

2021 CHRT 41 Fact Sheets and Checklist

Information Requirements at Each Capital Phase

This document provides a series of fact sheets that outline the requirements for each phase of the 2021 Canadian Human Rights Tribunal (CHRT) 41 capital project lifecycle as outlined in the *First Nations Child and Family Services and Jordan's Principle Capital Delivery Guide Version 2* (<https://www.sac-isc.gc.ca/eng/1654879958408/1654880046931>).

CHRT 41: Process at a Glance

Phase 1: Pre-Capital Work



Part A:
Pre-Capital Plan
Needs Assessment



Part B:
Technical Feasibility Study,
Including all documentation

Phase 4: Completion

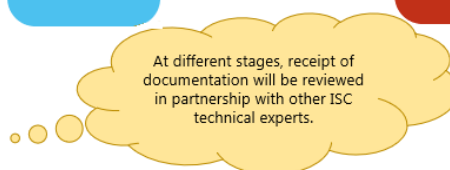
Submission of remaining required documentation, depending on scope of the project, and what was submitted to date.

This includes any additional expenditures related to the project that have not been submitted or addressed in previous funding allocations.



NOTE

Before moving to the next "phase" the previous stages must be complete. Some work can be done concurrently, such as the studies and pre-capital work. Reports undertaken and work/studies must be reviewed and validated by the responsible region, prior to moving to the next phase.



Phase 2: Design



Part A: Design plan and preparation of tendering package



Part B: Tendering process for construction may begin once part A is complete & project is deemed « ready to proceed »

Phase 3: Construction



All tendering bids are submitted, the selected bid is identified, and contract is awarded.

Contribution funding agreements details, milestones, risk assessments, regulations, etc are identified at this stage.



- The capital funding request and assessment process has been designed to be adaptable to the types of requests, their varying degrees of projects scopes, and the different phases of project readiness within the capital project life cycle.
- Some funding requests such as vehicle purchases, and window replacements are assessed and processed through existing internal mechanisms and may not be subject to the full capital project life cycle.
- For projects that are larger in scope, such as the construction of a new building, the requestor may be required to complete each phase of the capital project life cycle.

- Each capital request has its own project scope, objectives, and timelines. There is no "one size fits all" approach. The process for First Nation Child and Family Services (FNCFS) and Jordan's Principle capital requests is intended to be as flexible as possible and to ensure requestors are supported throughout each phase. There may be instances where variations in documentation can be accepted, provided they contain the required information. This can only be determined on a case by case basis throughout the project phases.
- Assets serving multiple purposes, for example, spaces that support the delivery of FNCFS funded services and activities and/or Jordan's Principle funded services, along with unrelated activities, will be proportionally funded. Assets serving multiple purposes, for example, the delivery of approved Jordan's Principle funded services along with unrelated services will be proportionally funded. The project documentation must include the details of the multi-purpose asset as part of the feasibility study to substantiate the most effective way to provide FNCFS funded services or approved Jordan's Principle funded services.



Phase 1: Pre-Capital Needs Assessment, Feasibility and Planning

Pre-capital needs assessments assist in determining the type(s) of assets/functional spaces needed to deliver services.

Feasibility studies explore options for addressing the functional space needs outlined in the needs assessment. This includes details of the project parameters and propose

Pre-capital planning, needs assessments and feasibility studies prepare for, and feed into, the other phases in the project lifecycle.

Tendering - Federally funded capital projects administered by First Nations must align with the First Nation's own tendering policies (as per the Framework to Guide the Development of a First Nation Tendering Policy) or, in the absence of such policies, the projects must align with the [ISC Tendering Policy on federally funded capital projects for First Nations on reserve](#). Federally funded capital projects administered by FNCFS agencies must align with public sector tendering practices. Tendering is required at each phase of the capital project life cycle.

1a: Required Elements – Pre-Capital Needs Assessment

The needs assessment assists both the requestor and ISC in determining the types of assets/functional spaces required to deliver eligible programs and services and can address gaps between the current and desired outcomes.

What is meant by “ready to proceed”? This means that the project has received approval from the First Nation and the applicable project phases (e.g., feasibility or design phases for construction projects) for that project were completed. The asset can be purchased or construction can begin at this point. ISC will communicate this information in writing, once these details have been confirmed.

Pre-capital needs assessments are required where the project is a new build or substantial renovation, and the project is not underway or is not yet deemed 'ready to proceed.' A pre-capital needs assessment is used to determine:

- The current scope of FNCFS funded programs and services and/or of Jordan's Principle funded services, such as types of activities undertaken and frequency of delivery.
- Staffing requirements to deliver FNCFS Program services or Jordan's Principle services (organizational structure and funded staff positions.)
- Estimated capital requirements of the current program and/or service such as types and quantities of different functional spaces.
- The extent to which the requested type of capital is currently available to the First Nation or FNCFS agency as well as the current condition/state of existing assets.

Documentation

Documentation required for a Pre-Capital Needs Assessment varies depending on the nature and scope of the project. A checklist of supporting information required for a pre-capital needs assessment is included in **Annex C** of the *Capital Guide* (see also section 5.3 for FNCFS and 5.2 for Jordan's Principle). Examples of documentation required upon submitting a CHRT 41 funding request can include:

- A completed capital **request form**;
- **Band Council Resolution** (BCR) in support of the project;
- **Completed Needs Assessment:**
 - Current **scope of funded programs and services**;
 - **Staffing requirements** (organizational structure) to deliver Jordan's Principle funded services, or FNCFS funded programs and services;
 - **Estimated capital requirements** to deliver Jordan's Principle funded services, or FNCFS funded programs and services;
 - Extent to which the requested **type of asset/functional space is currently available** to the First Nation; or
 - FNCFS agency and the current **condition/state of the existing assets**;
- **Class D cost estimate or rough order of magnitude**;
- **Functional Programing** details outlining how the funded services will be operationalized;
- **Functional Plan (spaces m2)** that maps services and occupancy to the number, type and quantities of different functional spaces needed to support delivering Jordan's Principle funded services, or FNCFS funded programs and services;

Please consult your ISC regional office for additional information on documents.

1b: Required Elements – Feasibility and Planning

Feasibility studies serve to document project-specific parameters, identify and compare potential options for meeting the functional space needs that have been identified, and speak to project viability. A completed feasibility study is required before moving to the design phase.

The feasibility study:

- Examines all technically sound and viable options available to achieve the objectives of the capital project and provides the planning information required for the project to move ahead to subsequent phases.
- Details the options and investigates potential site issues which may impact those options, and weighs the advantages and disadvantages of each option.
- Assesses the cost effectiveness of each option, and proposes potential solutions to the defined problem, need or opportunity.
- Recommends a preferred option out of those presented in the study.
- Determines the most appropriate strategy for moving ahead with the project to maximize benefits to the community.
- Is required before the design phase to assess the practicality and viability of the proposed project or activity.

Contents of the Feasibility Study:

The need for a feasibility study is case-specific and based on the phase, nature and scope of the capital project. Generally, the feasibility study will need to include information on the following elements:

Organizational Overview: This is required to build a strong rationale for a proposed investment, and the current environment needs to be described. The organizational overview of the requestor should include:

- Mission,
- Strategic vision, goals, and service objectives.
- Current activities and services, including key stakeholders and clients.
- Organizational structure (high level).
- Existing capacity—financial and human resources.

Issue/Problem/Opportunity Statement: Express the problem or opportunity to which the agency or First Nation is responding.

Drivers for Change: Identify the drivers that have triggered the investment proposal, e.g., additional funding is available; an ongoing need for capital; increased demand for services; demand for additional services, etc. Both internal, e.g., organizational reprioritization, and external drivers of change should be identified and clearly linked to the business need, based on service delivery.

Options Analysis: Identify, describe, and explore the range of possible capital project options that can address the need. The list should demonstrate due diligence in exploring options.

Performance Alignment: Define the evaluation criteria and how the project aligns with the goal of 2021 CHRT 41 which is to provide appropriate assets to support the delivery of FNCFS and/or the funded delivery of services under Jordan's Principle.

Life Cycle Cost (LCC) for Each Option: Provide a complete description of the costs. Projected costing estimates should be based on total cost of ownership, which includes ongoing costs over the course of the investment's life cycle as well as potential compliance costs for stakeholder groups; e.g., costs to ensure an asset continues to comply with applicable building codes or health and safety regulations.

Cost Benefit Analysis for Each Option: Based on the costs established for each option, describe how those costs are weighed against the benefits. Conduct the cost-benefit analysis for each option considering costs, benefits, and risks.

Risk Analysis for Each Option: Identify the foreseen risks and conduct a risk assessment for each option, along with the development of a risk response. Risks may include challenges of working in remote areas, or the investment's importance to the agency's operations. A useful tool for assessing the risk and complexity of a project is the Treasury Board Project Complexity and Risk Assessment (PCRA) and the Project Risk Assessment Tool (PRAT).

Identify Recommended Option: Present the recommendation in a straightforward manner, clearly stating why the agency or First Nation will benefit by focusing its investment on one option.

Deciding Factors: Identify the deciding factors (financial, strategic, and outcome-related) for selecting the preferred option.

Forecasted Performance Impact of Recommended Option: Present the contribution of the requested capital item towards the realization of the objectives of 2021 CHRT 41.

Risk Mitigation Measures of Recommended Option: Illustrate why the identified risks are acceptable. Describe the key factors supporting the overall risk assessment, which include impact, probability, outcomes, and so forth.

Project Risk Assessment Tool (PRAT): The PRAT is used for projects over \$5M to measure the project's risk profile and identify necessary mitigation measures. It is designed to assist in the management of proposal-based projects by anticipating potential issues and proactively monitoring and mitigating specific elements that may delay or postpone a project. If any of the project's risk elements receive a medium to high risk rating, then a mitigation strategy (to be implemented by the funding recipient) will be required to address any project implementation issues.

Documentation

Information required for a Pre-Capital Needs Assessment varies depending on the nature and scope of the project. A checklist of documents required is included in **Annex C** of the *Capital Guide* (see also section 5.3 for FNCFS and 5.2 for Jordan's Principle). Examples of documentation required upon submitting a CHRT 41 funding request can include:

- **Geotechnical Investigation** - For new or alterations to structural foundations, a soil investigation report of the lands upon which the building or expansion is proposed to be constructed from a geotechnical engineer licensed to practice in the region where the Project will be undertaken
- **Site Survey** - A survey completed by a licensed surveyor of the land upon which the project is proposed to be constructed, to show the interrelationship of all proposed and existing building
- **Site map/plan** of the building location
- **Lot Servicing** - access to services and supporting infrastructure (water, wastewater, internet, electricity, roads)
- **Band Council Resolution** - To ensure that a common understanding of the proposed project is achieved and well-supported by the Chief(s) and/or Band Council(s) of the community, or communities, directly involved
- **Environmental Assessment** as per ISC's environmental review policy, including identification of environmental, social, health, and economic impacts, both negative and positive
- **Legal Land Surveys** (where applicable), to determine boundaries
- **Project Schedule and identification of the project team**
- **Class D cost estimate or rough order of magnitude**

Please consult your ISC regional office for additional information on documents.

Documentation Required upon submitting a CHRT 41 funding request:

1. A completed capital funding request form.
2. A proposal that includes the scope of work, project schedule and project team information including experience, project roles and responsibilities.
3. Cost estimate including a fee breakdown. Cost estimate should include all travel costs and disbursements.

When reviewing the feasibility study, depending on the scope of the project and whether it is a new build, ISC will work with you to ensure that all the elements of the feasibility study are captured. ISC will review the pieces of the feasibility study that could impact the evaluation and the outcome.

As part of this review process, technical expertise may be required. This will include ISC employees with relevant technical expertise as well as regional office staff who can support with technical guidance.

Project Overages: Within capital projects, sometimes project overages occur for a variety of reasons. When a project overage occurs, the reasoning will be reviewed and assessed on a case by case basis. The assessment will include reviewing the original scope of the project, with the new outlined costing, and determining whether the justification makes sound financial sense. Project overages can occur at other stages.

Protocol for ISC Funded Infrastructure (PIFI) - FNCFS Projects Only

At the pre-planning/needs assessment/feasibility and planning phase, it is recommended that requestors familiarize themselves with the protocol for ISC funded infrastructure, or PIFI. The PIFI includes a listing of policies, codes, directives, standards, guidelines, and procedures to assist requestors throughout the project life cycle.

The PIFI also serves as a reference for qualified and experienced third parties who are engaged by requestors to provide planning, design, construction, operation and maintenance services, or goods or other services on the lands of eligible requestors. Qualified and experienced planning, architectural, environmental and engineering professionals must be employed by eligible requestors on all infrastructure projects funded through the FNCFS Program. A link to the PIFI can be found at [Protocol for ISC-Funded Infrastructure \(sac-isc.gc.ca\)](https://sac-isc.gc.ca).

The Health Infrastructure and Capital Protocol - Jordan's Principle Projects Only

All funding agreements that fund Health Facility and Health Asset projects funded under the Capital Investments Functional Area refer to the Health Infrastructure and Capital Protocol as a condition of funding.

Qualified - means a licensed or certified professional who possesses adequate experience related to the work to be done and whose qualifications and experience are appropriate with the scope and complexity of the project being undertaken.



Phase 2: Design

The development of a design plan is standard practice for many capital projects once the pre-planning/needs assessment and/or feasibility study has been completed. The need for a design plan is case-specific based on the phase, nature and scope of the capital project.

Required Elements - Design Plan

At this phase, the requestor engages a professional firm to develop a project design plan. This includes construction documents such as drawings and building specifications. The design plan specifies in detail the preferred solution for meeting the service need, including factors such as lot servicing, access to services and supporting infrastructure (water, wastewater, internet, electricity, roads).

The design plan is the final component needed for ISC to confirm if a project is “ready to proceed” to construction. Once the design plan is submitted, the review of the plan will:

- Confirm that the project meets all applicable federal, provincial, and territorial codes and standards for the design, construction and operation of similar physical assets.
- Confirm that the design of the project is approved and certified by a professional engineer or architect licensed to practice as such in the province/territory where the proposed work is to be undertaken.

Tendering - Federally funded capital projects administered by First Nations must align with the First Nation's own tendering policies (as per the Framework to Guide the Development of a First Nation Tendering Policy) or, in the absence of such policies, the projects must align with the [ISC Tendering Policy on federally funded capital projects for First Nations on reserve](#). Federally funded capital projects administered by FNCFS agencies must align with public sector tendering practices. Tendering is required at each phase of the capital project life cycle.

Documentation

Documentation required for a Pre-Capital Needs Assessment varies depending on the nature and scope of the project. A checklist of documents required is included in **Annex C** of the *Capital Guide* (see also section 5.3 for FNCFS and 5.2 for Jordan's Principle). Examples of documentation required upon submitting a CHRT 41 funding request can include:

- **Capital Funding Request Form**
- **Final design drawings;**
- **Final specifications;**
- **Land encumbrance check** (if not already completed);
- **Right-of-ways identified/confirmed;**
- **Environmental reports and assessments** (if not already completed);
- **Identification of required permits;**
- **Project schedule and plan;**
- **Tender documents;**
- **Class A Cost Estimate** (pre-tender);
- **Class B Substantive;**
- **Project Risk Assessment Tool** (as applicable); and
- **Final tender document**

Please consult your ISC regional office for additional information on documents.

Documentation Required upon submitting a CHRT 41 funding request:

1. A completed capital funding request form
2. A proposal that includes the scope of work, project schedule and project team information including experience, project roles and responsibilities.
3. Cost estimate including a fee breakdown. Cost estimate should include all travel costs and disbursements.

At the design phase, the capital review team will determine if the project is ready to proceed.

If, upon review of the design plan, the project is confirmed to be "ready to proceed", the requestor will also initiate a tendering process for construction.



Phase 3: Construction

In the Construction Phase of the project life cycle, all tendering bids are submitted, and a selected bid is identified. A contract is awarded to the construction company.

The FNCFS Program or Jordan's Principle flows funding and construction begins. Note that the details of the funding will be outlined in the requestor's funding agreement, including applicable reporting requirements, such as the capital report.

Documentation Required

Documentation required for a Pre-Capital Needs Assessment varies depending on the nature and scope of the project. A checklist of documents required is included in **Annex C** of the *Capital Guide* (see also section 5.3 for FNCFS and 5.2 for Jordan's Principle). Examples of documentation required upon submitting a CHRT 41 funding request can include:

- **Project implementation plan and schedule;**
- **Final design information** (drawings, specifications, design report), signed and sealed;
- **Summary of tenders received and tender analysis;**
- **Recommendation for contract award and copy of contract;**
- **Class A Total Project Cost Estimate** (post-tender);
- **Cash flow projection; and**
- **Completed PRAT** (as applicable)

Please consult your ISC regional office for additional information on documents.

Changes in Scope: A substantial change in the intention of a previously approved project to such an extent wherein the nature of the project differs from what was originally stated in the request form, and supporting documentation. A change in scope is not used to refer to projects which experience minor changes in their implementation, or that experience unprecedented changes covered by either the contingency and/or risk allowance, as in these situations the end goal remains the same.



Phase 4: Completion

Once construction is complete, the professional firm issues a certificate of project completion. Once all required reports are submitted and finalized by the Region, the Region will flow any remaining capital construction funds.

Documentation Required

Documentation required for a Pre-Capital Needs Assessment varies depending on the nature and scope of the project. A checklist of documents required is included in **Annex C** of the *Capital Guide* (see also section 5.3 for FNCFS and 5.2 for Jordan's Principle). Examples of documentation required upon submitting a CHRT 41 funding request can include:

- **Letter of acceptance** attesting that the work was completed in accordance with the statement of work;
- **Certificate of completion** signed by the project manager;
- **Project close-out package**, including information required to create asset record in ISC systems; and
- **Project completion report completed by project authorities**, including signed and sealed final drawings, stamped and sealed field inspection reports, commissioning reports, and a complete set of full record drawings, signed and sealed by the professional engineer of record.

Please consult your ISC regional office for additional information on documents.

ANNEX A: LIST OF ACRONYMS

BCR:	Band Council Resolution
CFMP:	Capital Facilities and Maintenance Program
CIAD:	Capacity, Infrastructure and Accountability Division
CIB:	Community Infrastructure Branch
FNIIP:	First Nation Infrastructure Investment Plan
HQ:	Headquarters. Typically refers to relevant RIDB and CIB HQ areas.
ISC:	Indigenous Services Canada
LCC:	Life Cycle Cost
O&M:	Operation and Maintenance
PIFI:	Protocol for ISC-Funded Infrastructure
PCRA:	Project Complexity and Risk Assessment
PRAT:	Project Risk Assessment Tool
TEC:	Total Estimated Cost

ANNEX B: CAPITAL GLOSSARY

Class A Estimates: Based on complete working drawings and specifications, and prepared prior to calling competitive tenders, this estimate should be sufficient to allow a detailed reconciliation/ negotiation with any contractors proffered tender.

Class B Estimate: Based on design/preliminary drawings and outline specification for the project, which include the design of all major systems and subsystems, as well as the result of all site/installation investigation, this estimate should provide for the establishment of realistic cost objectives.

Class C Estimate: Based on a full description of the preferred option, construction/design experience, and market conditions, this estimate should be sufficient for making the correct investment decision.

Class D Estimate: Based upon a statement of requirements, and an outline of potential solutions, this estimate is strictly an indication (rough order of magnitude) of the final project cost, and should be sufficient to provide an indication of cost and allow for ranking all the options being considered.

Contingency allowance: is an amount set aside for undefined developments or events in a project not resulting in an increase in scope.

Feasibility Study: The feasibility study examines all technically sound and economically viable options available to achieve the objectives of a capital project and provides the planning information required for the project to move ahead to subsequent phases. It details the options and investigates site issues impacting those options, weighs the advantages and disadvantages of each option, assesses the cost effectiveness of each option, and determines if the options meet ISC program funding requirements. The feasibility study report recommends a preferred option. The feasibility study report should determine the most appropriate strategy for moving ahead with the project and maximizing benefits to the community, while meeting ISC program funding requirements.

Legal land survey: Legal land surveying means surveying in relation to: (a) the identification, establishment, documentation or description of a boundary or the position of anything relative to a boundary; or (b) the generation, manipulation, adjustment, custody, storage, retrieval or display of spatial information that defines a boundary. Lands and Economic Development is the lead on this.

Life Cycle Costs: is a mathematical procedure which describes the total costs (e.g. construction, operation, maintenance, major maintenance and disposal) of an asset in terms of a present value which reflects the effects of monetary interest and price escalation. A LCC analysis provides a hypothetical method of comparing competing options on the basis of which alternative makes the better economic sense in terms of total costs over a defined period (usually 20 years).

Maintenance: The work performed on an asset such as a road, bridge, building, related grounds or piece of equipment to preserve it in as near to its original or renovated condition as is practical. The types of maintenance which can be performed may include the following:

(a) routine - ongoing maintenance activities, such as cleaning floors, grading roads, and mowing lawns, required due to continuing use of the facilities;

(b) preventive maintenance (PM) - periodic adjustment, lubrication, and inspection of equipment to ensure a continued safe working condition; and

(c) maintenance project - an approved and defined project intended to maintain or restore the functional integrity and established levels of service of an asset. It includes major repairs and component replacement and/or reconstruction.

Maintenance management plan: is a document that formalizes the planning, scheduling, documentation and reporting of maintenance activities, and provides a method of recording corrective measures.

Operation: The performance of work or services and the provision of materials and energy to ensure the day-to-day proper functioning of an asset (e.g., the work activities and associated chemicals and fuel to run a water treatment plant).

Project Management Controls: concern who delivers projects and how they are delivered.

Protocol for ISC Funded Infrastructure (PIFI): Listing of Statutes, Regulations, Policies, Codes, Directives, Standards, Protocols, Specifications, Guidelines, and Procedures and is applicable under the Capital Facilities and Maintenance Program.

Risk allowance: is a monetized calculation of risks as part of the project review process.

Total Estimated Cost: is a substantive estimate of the total project costs for all phases (feasibility to post construction) including a breakdown of proposed funding to be provided by ISC and a description of any other federal, provincial, municipal and private funding sources. Contingency allowance is included in this estimate.

Life Cycle Cost (LCC): analysis is required for all feasible options to assess value-for-money and to justify the recommended option.

Sole Source: Sole source: a non-competitive tendering process that can be used when one of the following conditions warrant:

- Pressing emergency in which delay would be injurious to the public interest;
- Professional services and construction contracts estimated expenditure does not exceed the following values and the use of open or invited tenders has been assessed as not suitable for the project;
 - For construction: \$200,000 for general contracting approach and \$50,000 for management approach; and
 - For professional services: \$100,000.
- The nature of the work is such that it would not be in the public interest to solicit bids; and
- Only one (1) person is capable of performing the contract.

The exception should only be invoked where patents, copyright requirements, or technical compatibility factors and technological expertise suggest that only 1 contractor exists.

Tendering process: the procedure by which tender documents, or specifications describing the requirements and qualifications necessary under a project, are put in the hands of contractors or suppliers who will be interested in preparing and submitting bids to undertake the project. Under a competitive process there are 2 different methods used for carrying out a tendering process. The first method is an invited tender and the second is an open tender.

Invited tender: the tender is limited to a selected list of contractors who are invited to submit a bid on the project. At least 2 qualified firms should be invited to bid to ensure an adequate level of competition.

Open or public tender: open tenders, sometimes referred to as public tenders, are publicly advertised, usually through newspapers, postings in local construction association offices or a public electronic bidding service. Open tenders must allow all qualified and interested contractors an opportunity to bid on the project. Once advertised, some individual contractors may be contacted to ensure that they are aware of the project being tendered, should they wish to participate in the tendering process. Public advertisement or notification of a project must be wide enough to ensure a sufficient number of qualified and interested contractors are available so that a competitive tendering process is achieved. Bids submitted by qualified and interested contractors who may have become aware of the project and whose place of business may be outside the geographical area of advertisement cannot be refused.

ANNEX C: CHECKLISTS FOR CAPITAL LIFECYCLE PHASES

2021 CHRT 41 Capital Request Checklist

1. Pre-Capital Needs Assessment, Feasibility and Planning Stage

1a - Capital Needs Assessment



ISC officials will support requestors through the funding request process and the capital project phases, including providing guidance and helping to gather required documentation to ensure that eligible capital requests are funded and completed. (Capital Guide, p8)

ISC FNCFS Required Documents	Received			Date Received
Related Project Numbers (if applicable):	YES	NO	N/A	
Supporting Band Counsel Resolution (BCR)				
Capital Funding Request Form				
Completed Needs Assessment containing: <ul style="list-style-type: none">✓ current scope of FNCFS programs and services and/or Jordan’s Principle funded services;✓ staffing requirements to deliver FNCFS programs and services or Jordan’s Principle services;✓ estimated capital requirements of FNCFS current programs and/or services; and✓ extent to which the type of capital requested is currently available to the First Nation or FNCFS agency and the current condition/state of the existing assets.				
Class D Cost Estimate or rough order of magnitude				
Functional Program or Functional Plan (spaces m2)				
Other: (any regional specific information required)				
Notes:				


PLEASE NOTE: Not all of the listed supporting documentation may be required for a CHRT 41 Capital request. The need for documents related to each phase is case-specific based on the nature and complexity of the capital project. Consultation between the ISC regional office and requestor may be required to confirm you have submitted the necessary documents in order to continue to advance the project.

2021 CHRT 41 Capital Request Checklist

1. Pre-Capital Needs Assessment, Feasibility and Planning Stage

1b. Feasibility and Planning Stage

Feasibility Study:



- Examines all technically sound and viable options available to achieve the objectives of the capital project and provides the planning information required for the project to move ahead to subsequent phases;
- Details the options and investigates potential site issues which may impact those options, and weighs the advantages and disadvantages of each option; and
- Assesses the cost effectiveness of each option, and proposes potential solutions to the defined problem, need or opportunity. (CHRT 41 –Information Requirements at Each Phase Fact Sheets, p4)

ISC FNCFS Required Documents/Information	Received			Date Received
Related Project Numbers (if applicable):	YES	NO	N/A	
Supporting Band Counsel Resolution (BCR)				
Capital Funding Request Form				
Project Description, scope preparation & Rationale				
Final Feasibility Study Report Containing: <ul style="list-style-type: none">✓ Organizational Overview✓ Issue/Problem/Opportunity Statement✓ Drivers for Change✓ Options Analysis✓ Performance Alignment:✓ Life Cycle Cost (LCC) for Each Option (Includes Operation and Maintenance expenditures estimates):✓ Cost Benefit Analysis for Each Option:✓ Risk Analysis for Each Option:✓ Deciding Factors:✓ Forecasted Performance Impact of Recommended Option✓ Risk Mitigation Measures of Recommended Option				
Environmental Review, Preliminary Geotechnical investigation (may vary by region)				
Class D Estimate				
Class C Capital Cost Estimate (where applicable)				
Site survey, land-clearance				
Project Schedule				
Design Team: <ul style="list-style-type: none">✓ Scope definition✓ Design Team Tender✓ Design Team selection				
Notes:				

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Where relevant, existing ISC program policies (e.g., policies related to the Capital Facilities and Maintenance Program) and other policies (e.g., Policy on Transfer Payments) will be used to support the implementation of eligible capital requests. In instances where requests do not fall under existing policies, ISC will work with the funding requestor to identify requirements based on industry standards and best practices. (Capital Guide, p13)

ISC FNCFS Required Documents/Information	Received			Date Received
Related Project Numbers (if applicable):	YES	NO	N/A	
Supporting Band Counsel Resolution (BCR)				
Capital Funding Request Form				
Project Description and Rationale				
Final Design containing: ✓ Final design drawings ✓ Final design specifications ✓ Applicable sub-consultant reports (i.e. civil, geotechnical, etc.) ✓ Tender documents				
Professional Certification Statement				
Final Project Schedule/ Project implementation plan and schedule/Construction Management Plan				
Final Tender Documents				
Land Clearance, Land Encumbrance Check				
Completed Class A Cost Estimate (pre-tender)				
Clearance from other Regulatory Agencies (if applicable)				
Environmental Review, Detailed Geotechnical Investigation (may vary by region)				
Land Survey (if not already completed)				
Right-of-ways Identified/Confirmed				
Revised Risk Assessment (PRAT to be used internally as applicable)				
ISC - Level of Service Standard Check (LoSS)				
Final tender documents ✓ Construction Team Tender ✓ Contractor Selection (including tender evaluation)				
Other: (any regional specific information required)				
Notes:				

PLEASE NOTE: Not all of the listed supporting documentation may be required for a CHRT 41 Capital request. The need for documents related to each phase is case-specific based on the nature and complexity of the capital project. Consultation between the ISC regional office and requestor may be required to confirm you have submitted the necessary documents in order to continue to advance the project.

2021 CHRT 41 Capital Request Checklist

3. Construction Stage




If, upon review of the design plan, the project is confirmed to be “ready to proceed”, the funding recipient will also initiate a tendering process for construction. Federally funded capital projects administered by First Nations must align with the First Nation’s own tendering policies or, in the absence of such policies, the projects must align with the *Tendering policy on federally funded capital projects for First Nations on reserve*. Federally funded capital projects administered by FNCFS agencies must align with public sector tendering practices. (*Capital Guide*, p20.)

ISC FNCFS Required Documents/Information	Received			Date Received
Related Project Numbers (if applicable):	YES	NO	N/A	
Supporting Band Counsel Resolution (BCR)				
Capital Funding Request Form				
Copies of all Permits				
Final construction contracts (Recommendation for contract award and copy of the contract)				
Project implementation plan and schedule				
Cash Flow Projection				
Project expenditure accounting				
Asset forms for upload to ICMS				
Legal Survey Plan				
Revised Risk Assessment (PRAT to be used internally as applicable)				
Draft O&M Manual (depending how complex the building is)				
Professional Certification Statement				
Certificate of Substantial Completion (signed by project manager)				
Other: (any regional specific information required)				
Notes:				

PLEASE NOTE: Not all of the listed supporting documentation may be required for a CHRT 41 Capital request. The need for documents related to each phase is case-specific based on the nature and complexity of the capital project. Consultation between the ISC regional office and requestor may be required to confirm you have submitted the necessary documents in order to continue to advance the project.

2021 CHRT 41 Capital Request Checklist

4. Completion Stage



Ongoing Operations & Maintenance costs can be funded on an annual basis through claims under 2021 CHRT 41, until the full needs for Operations & Maintenance related to FNCFS capital assets are known. For requestors who already receive Operations & Maintenance funds through other sources such as FNCFS Operations or claims under 2018 CHRT 4, claims will need to account for the use of these funds when seeking incremental funding through 2021 CHRT 41. A list of eligible cost categories can be found in Section 3.6. (*Capital Guide, p11*).

ISC FNCFS Required Documents/Information	Received			Date Received
Related Project Numbers (if applicable):	YES	NO	N/A	
Supporting Band Counsel Resolution (BCR)				
Capital Funding Request Form				
Project Expenditure Accounting				
Final Project Costs				
Budget Comparison				
Funding Comparison				
CAIS Forms (signed & sealed)				
Completion Report (containing): ✓ Signed and Sealed Drawings (AS BUILT) ✓ Stamped and sealed field inspection reports ✓ Commissioning reports (final inspection, testing, set-up and start-up of systems and controls, etc.) ✓ A complete set of full record drawings, signed and sealed by the professional engineer of record.				
O & M Manual – digital and hardcopy (if applicable)				
Emergency Response Plan (if applicable)				
Maintenance Management Plan (if applicable)				
Fire Commissioner’s Final Inspection (completed to local jurisdiction)				
Fuel Tank Registration (if applicable)				
Legal Land Survey and Site survey (Registered)				
Certificate of Final Completion (signed by project manager)				
Other: (any regional specific information required)				
Notes:				

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