A Framework For Resource Management Planning In MNR

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Ministry of
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Hon. Vincent G. Kerrio
Minister

Mary Mogford
Deputy Minister

FOREWORD

I am pleased to endorse the attached Ministry guideline entitled, "A Framework For Resource Management Planning in the Ministry of Natural Resources".

The Ministry's formalized land use planning process began with the Strategic Land Use Plan for Northeastern and Northwestern Ontario, and the Co-ordinated Program Strategy for Southern Ontario. These documents identify generally where the provincial objectives and targets will be achieved, given overall policy and the land and resource base. At the district level, land use guidelines determine where the objectives and targets can best he achieved and broadly how this should occur.

Resource management planning provides detailed direction about how objectives and targets within District Land Use Guidelines are to be achieved.

As the Ministry is now more active in this phase of planning, there is a need for corporate guidance for the production of resource management plans.

The 'Framework' is the result of a great deal of discussion and practical application over the past year. It outlines how the Ministry's philosophy on integrated resource management is applied to resource planning. The planning process and principles contained in the 'Framework' paper provides managers with a set of minimum standards to be followed; guidelines for resource management planning; a better understanding of roles and responsibilities; and an appropriate level of control of the process.

Finally, it provides an identifiable means to link resource management plans and work planning with the management of natural resources.

Please ensure that this 'Framework' paper and accompanying policy and procedural directives receive a broad circulation throughout your offices and is followed throughout the MNR resource management planning process.

Mary Mogford

Deputy Minister.

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A FRAMEWORK FOR RESOURCE MANAGEMENT PLANNING IN MNR

1. INTRODUCTION

Within the Ministry of Natural Resources, resource management planning is carried out by most programs. Direction for such planning has traditionally come from the individual program area and such direction is intended to continue. This document outlines the general approach that is to be commonly applied to all resource planning and provide the framework within which the individual programs may offer specific and detailed guidelines.

In the spring of 1984, a number of options for resource management planning were presented to MNR staff as an integral component of the Ministry's statement of philosophy on integrated resource management (Appendix A). A number of conclusions were drawn (Appendix B) and it is primarily on this basis that the framework for resource management planning was developed.

The intent of this paper is to explain resource management planning in MNR and to provide a clear statement about the process to be followed. While every opportunity is being given to allow the manager to "manage", some standards have been established.

Given the relationship the Ministry has with conservation authorities, the authorities may wish to use the framework as a general guideline for their various resource management planning projects.

The planning steps and individual components (i.e., the process) outlined in this paper are presented in general terms and do not represent an absolute sequence of events that must be followed in the order presented. The framework recognizes common elements which exist in a number of existing planning processes such as for parks, timber and fisheries. It is also recognized that a number of resource management plans and planning manuals/ guidelines are in place.

It is therefore impractical to bring these existing documents into immediate conformity with the framework paper. However, it is expected that in the long-term,

the intent and principles as established in this paper will be incorporated when new guidelines and manuals are developed or when existing ones are reviewed and revised.

In summary, the purpose of the "Framework for Resource Management Planning in MNR" is to:

▸ document current, common and accepted approaches to resource management planning

▸ record certain minimum standards and principles that are to be followed where any resource management planning is carried out

▸ provide a framework for the development (by Program Groups) of Guidelines for resource management planning

▸ present a better understanding of the roles and responsibilities of various parties in the process

▸ ensure integration of other program interests in the plans for single resources

▸ provide means of control of the process at the Regional and Main Office levels

There are numerous and varied pieces of relevant legislation which guide MNR's activities and which must be recognized and adhered to. This policy paper and accompanying planning process does not supercede or take the place of any applicable MNR resource legislation or the Environmental Assessment Act.

1.1 DEFINITION

"Resource Management Planning is the link between land use planning and work planning."

Resource management planning is a component within MNR's corporate planning and management system as noted in Figure 1. It translates objectives and targets from higher order plans (e.g. Strategic Land Use Plans, District Land Use Guidelines and program policies and Conservation Authority Watershed Plans) to

on-the-ground actions suitable for inclusion into the work planning system. Resource management planning results in specific statements of how particular resources, or combinations of resources, and technical knowledge are to be applied to achieve pre-established program objectives and targets. Resource management planning takes place within a specified land base, normally at a sub-district level.

Resource management planning is often divided into two further levels of planning: i) the management planning level, which sets detailed targets, policies, and strategies required to meet the objectives and targets in the DLUG, and is normally based on the same time frame as the DLUG, i.e., a 20-year horizon; and ii) the operating planning level which specifies individual actions and projects that are carried out, usually over a five-year planning horizon.

The output of resource management planning feeds into work planning and operations as illustrated in Figure 1.

FIGURE 1. Resource Management Planning In MNR'S Corporate Framework.
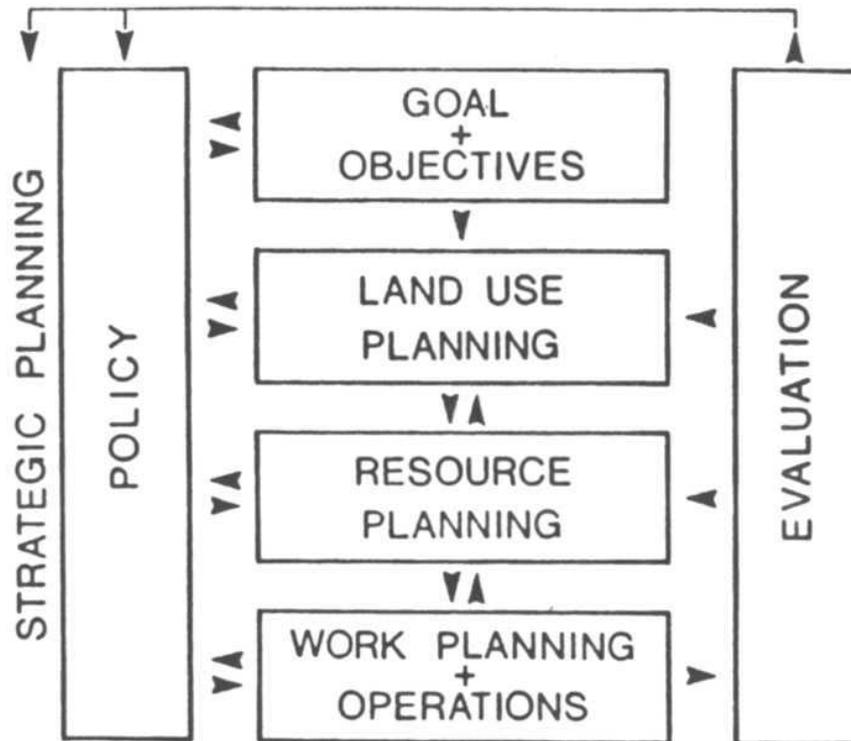
TABLE 1: PLANNING RELATIONSHIPS.

LEVELS OF PLANNING	TARGETS	GEOGRAPHICAL EXTENT	TIME HORIZON	PUBLIC CONSULTATION	STRATEGIES	APPROVAL.
Strategic Planning Land Use Regions Planning • NWSLUP • NESLUP • SOCPS	• Specific targets for each program, at a planning region level	Planning Regions • N.W. • N.E. • S.Ont.	years	• Mandatory • Broadest possible public(s) involved • Multiple techniques ‣ Open Houses ‣ News releases ‣ Public Forums	• Policies and targets undergo some integration during preparation and approval in order to minimize conflicts	• Deputy Minister
District Land Use Guidelines	• Specific targets for each program, at a district level	DISTRICT	20 years	• Mandatory • Broadest possible public(s) involved • Multiple techniques ‣ Open Houses ‣ News releases ‣ Public Forums	• integration strategies established as set of principles • Targets are tested to ensure they can be met	• Regional Director and District Manager
Resource Management Level Planning Manag-ement Level	• DLUG targets are basis • Assigns portion(s)of target to the area of mgmt. plan • May refine targets into smaller units based on Species or other more specific breakdown • Identifies strategies and priorities to meet targets	• Normally sub-district e.g. ‣ Resource Areas from DLUG ‣ Provincial Park ‣ Wildlife Mgmnt. Area ‣ Crown Mgmnt. Unit • in some cases, may be District: e.g. for Fisheries	20 years	• Mandatory • Involved publics may be selected ‣ Deal with those directly involved or affected • inform public as a whole through news release, etc. • Techniques may be more selective	• Linkages to other programs is crucial and can be accomplished through: ‣ joint or combined mgmt plans ‣ setting priorities among District's plans and Coordinating their scheduling ‣ plans are prepared by a team of affected or involved parties ‣ cross-reference to other plans • Circulation & review of plans	• Regional Director & District Manager Director • Timber Sales Br. • Pks & Rec Areas Ar.
Operating Level	• Targets, strategies & priorities from Mgmnt. Plan are basis. • Contains specific projects and actions; in priority • Should be easily translated into a multi-year work plan.	• Normally same assoc-iated management plan • In some cases, may be a subunit of the mgmt plan • as identified in the mgmt. plan	5 years	• Mandatory • Similar to 'Management Level' • If all decisions on and project definition have been made, consultation may be limited to specific groups	• At this level, integration occurs through, ‣ joint projects ‣ integrating priorities & schedules ‣ circulation & review of plans ‣ specific management prescriptions	• Regional Director & District Manager
WORK PLANNING	‣ Targets are trans-posed to OUTPUT MEASURES	NOT APPLICABLE	one (fiscal) year	‣ Project review may be required through environmental as-sessment procedures	• Individual projects in the work plan can combine measures to effect integration	• Regional Director & District manager

Note: Exceptions to the levels of approval may Occur.

It is intended that there not be two distinct levels of planning process or two distinct plan documents. Refer to Section 6 for further explanation.

2. APPLICATION OF THE FRAMEWORK

This framework for resource management planning explains a set of principles and a process within which all resource management planning in MNR is to take place. The framework recognizes that a wide variety of planning processes will continue to exist in MNR, but that these processes will take place with a common framework. It is vital that there be certain common aspects to every planning process in this Ministry, so that: all parties understand where and how they may input; managers understand their degree of responsibility; linkages between resource management plans can be made where and when appropriate; products reflect the various inputs; and integration takes place when and where it is appropriate.

In order to define further how the framework applies, or does not apply, to the various planning processes that the Ministry undertakes, three categories are provided. Every effort has been made to make these lists comprehensive. The Policy and Planning Secretariat should be contacted for clarification of any others which have not been identified.

2.1 Category A

The types of plans produced by, or for, MNR that fall under the general description of "resource management plan", and to which this framework applies, include:

- ▸ Timber Management Plans
- ▸ Provincial Park Management Plans
- ▸ District Fisheries Management Plans
- ▸ Great Lakes Strategic Fisheries Management Plans
- ▸ Special Integrated Resource Management Plans (or) Local Area Management Plans
- ▸ Lake Development Plans
- ▸ Fisheries Management Plans(by area or species)
- ▸ Wildlife Management Plans (by area, species, or combinations of species)
- ▸ Road (or access) Plans
- ▸ Water Management Plans

    ▸   Crown Land Recreation Plans

    ▸   (Large) Agreement Forest Management Plans

2.2   Category B

Certain "plans" are in fact the implementation elements of resource management planning, Or stand alone as documents that are not considered a distinct part of resource management planning. Documents in this category, for which this framework is not intended to apply, are:

        ▸   Annual Work Schedules (or Plans)
        ▸   Multi-Year Work Plans
        ▸   Site Plans (Parks, Mineral Aggregates and Others)
        ▸   Fire and Flood Contingency Plans Land Acquisition Plans
        ▸   Park Resource Management Implementation Strategies (Wildlife Management, Vegetation and Flora)
        ▸   Enforcement Plans (Park, Fish, Wildlife)
        ▸   Communications Plans
        ▸   Park Visitor Services Plans

2.3   Category C

For this third category, the overall intent of the framework should be followed, hut the specifics i.e., all the steps and detail of the planning process need not be applied. The level of application of the framework is left to the discretion of the district manager. Included in this category are:

        ▸   Interim Management Plans (Land Management)
        ▸   Interim Management Statements for Parks
        ▸   (Most) Management Plans for W.I.A. areas and small Agreement Forests
        ▸   Wild Rice Management Plans
        ▸   Fire Area Plans
        ▸   Conservation Area Master Plans [1] (Regions and individual CA's to assume District role for these plans)
        ▸   Conservation Authority Watershed Plans [1]

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[1]   Conservation Authorities and Water Management Branch may provide direction on how these plans are to be developed; this Framework may assist in providing general guidelines that individual authorities may wish to adopt.

3. PRINCIPLES FOR RESOURCE MANAGEMENT PLANNING

Resource management planning within the Ministry of Natural Resources will be guided and evaluated by the following principles:

3.1 Resource management planning is undertaken to achieve objectives and targets approved in District Land Use Guidelines.

The approved targets in DLUG are the starting point for resource management planning. During resource management planning, the analysis of new or more specific data may suggest a need for revising or refining DLUG targets. Since revisions could have broader implications, it is normally necessary to follow all the steps required to amend the DLUG before revised targets can be applied in a resource management planning process. Since there will be common steps between management planning and revision of the DLUG, these processes should take place concurrently and jointly whenever possible. In any target revision, the objectives upon which the targets are founded must be taken into consideration.

3.2 Public consultation is essential to resource management planning.

The Ministry is dedicated to an open planning process that ensures the views and concerns of the public are solicited, heard, and taken into account, to the extent possible and that the Ministry's intentions and decisions are made known to the public at key stages in the process.

Public consultation is a process for providing equitable opportunities for individuals and groups to contribute to decisions that will be made. It is intended to provide important guidance to decision makers and complement rather than replace traditional decision-making processes. Through public consultation, the Ministry receives innovative ideas which can lead to more effective and efficient resource management. Moreover, public consultation can lead to decision which resolve contentious problems and issues before rigid positions are reached.

The extent and level (type and intensity) of public consultation will vary in accordance with the significance of the particular resource(s) under

consideration and the level and extent of public concern over issues. Although particular user-groups may be more directly affected by the outcome of the planning process, managers should try to reach a broad cross-section giving all segments of the public opportunities to be consulted. Provincial and municipal agencies, interested groups and affected landowners generally constitute a minimum list of participants.

3.3 Resource management plans are to be concise and free from jargon.

Resource management plans must be understandable to as many potential readers as possible (i.e., senior managers, other agencies, interested and affected groups and individuals). Technical detail is normally going to be required for most plans. To the extent possible, such detail should be included in appendices.

3.4 In the resource management planning process, optional management strategies to achieve targets must be stated and conveyed to the public.

Every resource management planning process must deal with the identification, evaluation and selection of optional approaches or strategies to achieve objectives and targets. Options and targets are reviewed through public consultation, with the purpose of; informing the public of the background information and identified problems, opportunities and issues, soliciting further information and issue identification, obtaining all relevant positions and soliciting other feasible options not identified by the planning team. (See Section 4, Step 3, for further direction).

3.5 All resource management planning must recognize the statutory obligations of pertinent legislation.

There are numerous and varied pieces of relevant legislation which guide MNR's activities and which must be recognized and adhered to. For example. specific requirements for plan approval is contained in the Crown Timber Act and Forest Fires Prevention Act.

3.6 Resource management planning is carried out in order to provide managers with direction on how resources are to be managed.

The result of resource management planning must be clear and <u>precise direction</u> that guides the resource manager (e.g., District Manager, program supervisor, biologist, forester) in terms of what tactics, strategies and projects are required on a given piece of land in order to achieve specific targets. Once completed and approved, these plans set <u>direction</u> that cannot be changed without following a process of plan amendment (See Step 5).

3.7 Resource Management Planning will use a team approach.

Resource management planning will take place through the efforts of a planning team that is interdisciplinary, and representative of all key interests. The team may consist of all district supervisors, or it may be selected staff from all program areas affected by, or having an effect upon, the decisions being made in the planning process.

In some situations it may be appropriate to include external agencies, individuals, or groups, eg. Conservation Authorities, representatives from other Ministries.

3.8 Resource management planning will integrate programs and activities as required to achieve the objectives and targets assigned to the area to be managed.

Resources management planning can specifically be directed at achieving the meeting of multiple sets of program targets, either through one fully integrated resource management plan or through a number of individual program plans (each of which takes all other program targets into consideration).

The specific approach(es) used to achieve integration and degree of integration of resource interests will vary from plan to plan. For example, a resource management plan may be intended to be comprehensive and directed at achieving the targets from several programs. A plan, in other cases, may be primarily directed at achieving the targets of one program but developed in a way that recognizes other program interests in the area.

Before entering into a resource management planning process it will be the responsibility of the planning team to identify specifically the scope of the plan and how integration will be achieved.

3.9 Resource management planning must recognize both short and long-term benefits, the capacity of the natural environment and the resources to be managed.

Resource management planning will identify, evaluate and maintain opportunities for social, economic, and environmental benefits for both the long and short-term perspective.

Renewable resources will be managed to provide continuing benefits consistent with their ability to sustain use. Management of non-renewable resources will consider the overall long-term well-being of the natural environment, to ensure wise use of these resources, and to maintain the availability of the resource.

3.10 The number of plans servicing one geographical area is to be kept to a minimum.

There should be no more than one resource management plan for a given program area on a given area of land. Additional plans may be prepared for sub-areas, but only when specifically approved by the Regional Director. The practice of preparing plans for two or more programs for the same area simultaneously is to be encouraged.

Many areas are covered by existing approved plans and schedules. These will continue to be in effect, however, at such time as they become out-dated or subject to review, the intent of this principle and others must be considered. It is the responsibility of the District Manager to ensure that the most appropriate number and types of plans are prepared in the district.

3.11 Plans must have regard for other agencies' objectives.

In the preparation of any resource management plan, the MNR will have regard for the policies and objectives of municipal official plans, Conservation Authority watershed plans, Foodland Guidelines, etc. This reinforces the need for linkages

with other plans and planning agencies.

3.12 Plans must be implemented, monitored and evaluated.

Implementation, monitoring and evaluation of resource management plans and the planning process is necessary for making the overall system work. This activity ensures proposed planning activities are carried out efficiently and effectively and that integrated resource management occurs. Therefore it is essential that every resource management plan contains provisions which ensure that it is properly put into effect, followed, is kept up-to-date and is relevant.

4.   STEPS IN THE PLANNING PROCESS

The planning process that is followed will vary, as will the number, type and contents of the planning documents produced. In some cases, guidelines or manuals for the preparation of resource management plans are available (eg. parks, fisheries, timber) . In other cases, such details will be left to the individuals responsible for preparing and approving plans. They will use the principles of this framework, the requirements of the EA Act and District Land Use Guidelines to guide their work.

Where resource plans are to be prepared by Forest Companies, either through licence or FMA requirements, the planning steps will be determined by the processes established in the approved Class Environmental Assessment for Timber Management.

In order to achieve integrated resource management objectives in externally prepared plans, the manuals guiding plan preparation and MNR review process will provide the necessary direction. An interdisciplinary team approach to guideline/manual preparation to ensure integration is strongly encouraged.

What follows is a set of minimum requirements (left column) that will be expected in every resource management planning process. Also included are guidelines (right column) for the documentation of the process.

DESCRIPTION

Step 1: Preparation

The purpose of this step is to identify what is to be accomplished, by whom and in what capacity, explain how and when it will be done and gain approval to proceed. The tasks include:

1-i   Identifying the need or purpose for a plan and establishment of clear project objectives.

1-ii   Preparing Terms of Reference.

1-iii Establishing the planning team, which includes representatives from each affected or involved program; Conservation Authority representation will be included if appropriate.

1-iv   Defining the planning area.

1-v   Gaining approval for the Terms of Reference to proceed from the District Manager and Regional Director.

DOCUMENTATION

Although there may be considerable correspondence and minutes of meetings, the only formal requirement for documentation is the Terms of Reference. This document should contain the following pieces of information:

- Scope: i.e. single program focus or comprehensive
- Rationale for the plan
- Plan area
- Membership of planning team
- Approach to be used to ensure integration occurs
- Planning Schedule
- Implementation Approaches
- Public Consultation Program & Communication Strategy
- Staffing requirements
- Budget requirements

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*NOTE: It is at this stage that the proponent establishes the parameters of the planning process upon which future audit and accountability are based. The Terms of Reference is perhaps the most important product of this step in the planning process and considerable care should be taken in their preparation.

Terms of Reference is a statement definitively outlining the planning process to be undertaken. It identifies: What is to be produced, as well as why, who will do it, how it is to be done and schedule for completion. Further, it provides for the development of a detailed systematic approach to the process and plan production.

Step 2:   Background Information

Once approval of the Terms of Reference has been obtained from the Regional Director the planning team can commence Step 2, which includes:

2.i   Public notice is normally initiated at this step in order to: a) inform the public of the commencement of a planning process; and b) to solicit input on both background information and identification of problems and issues. The detailed requirements and 'form' of public notice will vary from one planning process to another.

2-ii   Collect existing background information (planning team determines what is relevant).

2-iii   Carry out additional required inventories and analysis - which will be varied, depending on the type of plans being prepared.

2-iv   Review and select relevant information from plans for the same planning area (e.g. DLUG, other resources management plans, Highway plans, 'Tourism Plans', municipal plans and Watershed management plans of Conservation Authorities).

This step will set the pattern for linkages with other plans and planning agencies in future steps.

Normally, documentation of this step will not require a formal published report, although some programs will set more stringent guidelines on this.

Some formal notice should placed in newspapers or made through direct mailings.

All the background information and work must, however, be documented and available to the public in some form. This will normally be accomplished through maintaining good, up-to-date files of all pertinent material.

In most cases, some form of summary will be required for public presentation.

- ‣ Mapped data for public "displays"
- ‣ Pictorial & written copy of specific summary data on display boards
- ‣ Newsletters - containing summaries of information
- ‣ Tabloids containing summaries of background information

2-v   Problems and Issues are identified, through assessments carried out across district and regional offices, and through the initial phase of public consultation.

2-vi   Review all targets from DLUG and test all targets in a preliminary manner against the background information.

Target refinements or subdividing among different user groups, i.e. allocations should not occur at this stage. Rather, it should be treated as optional strategies under Step 3.

The prerequisite to the refinement of targets is:

- the use of comparable data collection and analysis
- a valid basis for changing targets
- the means to assess the implications of a change/ refinement in targets on the Ministry's objectives
- opportunity to readjust targets elsewhere to meet overall demands reflected by the original target

Step 3:   <u>Identification Evaluation and Selection of Optional Strategies</u>[1]

Every planning process must deal with the identification, evaluation and selection of optional approaches or strategies to achieve targets. The methods used will vary, but must conform to these criteria:

- Problems, issues and results of public consultation should he documented and retained on file for future reference.

- All aspects of target testing/ refinement should be documented and retained for future reference.

- Regional Director approval will be required for any changes to original DLUG targets.

- Should all requirements for public consultation be undertaken in accordance with this document or more specific direction provided by a program Group's planning manual, a separate public consultation process to amend the DLUG would not normally be required. Upon approval of the resource management plan, notification of target revision will follow the direction provided in the approved procedures for amending DLUG.

- Where options are deemed to be minimal or nonexistent, Step 3 may be omitted or combined with Step 4, provided the public consultation phase is maintained.

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[1]   The term strategies is intended to encompass both "strategies and tactics" where program groups deem it necessary to use both terms.

a) All options must be realistic, and capable of being achieved within existing legislation and policy and expected budget and staffing allocations, or there must be some realistic expectation or source of additional funding.

b) All options must conform to relevant policy and legislation. e.g (program policy, DWG, EA Act)

c) Options will attempt to meet assigned targets and maximize overall target achievement or outline reasons for target revisions. Options must specifically address identified problems and issues.

d) Options will be reviewed within MNR (at least by district managers) before being discussed in any public forum.

e) Options are reviewed through public consultation, with the purpose of; informing the public of the back-ground information and identified problems and issues, soliciting further information and issue identification obtaining and soliciting other feasible options not identified by the planning team.

   The nature and scope of public consultation will be all determined by any applicable statutory requirements and direction as provided in the Terms of Reference.

The normal process will be:

3-i   Planning team identifies a set of optional strategies to meet assigned targets in view of identified problems and issues.

3-ii   Options are reviewed within MNR (district and region), across all programs and by area Conservation Authorities where appropriate. The options would include any proposed target revisions, i.e. changes, breakdowns or user group allocations.

3-iii The options are presented to the public for review and input.

3-iv   Preferred option(s) are selected <u>after</u> public input.

3-v   At this stage, the effect of the preferred option(s) upon targets and the need for additional background work should be considered. Any appropriate adjustments and additional work should then take place

It is important to document the options considered, the criteria used to evaluate options, the rationale for the selection of a specific option, and the public input during this step. This documentation should occur through the maintenance of a file and does not normally require a formal report.

The requirements for formal documentation would be dictated primarily by the level and type of public consultation that takes place and any direction that was established in the Terms of Reference. The possible approaches would be comparable to those in Step 2.

Step 4:   Draft Plan Preparation and Approval

Once the preferred option(s)have been selected, the planning team prepares the Draft Plan.

4-i   Establish the details of how the identified option(s) will be carried out, by specifying strategies, projects, and methods of implementation.

At this stage, there is a requirement for formal documentation using approved formats. Normally, there would be two products, the Draft Plan and the Final Plan. The exact documents will vary from one planning process to the next but typically their contents would include:

4-ii	Write the Draft Plan.	a)	Introduction and/or Preface, which (at a minimum) puts this plan into perspective among other plans (MNR and others' plans), explains why the plan is being prepared and identifies the planning area.
4-iii	Review the Draft Plan internally and gain approval (by District Manager, Regional Director).	b)	Background Information, which briefly summarizes the important aspects of the background information upon which the plan is based, including a statement of the main problems and significant issues that the plan will address.
4-iv	The Draft Plan undergoes public consultation, with resultant changes as necessary.	c)	Objectives and targets will be stated, drawn from the DLUG, refined or elaborated upon in accordance with the level of the plan being undertaken.
4-v	Write the final plan, and submit it to the District Manager, then to the Regional Director for approval. The Regional Director then forwards to Branch Director, where required.	d)	Options should be discussed only if deemed to be essential to the understanding of the document, or where a particularly controversial decision has been made, and requires elaboration. Normally the Draft and Final Plans will deal strictly with an explanation of the chosen option(s) which contribute to achieving objectives and targets.

e) The bulk of these plans should be formed by policies, strategies and management prescriptions and projects which implement the identified targets and address the identified problems and issues.

f) An implementation strategy is essential for the effective and efficient delivery of any plan. Plans must state how they are to to be applied and accomplished through the various programs and activities of the Ministry, including work planning.

g) A brief summary of the public consultation process is necessary, including a summary of the major points or positions that came forward during public consultation, and how these public concerns were resolved or considered. Normally, this summary would be included as an appendix, rather than in the body of the plan.

h) Plan review and amendment procedures should be briefly outlined.

i) Appendices could be included to serve a number of purposes. The temptation to include great quantities of detailed information in the appendices should be avoided. However, Glossaries, Lists of References, and Technical Instructions are examples of what might constitute appendices.

Step 5: Plan Amendment

During the life of any plan, circumstances may change that will require the plan to be amended.

The process should parallel (but not necessarily duplicate) the process of preparing a plan. The necessary elements of the process include:

5-i Identify the need for an amendment, and determine the level of significance of the amendment. (minor/major)

5-ii Prepare terms of reference and gain approval from the District Manager (minor amendments*) and Regional Director (major amendments*) for approval to process the amendment.

5-iii Circulate the amendment internally.

5-iv Public consultation will be required, if the amendment is of major significance. The nature of this consultation and the publics) involved should be geared to reach those who were involved in the original planning process and any group or individual(s) directly affected. The public consultation program is approved by the District Manager and Regional Director.

5-v Approval of major plan amendments should occur at the same levels of approval as the original plan.

Documentation of plan amendments must reflect the nature of the amendment and the audience to whom the amendment must be made known.

For minor[1] amendments, a note to file is all that would be required, with the amendment being incorporated into the planning document at the time of plan review.

For major[2] amendments, the documentation could be a formal notice by letter to all affected parties, then a formal addendum to the plan or even a complete re-writing of the plan.

In all cases, some form of Terms of Reference (or rationalization) must be written in order to, a) gain approval for the approach, and, b) set in place a mechanism to enable audit to occur.

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* Note: Environmental Assessment requirements for notice and consultation are to be referred to as they are statutory requirements which would supercede these guidelines.

[1] Minor amendments generally consist of 'housekeeping', corrections or, changes which do not alter the original intent of the document, affect district targets or the ability of the district to meet or have an affect on the public.

[2] Major amendments are those which significantly affect one or more programs, affect district targets or are likely to result in significant public reaction either locally, regionally or provincially.

Step 6:   <u>Plan Review</u>

A resource management plan can be expected to need formal review, in its entirety or specified sections after five to ten years. Some programs have specified review requirements, others are flexible.

Documentation would be comparable to that described above in Step 4, as one is in fact writing a new (or revised) plan.

The possibility of reviewing only specific parts of a plan should be carefully examined. It is not always necessary to review <u>entire</u> plans when a review takes place. Nor is it necessary to have a specified time period for a plan to remain before its review; flexibility is important, as long as plans are not left to become out of date or obsolete.

A Terms of Reference, Draft Plan and a Final Plan would be expected product.

The process of plan review should follow all the steps taken during original process of plan preparation where the entire plan is under consideration.

Documentation would cover only the pertinent Sections.

The review process can be modified according to the nature, scope and impact of the sections under review.

Wherever practical and feasible, efforts should be made to coordinate and synchronize resource management plan reviews with the review of the DLUG.

Steps 5 and 6 are crucial for monitoring and evaluating a plan to ensure their relevancy and currentness.

5. MANAGING THE PLANNING PROCESS

5.1 <u>Roles and Responsibilities</u>

The following gives a general breakdown of the types of activities and responsibilities which would normally be assumed by staff at the various MNR offices. Variations may occur depending on local staff organization.

The framework allows for considerable flexibility in types of plans produced, their content and planning process followed. To ensure efficiency and effectiveness, the District Manager must play a key role in resource management planning. Within a district, the District Manager is best aware of his/her planning needs and staff capabilities and is, therefore, responsible for resource management planning in the district.

a) <u>Districts</u>

▸ identify the need for resource management planning
▸ ensure integrated resource management occurs both during the planning process and during plan implementation
▸ ensure coordination of resource management planning across all programs within the district
▸ carry out the planning process and prepare the planning document, including

- terms of reference
- identification of the planning team
- background material
- management plans
- public consultation

▸ maintain liaison with other planning authorities (e.g. municipalities and conservation authorities when not represented on the planning team), and communicate the relevant elements of MNR plans to these authorities (and vice versa)

▸ District Manager approves all documents prior to recommendation to Regional Director for approval.

b) <u>Regions</u>

▸ have responsibility for co-ordinating and controlling the planning process, (in close association with the district). In some cases they may assume

responsibility for carrying it out. Where this occurs, districts should be represented on the planning team

- ▸ interpret application of corporate planning principles and guidelines

- ▸ approve District planning activities, including:

  - • Terms of Reference for the plans

- ▸ Audit District planning activity, to ensure:

  - • proposed planning activities are carried out efficiently and effectively, and

  - • resource management integration occurs

- ▸ offer technical advice to districts (may have staff as members of planning teams)

- ▸ coordinate planning proposals across programs and districts within the region, and across regional boundaries

- ▸ approve resource management plans (recognizing that in certain cases, there are legal and policy requirements for joint approval by Branch Directors)

- ▸ input into and review of corporate planning guidelines

c) Program Groups (or Branches)

- ▸ ensure their policies, procedures and guidelines facilitate integrated resource management

- ▸ define program targets in recognition of, and coordinated with, targets from other program areas

- ▸ define specific contents and guidelines for preparation of resource management plans, consistent with corporate planning principles and broad guidelines

- ▸ monitor and audit the regions to ensure that plans adhere to the guidelines and other Branch policies

- ▸ provide technical advice to the field. In two cases, i.e. for Timber

Management Plans and Fire Area Plans, plan approval is required, i.e. dual signatures

d)   Policy and Planning Secretariat

▸   establish policy direction, through corporately-approved planning guidelines and frameworks

▸   establish guidelines for and monitor the Regions in the process of resource management planning, to ensure that balanced and rational decisions are made in integrated resource management plans

▸   set minimum corporate standards for public consultation in resource management planning

▸   monitor the development of each program's individual planning guidelines to ensure overall integration of MNR planning and consistency with corporately-approved principles

▸   provide specific technical advice to main office groups, branches, and regional offices, as requested.

5.2   Audit and Control

The preceding roles and responsibilities identify the specific audit functions assumed by each MNR office. Since the Ministry does not intend to establish a rigid and narrowly-defined process for carrying out resource planning, the need for accountability through clear audit procedures is essential. The following process should allow districts maximum flexibility to choose the planning approach best suited to their needs, yet maintain an understanding and appropriate level of control of the process at the regional and main office levels.

a)   The guidelines for resource management planning as established in general by Policy and Planning Secretariat, and more specifically by individual program groups or branches, set the context within which resource management planning will occur, and set the requirements against which Main Office, i.e. Policy and Planning Secretariat, groups and branches may audit regional performance.

b)   Regions may refine the provincial guidelines, and may define more precisely for their districts, the types of planning approaches that are appropriate within their particular region. Any further guidelines by the regions should

be prepared so that they set standards for co-ordination, co-operation, accountability and audit. Flexibility may be limited, however, by over-riding EA requirements.

c) Any proposals to commence development of a plan must be approved by the District Manager and the Regional Director. Every proposal must be formally requested, through provision by the proponent of the following elements:

- ▸ specific terms of reference, as described in Section 4 of this Framework

- ▸ proposed membership of the planning team

- ▸ specific approaches to be used to achieve integration. This could include some of the following approaches

- ▸ overall integration through preparing a single plan which addresses two or more program elements

- ▸ "integration" in composition of the planning team

- ▸ coordination of separate planning processes dealing with different programs within the district, (such as careful scheduling of those processes to ensure decisions are not taken in one program which unduly restrict options in another; or cross appointments of planning team members for concurrent planning processes)

- ▸ the planning schedule

- ▸ the budget and manpower requirements, which are to be also included within the normal work planning process.

The planning proposals, normally prepared at the district level and approved by the District Manager will then form the basis of a contract that can be monitored and audited.

6. OPTIONAL APPROACHES TO INTEGRATING RESOURCE MANAGEMENT PLANNING

In the preparation of resource management plans, there are three broad planning approaches that can be used to apply the guidelines contained in this framework paper. Table 2 summarizes the alternative approaches to fitting together different programs and the levels of planning.

It is unlikely that any single approach could satisfy all planning needs within a given district. It is expected that a combination of these approaches will apply.

Regardless of the approach taken, there are three basic and common elements that must be considered:

a) that the individual management planning program ensures consideration of other program needs (within the guidelines of DLUG);

b) that operating plans and the work

c) planning process he integrated to ensure consideration of other program requirements; and that the work planning program is designed to encourage/ensure integration.

Throughout this discussion of optional approaches, reference is made to two levels of management planning. It is intended that there not be two distinct levels of planning process or two distinct plan documents. An example of how these levels may best be dealt with is in the Timber Management planning process. Management plans are produced with a 20 year projection which establishes long-term direction for activities within a defined planning area, and a five-year plan of operations, which outlines the details of operations to be undertaken during the next five years. At the end of the five year term, a new plan is produced, extending the original 20-year projection for an additional five years, and outlining the details of operations to be undertaken during the next five-year term. In some program areas, the five-year plan of operations may be a five-year implementation schedule, e.g., fisheries management planning.

TABLE 2:   OPTIONAL PLANNING APPROACHES

PLANNING APPROACH	DESCRIPTION	OUTPUT	APPLICATION	COMMENT
#1. Fully integrated resource manage-ment planning.	One planning process encompasses all resource interests on the defined planning area. • The geographical unit must accommodate all program interests involved in the planning process, and must be common. • Integration occurs through co-ordination, communication and appropriate scheduling. • One program may be given responsibility to act as lead program, normally based on the predominant resource values and interests.	For the defined planning area: • One "management" plan that is comprehensive and integrated for any given area within the district. • Normally one operating plan for any given land base within the district, which contains direction for all relevant programs. • This approach fosters the development of integrated work plans.	• Most appropriate for discrete units of public land, where no one resource interest dominates. • Occurs at a sub-district level. • Typically,"integrated management area" plans, or 'special area' plans. • This approach has application anywhere in the province,	• In many cases in Northern Ontario the 'lead' program for management planning will be forest resources; in others it may be fisheries, etc. • In using this approach, there may be a tend-ency to defer items for further investigation, hence, additional plans. Sub-area plans may be prepared but only when specifically approved by the Regional Director.

Table 2 (cont'd.)

PLANNING APPROACH	DESCRIPTION	OUTPUT	APPLICATION	COMMENT
*2. Individual program planning.	• Each program undertakes its own 'management' planning according to need, guidelines and resources. • Such planning may occur at any geographical level, e.g. district; management unit; park • Principles and Standards for Integrated Resource Management are addressed in each process. • Some programs may proceed directly from management' planning to annual work planning; Some programs may undergo "operating" level planning.	• Any number of 'management' plans, for different geographical areas. • Operating plans may accompany each of the management plans. • Some programs will combine operating and management plans in one document. • Some programs will have only management plans. • Work plans with marginal to full integration could result.	• This approach represents the status quo in most parts of the province, and can be applied anywhere.	• Maximum coordination and management of the process are required.

Table 2 (cont'd.)

PLANNING APPROACH	DESCRIPTION	OUTPUT	APPLICATION	COMMENT
#3. Project Review (Instead of resource management planning, projects are proposed and circulated for review among internal and external reviewers; during this review, any concerns about program overlap and integration can emerge and be resolved)	• Direction for this level will come primarily from the District Land Use Guidelines. • Some multi-year work plan- ning would substitute for the "operating" levelof planning.	• Work plans and project descriptions.	• This approach has limited and specific application. • It may he used as an interim procedure, where plans are not in place. • It may be appropriate for parts of the province (far north for example), where issues and resource management needs do not require comprehensive plans. • It may he appropriate for programs not geared to formal resource manage- ment planning (e.g. mineral resources)	• Integration takes place through careful and detailed project review by all programs. • This process should be comparable to the procedures established for notification and circulation under the Field Environmental Planning Process.

7. STYLE AND FORMAT FOR RESOURCE MANAGEMENT PLANS

All management and operating plans are considered to be publications, and thus must be prepared according to the <u>Publications Design Manual.</u> This manual by Communication Services Branch gives direction on the format of internal and external publications, and is to be used as the guide for preparing all publications.

<u>Background material</u> consists of information pertinent to the chosen planning project. Typically, formal published documents are not needed. Background data may be a collection of reports, or clearly organized file(s). <u>Management plans</u> are the decision documents of the resource management process and when approved can be viewed as contracts to pursue particular courses of action. They should be accessible to a wide audience. An expected readership might include the following interested, involved or affected parties:

- ► The "resource manager" (e.g. forester, park superintendent, biologist, engineer, Conservation Authorities).

- ► Public interest groups (e.g. Ontario Forest Industries Association, Federation of Ontario Naturalists, Ontario

- ► Federation of Anglers and Hunters, and Mining Association).

- ► Local landowners.

- ► Staff of MNR from other programs.

- ► Other public agencies (e.g. municipalities, other ministries).

- ► MNR's management (e.g. District Managers, Regional Directors, Branch Directors, Assistant Deputy Ministers, Deputy Minister).

- ► Resource users and interested public.

In order to accommodate this broad membership, plans should be concise (strive for a maximum of 25 pages), and should be written in a style that is easy to read. This requires a minimum of jargon, good grammar and clarity of expression.

There will always be a need for technical detail. Often this can best be accommodated through the use of appendices, or reference to separate documents.

8. RESOURCE MANAGEMENT PLANNING AND ENVIRONMENTAL ASSESSMENT

The Environmental Assessment Act applies to all undertakings of the Crown unless specifically exempted. Resource management plans are not deemed to be undertakings for the purposes of the EA Act.

Virtually all MNR activities are either exempt from the EA Act or are subject to a Class or individual EA. The status of MNR activities is identified in the publication, Environmental Assessment Procedures Manual for MNR activities. This outlines the actions required for compliance with EA Act approvals and exemptions. Other publications, the Field Environmental Planning Procedure and Guidelines for MNR Class EA Projects (FEPP), and the Construction and Mitigation Handbook for MNR Class EA Projects, detail the requirements for various MNR Class EA approvals.

The Ministry has separate Class EA's in place for the following activities:

- ‣ access points and docks
- ‣ access roads to MNR facilities
- ‣ canoe routes
- ‣ dams and dykes
- ‣ fish stocking in new waters
- ‣ fishways
- ‣ ponds
- ‣ shoreline and streambank stabilization
- ‣ water-related excavation, dredging and fill activities
- ‣ solid waste disposal.

Some Class EA's are currently under preparation or review, such as Timber Management (Jan. 1986), Provincial Park Management and Development and fisheries reclamation activities. Interim exemptions apply to these activities until such time as approvals are received (with the exception of fisheries reclamation).

All activities which fall under the 10 approved Class EA's require that the Field Environmental Planning Procedure (FEPP) be followed.

As the status of EA requirements will evolve over time, and interpretations will be required, it is advisable to seek direction from Regional Planning Staff or Policy & Planning Secretariat when in doubt over requirements for a particular planning process.

APPENDIX A

MINISTRY OF NATURAL RESOURCES'
STATEMENT OF PHILOSOPHY
ON INTEGRATED RESOURCE MANAGEMENT

1. <u>DEFINITION</u>

    <u>Integrated resource management (IRM) is the coordination of resource management programs and activities so that long-term benefits are optimized and conflicts between programs are minimized.</u>
    (Benefits are defined by corporately-approved program targets and by District Land Use Guidelines).

    IRM is the main corporate philosophy to be used by MNR staff to achieve Ministry goals, objectives and targets.IRM is not an end in itself, but a meanS of achieving results.

2. <u>PRINCIPLES</u>

    i. <u>All components of the ministry's management system must operate using the integrated resource management approach and must be assessed continually to improve individual components and the linkages between components</u>. The IRM approach applies to all areas, including policy development, land use and resource planning, work planning, and operations.

    ii. <u>The onus is on individual staff to contribute actively to the achievement of all ministry programs, whenever this is possible.</u> It is through an understanding of the interrelationships between programs. and by contributing wherever possible, that every staff member can help to resolve program conflicts before they occur, and to increase the benefits of our programs to the people of the Province.

    iii. <u>In most cases, the multiple use of resources will be MNR's desired direction since it is the best approach to optimizing benefits and minimizing conflicts. However, in some Spe^cific caseS, or for certain periods of time, a single use can be the best approach to satisfy these two criteria.</u> Multiple use may be

thought of as (1) concurrent use, or more than one use occurring on the same site at the same time, and (2) sequential use, or one use occurring after another on the same site in a planned sequence.

iv. <u>Natural and human resources should be blended together in a way that will yield the optimum combination of benefits.</u> The District Land Use Guidelines identify program targets and general directions which constitute the benefits that MNR seeks to attain. Ministry staff must strive to uSe all the resources available in an efficient and effective combination.

v. <u>Ministry staff must continually strive to maintain open an effective communications within our ministry and with outside agencies, interest groups, and the public.</u> If we can establish and maintain open communication between programs and across the different levels of the ministry, we will find it much easier to work in an integrated resource management fashion. External communications are integral to maintaining an informed and effective system of decision-making. Good external communications will also help to keep us abreast of outside interests and viewpoints. Through open communications -- both internally and externally -- we can work together to make integrated resource management a reality.

vi. <u>The ministry must have regard for both the individual and combined consequences of its policies, plans. and programs.</u> We must take into account the combinations of social, economic and environmental impacts of all our activities (these impacts may be short-term, long-term, positive or negative).

3. <u>EXPECTATIONS FROM MNR STAFF</u>

i. The key to success is for every individual MNR staff member to adopt a positive attitude and commitment to IRM.

ii. The effectiveness of IRM also depends on all staff developing a good knowledge and awareness of how it can be achieved. All staff must make special efforts to understand the basic elements of all MNR programs, and the effects of MNR activities on the social and economic well-being of the people of Ontario.

Examples of how we can achieve this include: working in interdisciplinary teams; increased and diversified training; and job crossovers.

iii. The most obvious opportunity to apply the IRM approach is in the day-to-day activities of field staff. However, main office staff must also apply the philosophy of IRM in their functions if the concept is to be effective throughout the ministry. In developing MNR policies, procedures. and training courses, all staff must adhere to the philosophy of IRM, and ensure that any directives being developed assist field staff in their attempts to achieve integration.

iv. MNR managers will play a pivotal role in helping their staff to achieve positive attitudes. knowledge and awareness of IRM by: setting the example themselves; demonstrating the values of the IRM approach; adopting and encouraging a team approach to decision-making; and encouraging their staff to take advantage of job-crossovers and training opportunities.

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APPENDIX B

SUMMARY OF CONCLUSIONS FROM A REVIEW
OF INTEGRATED RESOURCE MANAGEMENT PAPER- SPRING 1984

▸ There is no consensus on any single option or combination of options; but Option C (individual management and operating plans for each program, as required) and Option D (individual management plans for each program; generally only <u>one</u> integrated operating plan) were favoured as the best <u>overall</u> approach.

▸ There are fundamental differences between planning on private land and on Crown land.

▸ There is general agreement that the field should be given some flexibility to choose the option that best fits individual circumstances.

▸ There are significant differences between the regions in their planning needs and circumstances; a single approach to planning would not serve all regions well.

▸ Changes should not be made to existing processes which are working.

▸ New options were suggested - in particular, one management plan and several operating plans.

▸ Some guidelines, definitions, and standards are needed.

▸ There was no agreement on what geographical area should be the basis for planning.

▸ There was no conclusion on where Mineral Resources and Conservation Authority "Planning" fits in MNR's resource management planning processes.

▸ There is lack of consensus, and a level of confusion over the contents, audiences, and aims of various ministry plans. The current understanding of strategic plans, management plans, and operating plans is not consistent across the province or across program lines. Nor is there a consensus on what these plans <u>should</u> be.

▸ The requirements of plan approval in MNR differ; forest management plans have requirements set in legislation.

▸ Resource management planning in MNR needs to be well managed.