will then circulate the draft agenda to COC Members along with a call for additional agenda items.
- The draft agenda and the call for additional agenda items will normally be issued at least seven working days in advance of a COC meeting.
- The OPP will prepare and distribute a meeting package based on the draft agenda approved by the Chair.
- COC meeting packages will be distributed as an e-binder by the Deputy Secretary to Cabinet, Priorities & Planning, normally at least three working days prior to a meeting.

(4) Submissions

- Materials intended for a COC meeting package should be submitted to the OPP no later than five working days before the COC meeting.
- Prior to distribution of a meeting package, COC Members or the DM Lead may seek the Chair's approval to include additional agenda items in the package.
- Only materials submitted with respect to the agenda approved by the Chair, and before the meeting package is distributed, will be included in the meeting package (see walk-ins below).

(5) Walk-ins

- COC Members may request, at the beginning of a COC meeting, the Committee's approval to amend the agenda to include additional items.
- Where an item is added to an agenda at a meeting, the sponsoring COC Member is responsible for the distribution of any relevant briefing materials, and copies shall be provided to the OPP to ensure a complete COC record.

(6) Withdrawing, Deferring or Replacing COC Submissions

- A COC Member can make a request to the Chair to withdraw, defer or replace earlier submissions at any time prior to the distribution of the meeting package.
- Where a meeting package has been distributed, a COC Member can request a change to the agenda to withdraw, defer or replace earlier submissions before the agenda is finalized and approved in a meeting.
- The OPP will only accept requests for withdrawals, deferrals or replacements that have been approved by the Chair.

(7) Meeting Attendance

- COC meetings are open to all Ministers, including Ministers not appointed to the COC.
- Quorum for each COC is established in each Committee's terms of reference.
- DM Leads are expected to attend respective COC meetings.
- Attendance at a COC meeting is open to Members of that COC's supporting Deputy Ministers Committee(s), but only those with departmental agenda items will be formally invited.
- The Ministerial Special Advisor to the COC Chair may attend at the Chair's discretion.
- The Deputy Secretary to Cabinet, Priorities & Planning and one OPP analyst will normally attend all COC meetings to record discussions and provide support.
- The Director of Cabinet Communications may attend any COC meeting.
- Each COC Chair retains the discretion to move a COC meeting in-camera.

(8) Witnesses

- COC Chairs and COC Members, with the approval of the Chair, may invite witnesses to make presentations to or answer questions from the COC.
- Witnesses will be invited to be present for particular agenda items and should not normally be present for other COC discussions.

(9) Meeting Summary

- Following each COC meeting, a meeting summary is drafted by the OPP.
- The draft meeting summary is submitted for review by the DM Lead, normally within three days of a COC meeting.
- After review by the DM Lead, draft meeting summaries are sent by the Deputy Secretary to Cabinet, Priorities & Planning for signed approval by the COC Chair.
- Signed meeting summaries are returned to the Deputy Secretary to Cabinet, Priorities & Planning, who will keep a COC record as well as submit to the Cabinet Secretariat for inclusion in the next available Cabinet meeting package.

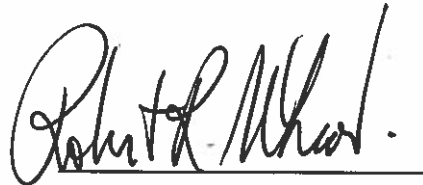
(10) Distribution list for COC Meeting Packages and COC related correspondence

- COC meeting packages should normally be distributed at least three working days before a COC meeting.
- The Deputy Secretary to Cabinet, Priorities & Planning, will distribute e-binders:
 - To:
 - ✓ COC Members
 - Cc:
 - ✓ DM Lead
 - ✓ Ministers Offices' staff
 - ✓ Secretary to Cabinet
 - ✓ Cabinet Communications
 - ✓ Any other individual(s) identified by the Chair

- Meeting packages will not normally be shared with invited witnesses.

(11) COC Meeting Package Confidentially

- COC meeting packages, materials prepared for presentation to COCs, and records of COC deliberations are all deemed to be Cabinet confidences.
- Unauthorized disclosure of COC records is prohibited under the *Access to Information and Protection of Privacy Act*.



Premier and Chairman of
the Executive Council

Appendix 4.3:
Cabinet Operational Guidelines:
Government Activities During a
Transition Period (September
2015)

GOVERNMENT ACTIVITIES DURING A TRANSITION PERIOD

CABINET OPERATIONAL GUIDELINES

GUIDELINES STATEMENT

In a parliamentary democracy, government is expected to adhere to the principle of restraint during a transition period.

The reason for restraint is that, upon dissolution, there are no members of the Legislative Assembly to hold the executive to account, and this is the essence of responsible government. Restraint should therefore be exercised by the government during the 28 day campaign period as well as during the approximate three week period required for the return of the writs, orientation, and the appointment of a new executive council.

During transitions, routine matters of public administration still need to be carried out by the government. At the same time, an out-going executive council should avoid, whenever possible, authorizing activities which could reasonably be viewed as promoting decisions of the out-going Executive Council or presuming upon matters not yet decided by the in-coming Executive Council. This is generally known as the 'caretaker convention'.

This Guideline is intended to assist Ministers and their departments in deciding what activities may or may not be appropriate during a transition period.

DEFINITIONS

Transition Period: The period between the dissolution of one Legislative Assembly through to the appointment of members of the Executive Council for the next Assembly.

GENERAL PRINCIPLES

The following general principles should be considered before the government undertakes any action during a transition period:

- the duties of a minister must continue to be fulfilled

**CABINET OPERATIONAL GUIDELINES
GOVERNMENT ACTIVITIES DURING A TRANSITION PERIOD**

- in fulfilling one's duties, ministerial decisions should be restricted to matters that are routine, necessary, non-controversial, emergency, or reversible by the next minister, and/or identified in advance through the *Process Convention on Transition Stewardship*
- decisions should be deferred on matters such as appointments, policies, new spending or other initiatives, announcements, negotiations, non-routine contracts, or grants and contributions, unless previously indicated through the *Process Convention on Transition Stewardship*, or in the event of an emergency or major unforeseen event
- there is a need to weigh, on a case-by-case basis, the necessity of any decision or action taken by a minister against the potential public response to that decision or action, as well as the overall public interest in action or inaction

DUTIES AND RESPONSIBILITIES

Members of the Executive Council are advised to be mindful that any activities undertaken as a minister during a transition period will be subject to public scrutiny.

At the same time, the public is advised that ministerial responsibilities continue through the transition period. Ministers have a duty to carry out their responsibilities until their appointment is revoked to enable the appointment of a new executive council. This ensures the stability of government through a transition period.

Deputy Ministers exercise a special responsibility during a transition period. This includes staying in contact with the Minister and advising the Minister on what activities may or may not be appropriate in respect of the principle of restraint. When advising their Minister, Deputy Ministers should consult the Secretary to Cabinet, who, where necessary, may consult the Ethics Counsellor.

In the event of an emergency or major unforeseen event, a minister, in consultation with the Premier, Secretary to Cabinet, and the Minister's Deputy Minister, may need to take a decision and/or address the public in order to serve the public interest. An emergency is defined as a present or imminent event that is affecting or could affect the health, safety, or welfare of people or is damaging or could damage property.

GUIDELINES

Activities by government that respect the principle of restraint:

**CABINET OPERATIONAL GUIDELINES
GOVERNMENT ACTIVITIES DURING A TRANSITION PERIOD**

- holding meetings of the Executive Council, Financial Management Board, and Committees-of-Cabinet
- taking routine and necessary decisions, including regulatory decisions
- ministers accepting an invitation to bring greetings to visitors and dignitaries or to attend a regularly scheduled public event, where the presence of a minister would normally be expected as a matter of protocol
- intergovernmental letters of congratulation, as would normally be expected as a matter of protocol
- having speeches to be given by a minister as a minister (not as a candidate) reviewed in advance by the Director of Cabinet Communications, the Office of the Premier, in order to ensure that public statements respect the principle of restraint
- public servants participating in ongoing intergovernmental negotiations
- public servants participating in ongoing contractual negotiations
- mass communication of government information primarily concerned with health, safety, or eligibility for programs and services

Activities by government that offend the principle of restraint:

- ministers participating as ministers in public events, where the minister is not invited or expected to perform any official duty
- addresses by ministers, in their capacity as ministers, to community or special interest groups or associations, that are unscheduled or scheduled after the beginning of the transition period
- using for partisan or campaign purposes any government resources available by way of a minister's portfolio (this includes confidential information, office space, equipment, communication devices, staff, or services)
- ministers asking exempt staff to undertake any non-government work, especially for campaign or partisan purposes or using public resources for non-government work

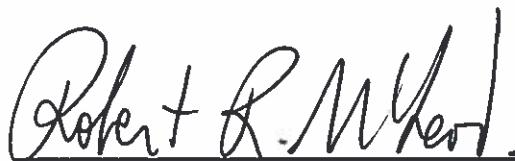
**CABINET OPERATIONAL GUIDELINES
GOVERNMENT ACTIVITIES DURING A TRANSITION PERIOD**

- ministers posting to social media any statements related to one's ministerial role or activities
- providing any unauthorized or confidential government information to any candidates or campaign staff (or any other person), including other Ministers and former members of the recently dissolved Legislative Assembly
- ministers pronouncing on any policy positions on behalf of the government, other than those already approved by the Cabinet and previously made public

PUBLIC ENGAGEMENT

In order to be consistent with the principles of restraint and good public administration during a transition period:

- public and stakeholder consultations, planning sessions, or surveys should not begin or continue to be held or deployed (excluding routine surveys conducted by the Bureau of Statistics)
- ministers should not be directly involved in public engagement by government; moreover, public engagement by government should never be a forum for election campaigning
- public servants should continue to meet with, answer questions from, and provide information to other governments, non-governmental organizations, private associations, or individuals in accordance with the general practices of government as would be the case when operating outside of a transition period. At the same time, public servants should not make any commitments to any particular course of action, decision, or policy position



Premier and Chairman of the
Executive Council

Appendix 4.4:
Cabinet Operational Guidelines:
Disclosure of Information During a
Transition Period(September 2015)

DISCLOSURE OF INFORMATION DURING A TRANSITION PERIOD

CABINET OPERATIONAL GUIDELINES

GUIDELINES STATEMENT

The Guiding Principles of Consensus Government, the Process Conventions informing the relationship between the Executive Council and the Standing Committees, and the *Access to Information and Protection of Privacy Act* all address the sharing of information amongst and between the Executive Council, Standing Committees, Ministers, Regular Members and the public. The Executive Council recognizes that during a transition period government will continue to share information, but the Executive Council also recognizes the importance of ensuring that during a transition period no Minister, former Regular Member or candidate is granted inappropriate access to information which could be used to further his or her electoral advantage.

DEFINITIONS

The following terms apply to these Guidelines:

Candidate: A candidate in an election for public office, including Ministers and former MLAs standing for re-election. For the purposes of these Guidelines, the term candidate includes members of the public working on behalf of a candidate's campaign team.

Transition Period: The period between the dissolution of one Legislative Assembly through to the appointment of members of the Executive Council for the next Assembly.

GUIDELINES

1. Public Access

The public has a right to access information held by Government of the Northwest Territories departments, boards and agencies (i.e., public bodies).

This right of access is limited only by the need to protect personal privacy as well as a few specific exceptions set out in territorial and federal legislation. The right is not and cannot be limited by an individual's decision to stand for election.

2. Information Requests from Candidates

During a transition period, a candidate's request for information directed to a Minister should be redirected by the Minister to the appropriate deputy minister(s).

A candidate's request for information should be handled by public servants as would a similar request made by any member of the public.

A candidate's request for a private meeting with public servants to discuss established government programs, services and other public matters should be handled as would a similar request from any member of the public.

3. Invitations To Meetings

A candidate's invitation to a public servant to attend a campaign meeting in the public servant's official capacity should be declined.

A request from an Aboriginal, municipal or federal government, or a non-government organization for public servants to participate, in an official capacity, in a private meeting scheduled to take place during a transition period should be handled as would a similar request to participate in a private meeting outside of a transition period.

A public servant should exercise discretion when invited to attend, in an official capacity, public meetings held during a transition period. Though staff may have reason to expect that there may be attempts to "politicize" public meetings during a transition period, public servants have an obligation to serve the public and should not necessarily decline invitations that would normally be accepted outside a transition period.

4. Other Considerations

Public servants shall not advise other candidates about requests for information by one candidate.

During the transition period, public servants shall not extend to former MLAs or Ministers, other than their own Minister, any greater access to departmental information than they would extend to other candidates or the general public.

**CABINET OPERATIONAL GUIDELINES
DISCLOSURE OF INFORMATION DURING A TRANSITION PERIOD**

During the transition period, public servants should not extend to former public service colleagues any greater access to departmental information than they would extend to candidates or the general public.

Though candidates and the general public have the right to access information readily available to a public body, they do not have the right to ask that research be undertaken on their behalf.

5. Other Elections

These Guidelines on the disclosure of information during a transition period should also guide ministerial and public servant decisions on the disclosure of information to candidates during a territorial by-election, a federal election, an NWT municipal election, and an NWT Aboriginal government election.

6. Public Servant Participation

Public servants should ensure that any personal involvement in political activities complies with the political activity provisions of the *Public Service Act* and the *Code of Conduct for Employees of the Government of the Northwest Territories*.

7. Interpretation

During a transition period, questions regarding these Guidelines should be referred to the Secretary to Cabinet.



Premier and Chairman of the
Executive Council

Appendix 4.5:
Cabinet Operational Guidelines:
Government Advertising During a
Transition Period (September 2015)

GOVERNMENT ADVERTISING DURING A TRANSITION PERIOD

CABINET OPERATIONAL GUIDELINES

GUIDELINES STATEMENT

The Executive Council recognizes that, though the routine business of government must continue during a transition period, government advertising activities could possibly provide incumbent ministers with an unreasonable electoral advantage during a transition period. For this reason, ministers and their departments will curtail publicly funded advertising during the transition period and limit advertising to:

- the issuance of a public notices for legal purposes;
- informing the public of essential government services or advising the public of any emergency related to health, safety or the environment;
- posting employment or staffing notices.

DEFINITIONS

The following terms apply to these Guidelines:

Advertising: Any message conveyed in the NWT, Canada or internationally by the Government of the NWT for placement in media, including but not limited to newspapers, television, radio, billboards, cinema and on mobile devices, Internet and any other digital medium.

Emergency: A present or imminent event that is affecting or could affect the health, safety or welfare of people or is damaging or could damage property.

Publication: Anything made public by print (in a newspaper, magazine, poster, brochure, document, letter or digital media).

Transition Period: The period between the dissolution of one Legislative Assembly through to the appointment of members of the Executive Council for the next Assembly.

GUIDELINES

The Guidelines provide specific direction on allowable or prohibited forms of advertising during the transition period.

1. Advertising (General)

Advertising of policies will be discontinued during the transition period, except in cases of an emergency.

This restriction does not apply to advertising required to continue the administration of ongoing public programs or to advertising required to ensure the health and safety of the public.

2. Employment Postings

Advertising for job postings is permitted during the transition period.

3. Tenders

Advertising tenders and requests for proposals should, where operational demands permit, not be undertaken during the transition period.

4. Legal Advertising

Routine legal notices may be advertised during the transition period.

5. Goodwill Advertising

Advertising that promotes special causes, events or declarations, or offers congratulations from the government or individual ministers to individuals or groups is prohibited during the transition period.

6. Brochures and Publications

Brochures and publications already in place and available to the public may continue to be available to the public. No new publications are to be published during the transition period.

Distribution of publications and brochures is limited to meeting direct requests from the public. No mass distribution or mailing should be undertaken during the transition period unless primarily concerned with health, safety, or eligibility for programs and services.

7. Signs

Signage is restricted to those necessary for identification or public safety during the transition period.

Existing signage that promotes government programs or activities should be removed or covered for the duration of the transition period.

8. Internet Advertising

During the transition period, no new promotional material, including ministerial press releases and other materials with the Minister's name attached shall be posted on a GNWT website.

9. Promotional Giveaways

Distribution of departmental promotional giveaways will be discontinued during the transition period.



Premier and Chairman of the
Executive Council

Appendix 4.6:
Cabinet Operational Guidelines:
Procurement Activities During a
Transition Period (September 2015)

PROCUREMENT ACTIVITIES DURING A TRANSITION PERIOD

CABINET OPERATIONAL GUIDELINES

GUIDELINES STATEMENT

There are restrictions on procurement activities during a transition period.

During a transition period, departments are to curtail publicly funded advertising except for the following:

- the issuance of public notices for legal purposes;
- posting employment or staffing notices;
- informing the public of essential government services; or
- to advise the public of any emergency related to health, safety or the environment

DEFINITIONS

Transition Period: The period between the dissolution of one Legislative Assembly through to the appointment of members of the Executive Council for the next Assembly.

GUIDELINES

1. Advertising tenders and requests for proposal should, where operational demands permit, not be undertaken during a transition period. This includes advertising on the GNWT Contracts Opportunities webpage.
2. Deputy Ministers may approve Sole Source Procurements in accordance with FAM guidelines and Contract Regulations.
3. The Procurement Shared Services division of PWS should be contacted to schedule upcoming procurement requirements, to ensure adequate time to prepare the procurement event, advertise and award.
4. Departments should consider scheduling procurements after the first session of the next Legislative Assembly following a general election.
5. The Procurement Shared Services division of PWS should be contacted to discuss how to access goods or services during a transition period under existing Standing Offer Agreements or Supply Services Agreements.

**CABINET OPERATIONAL GUIDLEINES
PROCUREMENT ACTIVITIES DURING A TRANSITION PERIOD**

6. In advance of a transition period, the Procurement Shared Services division of PWS shall communicate specific cut-off dates relative to a general election.
7. If public servants have any questions about procurement in advance of or during a transition period, they should contact their departmental policy staff or the Secretary to Cabinet.



Premier and Chairman of the
Executive Council

Appendix A

Procurement Planning Table: 2015 Transition Period

	Initiation Cut-Off Date (RS to PSS)	Advertising Cut-Off Date
Tenders		
Air Charters	October 5, 2015	October 5, 2015
Goods/Services Under \$250,000	September 18, 2015	September 23, 2015
Goods/Services Over \$250,000	September 3, 2015	September 8, 2015
RFP's/RFQ's		
Goods/Services Short Form RFP	September 10, 2015	September 15, 2015
Goods/Services Over \$250,000	August 25, 2015	September 8, 2015

Appendix 4.7:
Cabinet Operational Guidelines:
Guidelines for Selecting Names for
GNWT Owned Office Buildings
(May 2016)

Executive Council

Guidelines for Selecting Names for Government of the Northwest Territories Owned Office Buildings

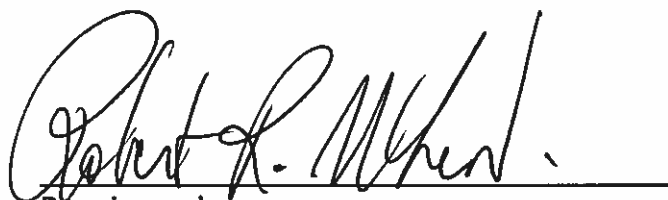
If and when the Government of the Northwest Territories (GNWT) elects to name a GNWT owned office building, the promotion of the Northwest Territories' heritage and culture will be a primary consideration.

Definition

Office Building – A building designed to house government offices. For the purposes of these guidelines, "office building" does not include GNWT owned buildings designed primarily to deliver programs and services to the public (e.g., schools, health centres, airports).

Guidelines

- (1) Cabinet approval is required to name a GNWT owned office building.
- (2) When naming a GNWT owned office building, Cabinet will consider whether the proposed name reflects the historical, cultural, and geographic significance of the Northwest Territories.
- (3) GNWT owned office buildings may be named in honour of deceased persons who have made significant contributions to public life and the well-being of territorial residents.
- (4) GNWT owned office buildings will not be named in honour of living persons.
- (5) Cabinet may approve a public engagement process to solicit naming ideas for GNWT owned office buildings.



Premier and
Chairman of the Executive Council

Appendix 4.8:
Cabinet Operational Guidelines:
Legislative Proposal Development
and Distribution (December 2017)

CABINET OPERATIONAL GUIDELINES

LEGISLATIVE PROPOSAL DEVELOPMENT AND DISTRIBUTION

STATEMENT

Legislative proposals, including draft legislative proposals, are protected by Cabinet privilege and, in accordance with the *Access to Information and Protection of Privacy Act*, are not publicly disclosed for a minimum of 15 years from the date of creation.

Though legislative proposals may not be publicly disclosed, in many cases a legislative proposal's development could benefit from input received from indigenous governments, other public governments, professional organizations, stakeholders, non-government organizations and individuals. Engagement with non-GNWT parties could extend to sharing the substance of a legislative proposal even when the disclosure of the same legislative proposal is prohibited under law.

DEFINITIONS

The following terms apply to these Guidelines:

Bill: a proposed law introduced to the Legislative Assembly for its approval. Bills are legal instruments drafted by legislative counsel.

Drafting Instructions: instructions issued to the Legislation Division, Department of Justice consistent with a legislative proposal approved by the Cabinet.

Legislative Proposal: a Cabinet submission prepared for a Minister's signature and presentation to the Cabinet. Legislative proposals are designed, in accordance with Cabinet conventions and the Cabinet Submissions Handbook, to provide the Cabinet with the information it needs to make an informed decision on a Minister's policy rationale for establishing new, or amending existing, legislation. Legislative proposals are not to be confused with bills.

Provisions

These Guidelines attempt to clarify opportunities for public participation in the development of NWT legislation.

1. Identifying the need for legislative action

Non-GNWT parties are often involved at the very earliest stages in identifying a need to establish, amend or repeal legislation. The need to establish, amend or repeal legislation could be identified internally, or through intergovernmental discussions, public petitions, interest group lobbying, appeals to elected officials, and feedback resulting from GNWT led consultations.

2. Development of a policy rational

Regardless of where the need for legislative action was identified, if the decision is made to proceed, the responsible department will often seek the input of interested individuals in the development when detailing and explaining the reasons for establishing, amending or repealing legislation (i.e., defining the policy rational).

3. Development of a legislative proposal

A legislative proposal is a specific type of Cabinet submission drafted in accordance with established formats and procedures. As mentioned above, NWT law prohibits the disclosure of both draft and signed legislative proposals; but when engagement with a non-GNWT party is deemed appropriate the substance of a legislative proposal may be shared during the legislative proposal's drafting. Engagement with any non-GNWT party in the development of a legislative proposal should be noted in the legislative proposal.

4. Finalization and submission of a legislative proposal

Only GNWT Ministers can finalize, sign and submit a legislative proposal for Cabinet consideration.

5. Referral of signed legislative proposals

Signed legislative proposals submitted to Cabinet are referred to the Standing Committees of the Legislative Assembly in confidence and in accordance with the *Process Convention on Standing Committee Review of Legislative Proposals*.

6. Cabinet deliberations on legislative proposals

Following Standing Committee review, legislative proposals are scheduled for Cabinet consideration in accordance with established Cabinet conventions.

7. Approved legislative proposals

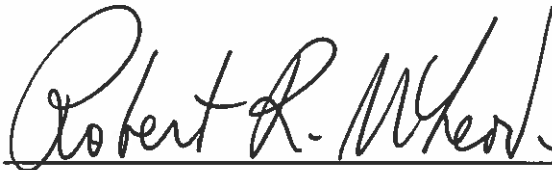
Cabinet approved legislative proposals provide the policy basis for the drafting of a bill.

8. Drafting legislation

Draft bills submitted to Cabinet are also protected by Cabinet privilege; however, once Cabinet has issued the policy direction to draft a bill the disclosure of a bill under development to a non-GNWT party is permitted when disclosure is deemed necessary to obtaining a non-GNWT party's meaningful input.

9. Submission of draft bills

Only GNWT Ministers can submit draft bills for Cabinet approval. Draft bills approved by Cabinet are introduced in the Legislative Assembly by a sponsoring Minister.



Premier and Chairman of the
Cabinet

Appendix 4.9:

Cabinet Operational Guidelines on
the Use of the Terms “Indigenous”
and “Aboriginal” (December 2017)

EXECUTIVE COUNCIL


CABINET OPERATIONAL GUIDELINES ON USE OF THE TERMS "INDIGENOUS" AND
"ABORIGINAL"

GUIDELINES STATEMENT

The Government of the Northwest Territories (GNWT) is committed to demonstrating respect to Indigenous governments and organizations in a way that is coordinated and consistent with the Principles of Engagement stated in *Respect, Recognition, Responsibility: The Government of the Northwest Territories (GNWT) Approach to Engaging with Aboriginal Governments*. The Executive Council recognizes the shift in terminology from "Aboriginal" to "Indigenous." For this reason, the Executive Council prefers the use of the term "Indigenous," as appropriate in context, in all engagement and communications with, and in reference to, Indigenous governments, organizations and peoples.

GUIDELINES

1. "Indigenous peoples" is the preferred term that collectively refers to First Nations, Inuit and Métis of the Northwest Territories. Examples of the correct use of the term "Indigenous:"
 - Indigenous peoples
 - Indigenous governments and organizations
2. When referring to a specific Indigenous government, organization or people, use the preferred name of that specific Indigenous government, organization, or people.
3. When referring to specific legislation, regulations, or agreements, always use the terminology found in that specific legislation, regulation or agreement.
4. When referring to asserted or established Aboriginal and/or Treaty rights under section 35 of the *Constitution Act, 1982*, the preferred form for this phrase is "asserted or established Aboriginal and/or Treaty rights." Do not use "Section 35 rights" or "Indigenous rights."
5. The term "Indian(s)" should be avoided, unless it is part of a historical reference.
6. When referring to the GNWT's Affirmative Action Policy, the terms "Indigenous Aboriginal Persons," "Indigenous Non-Aboriginal Persons," and "Non-Indigenous Aboriginal Persons" have a specific definition and should only be used in reference to the Affirmative Action Policy.



Robert R. McLeod
Premier