

LOCAL GOVERNMENT TRAINING
SEMINAR

LAKEHEAD UNIVERSITY

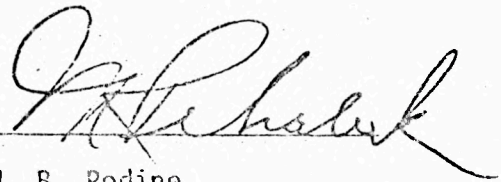
JUNE 15-17, 1976

LAKEHEAD UNIVERSITY,
THUNDER BAY, ONTARIO.
June 17, 1976.

TO ALL PARTICIPANTS,
LOCAL GOVERNMENT WORKSHOP,
LAKEHEAD UNIVERSITY,
June 15 - 17, 1976

We appreciate your participation in this seminar and believe this workshop represents a significant foundation from which we can jointly evolve local government.

*"The future is not a gift -- it is an achievement."
(Quotation from Robert Kennedy)*



H. B. Rodine,
Director General,
Indian-Eskimo Affairs,
Ontario Region.




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TORONTO REGIONAL OFFICE PERSONNEL

Phyllis Stewart- *Human Resources Administrator*
Fred McLeod - *Band Training Officer*
Harvey Silver - *Sr. Consultant, B.S.D.T.*
Dan Patterson - *Band Training Adviser*
Wally Walcer - *Superintendent of Adult Education*
Eric Forgrave- *Regional Band Financial Adviser/Audits Officer*
Michael Rehaluk- *Assistant Regional Director of Education*

LAKEHEAD DISTRICT OFFICE PERSONNEL

Carol Mc Glashan- *Sr. Steno*
Norman Coulter- *Sr. Education Counsellor*
Pat Derrane - *District Manager*
Alan Mc Whinnie- *District Superintendent of Education*
Al Levert- *District Superintendent of Community Affairs*
Hugh Mc Morrow- *District Superintendent of Economic Development*
Rose Matson- *District Superintendent of Administration*
Malcolm Rogers- *Construction Supervisor*
Calvin Schillinger- *Band Financial Adviser/Audits Officer*
Alf Atkinson- *Local Government Adviser*
Bob Bisby - *Local Government Adviser*
Don Garrow - *Engineering Trainee*
Steve Bomberry- *Economic Development Advisor*
Ken Boshcoff- *Area Planner, Lakehead & Nakina Districts*

LAKEHEAD DISTRICT BAND REPRESENTATIVES

Marie Wawia - *Chief, Red Rock Band*
Connie Mc Watch - *Councillor, Moberg Band*
Sharon Otiquam - *Office Manager, Heron Bay Band*
Gene Bannon- *Band Manager, Fort William Band*

SIOUX LOOKOUT DISTRICT OFFICE PERSONNEL

Syed Haq- *Welfare Aide*
Roger Saltel- *Field Assistant*
Joe Everett - *Local Government Adviser*
Bill Houston- *Field Assistant*
Eugene Breton- *Field Assistant*
Walter Luchenski - *Area Superintendent of Economic Development*
Gary Maxwell- *District Superintendent of Education*
Brian Hodgson- *Area Superintendent of Community Affairs*
Bill Dawes - *Area Planner*
Enus Beardy - *Field Assistant*

NAKINA DISTRICT OFFICE PERSONNEL

Bob Readman - *District Supervisor*

NAKINA DISTRICT BAND REPRESENTATIVES

Mathias Saguanaqueb - *Headman, Webequie*
Peter Moonias - *Headman, Lonsdowne*
John Slipperjack - *Band Manager, Fort Hope*
Gabriel Echum - *Chief, Long Lac 77*
Leo Bouchard - *Band Manager, Long Lac 58*

REPRESENTATIVES OF INDIAN ASSOCIATIONS

Peggy Trowsse - *Treaty 9*
Rolland Nadjiwon - *Treaty 9*
Andy Rickard - *Treaty 9*
Joe Michano - *Union of Ontario Indians*
Les Louittit - *Treaty 9*
Bob Debassige - *Union of Ontario Indians*
Marty James - *Union of Ontario Indians*
Michael Roy - *President, Union of Ontario Indians*

NOTES ON LOCAL GOVERNMENT SEMINAR

LAKEHEAD UNIVERSITY

June 15 - 17, 1976

Opening remarks by Pat Derrane, District Manager, Lakehead District

- welcome to course members
- welcome by Brian Hodgson, District Superintendent Community Affairs, Sioux Lookout
- urged members to look at local government not only from its local point but also its impact from the Regional and National viewpoint
- Dr. Harvey Silver, Senior Consultant, Bureau of Staff Development and Training responsible for the conduct of the seminar set the climate for the three day seminar

Dr. Silver pointed out that

- enthusiasm, zeal, care, energy, charisma, vitality have an influence on the effectiveness of a workshop or anything we do

In this world a few people make things happen

more people watch what is happening

Some people do not know what is happening

How do you make things happen?

If you want to make things happen you have to care and work with others - share your thoughts and ideas, have a positive attitude.

All behaviour is meaningful. If you only talk and think about your own needs you will not have a good working relationship with others. If your behaviour appears to be positive you will develop a better relationship with others and this leads to sharing and co-operation. People will tend to co-operate because they believe that it is in their own best interests to do so.

People have a lot more in common than they have differences.



It is best to build on the common core issues and try to understand the differences

It takes about the same amount of energy to do positive things to make things work in the process of living as it takes to do negative things that prevent things from working.

If you are aware of what you are doing - either positive (+) or negative (-) you can alter your behaviour if you care enough to contribute to a productive, effective, collaborative effort.

To illustrate the concepts to make this a useful, growth producing, stimulating, results oriented seminar the workshop was divided into four groups to brainstorm and express their ideas and feelings about the following issues which they then shared with the total group:

ISSUES:

- a) What are the positive things that contribute to a successful workshop
- b) What are the negative things that produce a lousy workshop
- c) What are the hopes, ambitions and desires regarding the workshop that the participants have brought with them
- d) What are the concerns, fears, doubts and questions that the participants have brought with them

In mixed groups comprised of staff and band staff, association members, and others, through discussions the following ideas were generated covering the issues examined:

- a) Positive factors contributing to a successful workshop
 - mutual enthusiasm - it generates enthusiasm, ideas, effective working relationships.
 - participation - if people sit back and merely watch what is happening, if they fail to contribute they may just as well be absent as they are not giving or receiving anything.
 - punctuality is necessary as usually long agenda are planned
 - interest demonstrated generates interest in all - people tend to model behaviour on the behaviour of others
 - sincerity is necessary as people tend to develop a sense of mutual trust and sharing
 - tolerance of others' views

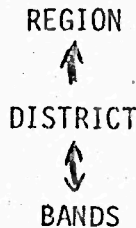
- mutual respect
- trust
- flexibility
- open-mindedness
- commitment to group
- sociability
- individual integrity
- concern
- awareness

b) The negative things that produce a lousy workshop

- lack of participation
- hangovers
- being late
- dominance by a few
- Lack of materials
- Lack of organization
- poor facilities
- getting off topic
- failure to speak up
- frivolous attitude
- unnecessary interruptions
- too exhausting or fast a pace
- overloaded agenda
- poor facilitator
- frustration - caused by leaving questions unanswered

- lack of agenda
- failure by facilitator to ensure that everybody (at back) can hear and understand

- c) The hopes, ambitions and desires regarding the workshop
- that a better understanding of the "role" of the L.G.A. will result
 - that a Local Government Adviser handbook would be produced to provide guidelines
 - that a concrete, workable definition of local government would emerge
 - that there will be a follow-up to this program at all levels
 - that we will all recognize that we must continually strive to keep up our knowledge of the circulars and guidelines
 - that all participants will leave with a sense of accomplishment
 - that communication will be improved and that we will have developed a good process of communication and planning among



- d) Concerns, fears, doubts and questions of the participants
- thought it would be a "how to" conference
 - fear that if specifics of "Local Government" not dealt with, adviser's needs not met
 - fear too much philosophy and little practical knowledge
 - physical arrangements caused great concern
 - conference should focus at reserve level- L.G.A. role
 - time too short? - will have to stop short of objective

LOCAL GOVERNMENT TRAINING PROGRAM WORKSHOP

EVALUATION JUNE 17, 1976

LAKEHEAD UNIVERSITY

1. On the basis of the seminar I believe the 5 most important things the L.G.A. should be doing are
 - a)
 - b)
 - c)
 - d)
 - e)

2. Describe how your work does or could relate to some of the 5 points.

3. When I talk about local government what I really mean is

4. Three things I have done to help this seminar along are
 - a)
 - b)
 - c)

5. Three things I think I can personally do to build on what has happened here are
 - a)
 - b)
 - c)

6. List a few of the unanswered questions or concerns you still have regarding carrying out of the local government programs.

7. Would you recommend this workshop to other people?
who
why
when
where

8. State the 3 most important things you plan to discuss with your co-workers when you return.
 - a)
 - b)
 - c)

9. Describe in what ways this course has been of personal help and benefit to you in your job.
 - a)
 - b)
 - c)

10. What are a few of the things you liked best about this seminar.
 - a)
 - b)
 - c)

What things turned you off in this seminar

11. Comment on what ways you feel the relationship between band members and department members will be the same or different as a result of this seminar.

12. What additional training or assistance is required to carry out the local government program

13. Advice you would offer to other people regarding this program, I would suggest that

14. Any other comments, questions or reactions you care to share with us

This Local Government Training Program Evaluation Document was presented, examined, and agreed upon by all participants. The rationale for this was that all members of the group would share in their knowledge of the results expected and would make a commitment towards achieving those results.

STEPS LEADING UP TO THE LOCAL GOVERNMENT PROGRAM

SOME SIGNIFICANT STEPS ARE:

1. The Community Development movement of the mid 1960's
2. 1965 - Grants to Bands program implemented by the Department.
3. Chief's of Manitoba met with the Federal Government and presented a 9 point manifesto - 1969. These 9 points were later incorporated into the Red Paper.
4. January 1973 Indian Control of Indian Education -- presented and accepted by Cabinet by the National Indian Brotherhood.

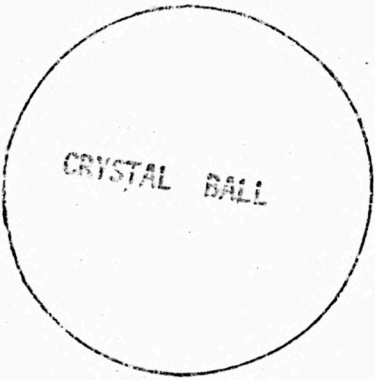
The key words in the document -- A. LOCAL CONTROL
B. PARENTAL RESPONSIBILITY

5. 1974 (Feb.) F. B. Lesaux's address to the Federation of Saskatchewan Indians.
 6. 1974 - The Department's program of Local Government established
- Key Issues - 1. An informed electorate
2. Evaluation that is built in...

THE FUTURE

The group as a whole generate ideas. The group gaze into a crystal ball.

(Diagram on Page 9)



significant growth in Indian populations
Amendments to the Indian Act.
increase in small & large business on Indian Reserves
Indian will have right to make own mistakes.

better socializing at workshops
Independence at Band level
growing pains
better type of living

New thrust on Assimilation Progress
better communication between Indian people and the Department
Self-Destruction of I.A.B.
things changing but remaining the same

Unification of Indian people across Canada
recognition of women

Right of Indian people
lower freight rates in North

Unification of Indian Affairs Department across Canada

Confusion
better type of homes

struggle to maintain equality
Require more money
Government by the people
increased employment in North and South

land matter settlement
equitable distribution of resources
More Indians in top level positions

better education
better accountability
better community facilities
replacement of non-Indian bureaucracy with Indian bureaucracy

more Indian consultation in the North

Philosophy of Local Government

videotape - Regional Director General

Chronology of IEA - Indian Events Affecting the Course of Self-Determination and Social Equality for Indian People (handout)

On the issue of spending too much time on philosophy or too much seminar time on the nuts and bolts of how to do our jobs, it is necessary to have a balance of the two.

Practice without philosophy gets you nowhere and theory without practice also gets you nowhere. It is necessary to have a balance of the "why" (philosophy) and the "how" (practical side)

COMPONENTS OF LOCAL GOVERNMENT

A syndicate exercise on THE COMPONENTS OF LOCAL GOVERNMENT was carried out by four groups;

- a) Miscellaneous group
- b) Program Managers
- c) Indian Bands and Associations
- d) Local Government Advisers

It became apparent during the syndicate and discussion process, that the Department, Band and Association staff, although they may be using different words, are all working towards the same goal -- autonomy of Indian people over their economic, social, cultural, and spiritual affairs.

It also became apparent that it is necessary to keep the purpose or "why" of one's efforts in clear perspective otherwise a great deal of effort will result in the achievement of something other than local government. For this reason people who have skills in doing things - "how" people - should always work for "why" people who have the objective in sight.

Another important factor that emerged from the syndicate work of the four groups is their interdependence. There are some things that all groups work on together and some things that each of the groups work on independently

DEPT. US BANDS

BANDS US ASSOC'S

DEPT. US ASSOC'S

SYNDICATE EXERCISE

What are the components of local government, from the points of view of 4 groups

- a) miscellaneous group
- b) Program Managers
- c) Indian Bands and Associations
- d) Local Government Advisers

a) Miscellaneous group

- 1) strong Band Council and representation
- 2) Stable Reserve "constitution"
- 3) good community participation
- 4) good human resources
- 5) availability of financial resources
- 6) honest financial management
- 7) good law enforcement
- 8) good management of natural resources
- 9) awareness of other government departments and agencies - federal and provincial - their roles

CHARACTERISTICS OF LOCAL GOVERNMENT

PRACTICAL

EXPERIENCE
INSURES

RELIABLE
RESULTS

with

MODERN
METHODS

SATISFACTION
SERVICE

b) Program Managers

- 1) representative local leadership
- 2) legislative control of community
- 3) right of individual to participate and mechanism to facilitate
- 4) accountability for local decisions
- 5) informed electorate
- 6) resource base (financial)
- 7) the right to levy taxes
- 8) provision of essential services
- 9) right of appeal by the individual
- 10) external recognition by other government agencies, etc.
- 11) Band recognition of other levels of government
- 12) competent management
- 13) right to establish priorities
- 14) knowledge of limits of self-determination
- 15) participation in higher levels of government (one component in a total system of government)
- 16) right and responsibility to interpret local values
- 17) protect the right of community members re:
 - Language
 - Culture
 - religion
 - minorities
- 18) the right to regulate land useage

c) Indian Band and Indian Association representatives

- 1) fragmentation of services available to bands - result confusion
- 2) Indian Act - too restrictive
- 3) Department of Indian Affairs staff not attuned to band level (lack of training)
- 4) bottom up not top down

- 5) paternalistic attitude still there in Department
- 6) need for more compatibility in policy

NOTE: Attitudes as well include native sector

BAND LEVEL

- 1) Economic resources of Band
- 2) availability of resources
- 3) more training in local government
- 4) policies developed by Band
- 5) too many changes within a given time frame (staff)
- 6) longer council term
- 7) accountability under Department of Indian Affairs directive
- 8) faster service from L.G.A.
- 9) better communications
- 10) lack of program funds
- 11) more detailed input by L.G.A.
- 12) delivery system is slow

Local Government Advisers

1. a) Government for the people by the people and accountable to the people !
b) Complete Indian control of Indian matters at the local level
2. knowledgeable and informed electorate and Council
3. protection, security and fairness to Band staff
4. protection of individual Band member's rights
5. more effective communication and co-operation between Band Councils and Band members, individually and collectively
6. Bands receiving more time from L.G.A.'s as opposed to having L.G.A.'s spend the bulk of their time doing department administrative work
7. more direct involvement of local and district level Indians in departmental policy-making decisions
8. decentralization of authority

Attached is a paper prepared by Grand Council
Treaty Number 9 presented by Andy Richard to
the participants in the Local Government
Workshop held at Lakehead University, June
15, 1976.

.....

THE ROLE OF D.I.A.N.D.

This paper will discuss the role of the Department of Indian Affairs as we envision it.

We are all very aware of what the situation has been in the past and the problems we have had in the development of a positive and progressive relationship between our communities, our leaders and the Department of Indian Affairs. We are aware of transactions occurring on behalf of our people signed by the Indian Agent or some other representative from the Department of Indian Affairs.

This happened in three ways. One, it was to the financial or political advantage of the individual or Indian Agent to trans-act such deals. Two, there was a moral or ethical responsibility to act on our behalf because we were ignorant and incapable of transacting our own affairs. Thirdly, the Department of Indian Affairs through the Minister and the Indian Act held total control over our lives and our actions and they in turn impowered the local Indian Agent and their staff to maintain this control, including transactions involving land sale and land use.

Another method used for control was to insure that the most co-operative bands and individuals received appropriate benefits or a larger share of the prosperity.

The history of our relationship has not been a good one. The role of the Department of Indian Affairs and Northern Development in the past has not been successful or has it been very effective which is proven by the fact that our people are still here unintegrated, uneducated, isolated from all the benefits of mainstream society, still poor, and without control over our lives and our destiny.

The concept of local government is a highly philosophized doctrine. It means one specialized area for the economist, social scientist, educator, bureaucrat and politician. To the Indian people it means the combination of all ideologies, including the most important area of spiritual and cultural consideration.

Irrespective of the various concepts of local government, it can be agreed that three essential ingredients are the prerequisites of local government: (a) Legislation, (b) availability of Development Resources and (c) Local expertise.

(a) Legislation

How

(why ???)

The Indian Act as it stands now divides the authority into three categories: Band Council authority; Band authority and Governor-In-Council as represented through the Minister of Indian Affairs. The Band and the Band Council are separate entities and their own authority is dependent on the approval of the Minister of Indian Affairs.

(b) Availability of Development Resources

The present available programs of the Federal Government which may assist our people are, generally, fragmented and unco-ordinated, resulting in duplication and gaps in such assistance. The problem of planning and implementing viable projects under such circumstances need not be elaborated on. Clearly, if Federal, and for that matter, Provincial policies and programs are to succeed, present assistance must be expanded and co-ordinated.

(c) Local Expertise

The degree of success in the implementation of development programs at the local level will be in exact ratio to training provided to Band Administrations.

Spontaneous training programs conceived in Ottawa or Toronto, usually by non-Indian personnel, offer are ridiculously unsuited to the remote surroundings of our area. Such programs will continue to run counter to our values, and desires as well as failing to use our capabilities effectively.

Blame for this situation can probably be placed on both sides of the fence. Our people have become experts at guaranteeing that any program initiated by the Department of Indian Affairs will be a dismal failure excepting those programs serving our most basic needs, medical and health care and welfare.

We know that when a program comes out, we sit back laughing and say, "Those guys are really stupid, we know it won't work", and we proceed to resist every implementation of that program. The second thing we do is, reject everything totally and demand the resignation of the clod most responsible. We spend hours writing up briefs rejecting this, rejecting that, and requesting resignations.

What happens as a result of all this energy? Nothing. Indian Affairs halts the program, gives it another name, uses more of the latest terminology, re-instruct their troops in the field and tries again.

We anticipate their tactics attempt to infiltrate each others classified information and prepare another rejection.

We have been successful in not only creating a self-perpetuating cycle, but we have alienated our leadership from real contact with the people. Our leaders sometimes have more contact with Indian Affairs and other governments and agencies than they have with the people in the communities.

All this is done with supposedly, one objective in mind. Indian Affairs says they wish us to become the administrators of our own affairs and initiate all kinds of programs which help them to maintain their control over us. We continually

say, we must have more control over our own destinies. To me, it sounds like we are both saying the same thing, but, both wanting to do it in different ways.

We may have forgotten the real reason for Indian Affairs and our own Indian leadership which is, the way I see it, to act in the best interests of our Indian people. Secondly, to bring our level of existence to a par with the rest of Canadians.

In the development of our philosophy of local government, it became apparent that we must re-establish that the welfare and advancement of our communities is of paramount importance. To do this, we must first define our objectives, mutually agree on them, and co-operatively, establish a methodology for achieving these objectives.

I think all parties involved have agreed that our main objective is local government and our theme is co-operation. We have now reached a point where our people are being allowed to be in the driver's seat or at least to take turns.

In the development of a local government concept, the ingredients required are the power of legislation, economic and financial base and expertise and resources.

The three are so closely linked it cannot be said that one has priority over another. All the ingredients must be there all at the same time to have a successful result. All of the above can never be fully accomplished without the assistance and co-operation of Indian Affairs.

Treaty #9, in its' approaches to Indian Affairs, is attempting to establish a new role and relationship for both

sides. We do not see ourselves as rejectors of programs and we do not see Indian Affairs making unilateral decisions on our behalf.

At the community level, we need every position and committee necessary to govern our own destiny. That is where the change has to happen. That is where the learning must take place and the expertise developed.

Indian Affairs and Indian people can no longer sit on opposite sides of the table, we must co-operatively develop workable solutions for our future. This formula is a new and innovative approach to problem solving. We have the problems, we have the answers.

Indian Affairs has the money and access to expertise. We recognize they do not have unlimited resources, but in an environment of mutual concern, we can find and utilize other sources to our advantage.

In the past, we have wasted people, time, energy and funds on a grand scale and today, have little to show for it on either side. I think we can continue to do this until we are all wasted, but, this would be no solution.

Our people must come up with positive workable answers to our problems in each and every one of our communities and through discussion and co-operation at every level of the operation with the Department of Indian Affairs and other agencies, implement our solutions.

To illustrate this further, if a health problem arises, Indian Affairs has a health services program to deal with it.

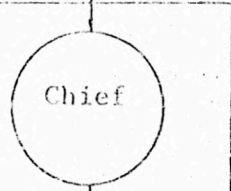
If it is housing, Indian Affairs has a housing program, for every problem, the Department has expertise to work at a solution. Sometimes, the solution does not alleviate the problem. What we are saying is, allow us to use your experts to solve our problems and our future will not be a repetition of past failures. We can all agree that duplication and failure is expensive and impractical. To achieve co-operation will bring us that much closer to achieving a real solution.

Provides overall leadership
 Implements policies and major
 decisions
 and Committees Reporting to
 and Council



*Establish policy and
 major decisions.

Overall Planning of com-
 munity in terms of com-
 munity growth.



Band Administration Imple-
 menting Band Policies and
 Practices

*Controls overall administra-
 tion; implements policies
 and major decisions.

Assess and plan housing
 needs.



*Controls overall welfare
 administration, policies
 and practices.

Assess and plan educa-
 tion needs.



*Controls financial policies
 and practices.

Assess and identify
 economic development
 projects.



*Senior Secretary

Plan and establish
 sports and recreation
 programs.



*Law enforcement on reserve

Assess and plan com-
 munity services.



*Implements and administers
 sports and recreation pro-
 grams.

Assessment and Evalua-
 tion.



*Implements and administers
 educational and social
 programs.

Planning and Assessment



*Implements and administers
 Band economic development
 programs; advises and coun-
 sels individual economic
 development projects.



*Responsible for overall
 operation of band projects.

*Band Manager shall be directly responsible to the Chief on the daily administration of band business.

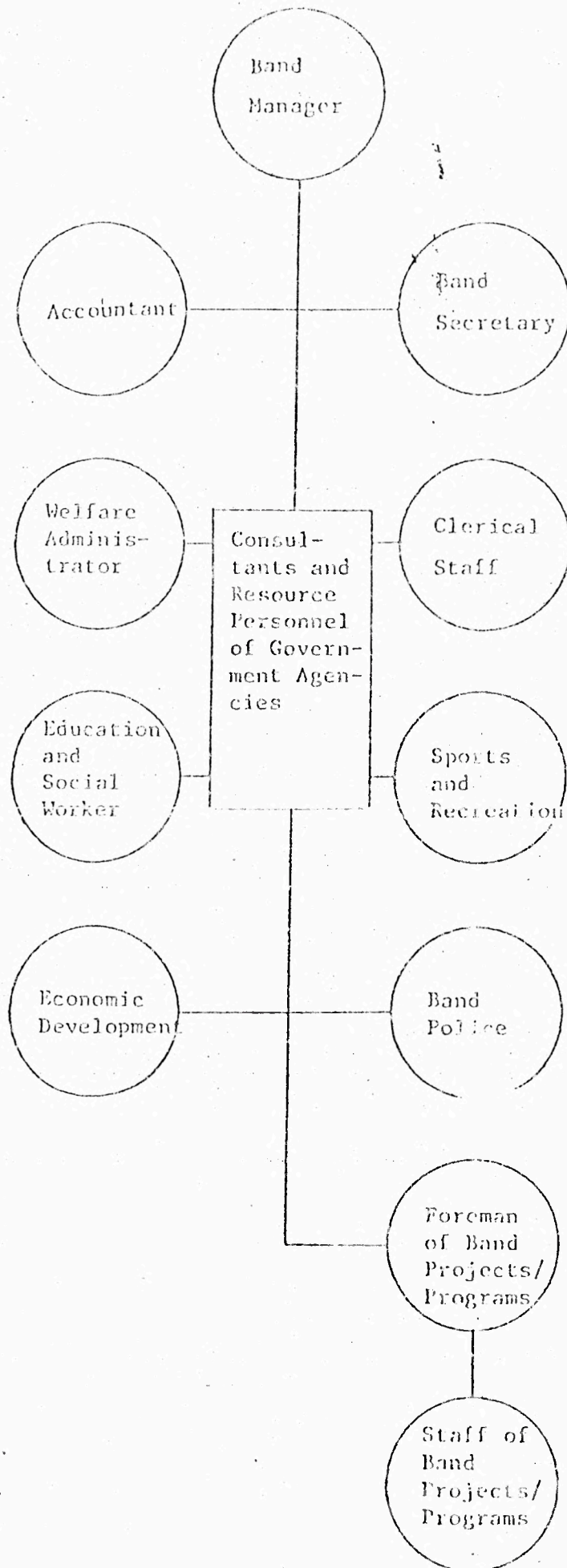
*Band Manager shall be responsible to the Band Council in the implementation of new policies and action on major issues.

*All band programs/projects that have been established by Band Council is the responsibility of the Band Manager.

*All programs/projects of staff is answerable to the Band Manager.

*Band Manager in consultation with the Band Council shall determine the need of consultants.

*Band Manager in conjunction with appropriate Band Council and/or staff shall determine the need for resource personnel of governmental agencies.



*Band Manager shall be responsible for the enforcement of band Administration policies and practices.

*Band Manager shall be responsible for the efficient operation of the overall day to day band administration.

*Band Manager shall report monthly and/or more often to the Band Council.

*Band Manager shall sit on the Band Council in all interviews regarding Band employment.

*Each project/program and will be the responsibility of each staff member as defined in respective terms of reference.

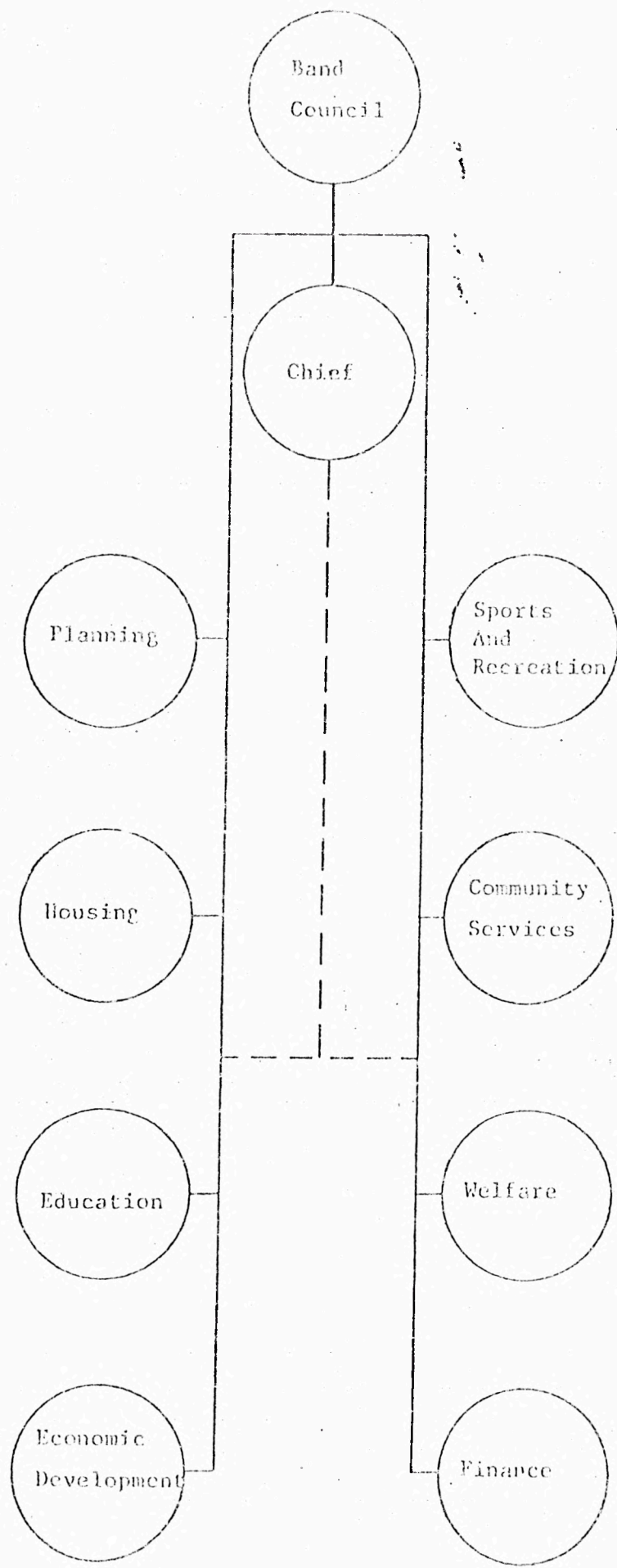
STRUCTURE:

*Each committee will consist of 3 members.

*A councillor will be a member of each committee. Where committees outnumber the council, a councillor may serve more than one committee and/or the committee may consist of band members only.

The Chief shall sit on all committees as an ex-officio member.

The committee members shall appoint a chairperson from its group.



FUNCTION:

*The three member committee will meet regularly to discuss, plan and recommend the implementation of programs/projects related to each committee.

*All recommendations to be submitted to the Band Council for final decision.

*Committee members shall receive remuneration based on the decision of the Band Council.

*The committee will also serve to assess and evaluate all current and planned band programs/projects to be submitted to the Band Council for further action.

*Minutes of all committee discussions will be recorded by band staff.

THE STRUCTURE AND FUNCTION RELATED TO

THE LOCAL GOVERNMENT OF " X " Band

1. Band Council Organization
 - 1.1. Structure
 - 1.2. Band Organization Chart
 - 1.3. Function
 - (a) Band Council
 - (b) Chief
 - (c) Band Councillor
 - (d) Quarterly and Annual Reports
 - 1.4. Legislation - Indian Act
 - (a) Band Council Elections
 - (b) Band Council Authority
 - (c) Band Authority
 - (d) Governor-In-Council

2. Band Administration
 - 2.1. Authority and Direction
 - 2.2. Structure
 - 2.3. Band Administration Chart
 - 2.4. Function
 - 2.5. Administration and Personnel Policy
 - 2.6. Financial Control System
 - 2.7. Financial Accounting Procedures
 - 2.8. Core Administration Procedures
 - 2.9. Local Program Services Procedures
 - (a) Social Services
 - (b) Band Membership
 - (c) Education
 - (d) Capital Projects
 - (e) Service Contracts with Dept. of Indian Affairs and Northern Development
 - (f) Other

3. Band Council Committees

3.1 Authority and Direction

3.2 Structure

3.3 Function

- (a) Planning
- (b) Education
- (c) Housing
- (d) Economic Development
- (e) Other

4. Local Band Government Training

4.1 Band Council

- (a) Community Organizing
- (b) Leadership
- (c) Political Awareness
- (d) Parliamentary Procedures
- (e) General Management
- (f) Reporting Procedures

4.2 Band Administration

- (a) Community Organizing
- (b) Leadership
- (c) Political Awareness
- (d) Parliamentary Procedures
- (e) General Management
- (f) Reporting Procedures

4.3 Band Council Committees

- (a) Community Organizing
- (b) Leadership
- (c) Political Awareness
- (d) Parliamentary Procedures
- (e) General Management
- (f) Reporting Procedures

5. Regulations Relating To Program Funding

5.1 Department of Indian Affairs and Northern Development

- (a) Local Government
- (b) Economic Development
- (c) Education
- (d) Social Services
- (e) Other

5.2 Manpower and Immigration

- (a) L.I.P.
- (b) L.E.A.P.
- (c) Other

- 5.3 Department of Secretary of State
 - (a) Cultural Projects
 - (b) Other
- 5.4 Department of National Health and Welfare
 - (a) Community Health Workers
 - (b) Other
- 5.5 Department of Regional Economic Expansion
- 5.6 Central Mortgage and Housing
 - (a) Housing
 - (b) Other
- 5.7 Provincial Government
 - (a) Road Subsidies
 - (b) Economic Development
 - (c) Social Development
 - (d) Other
- 5.8 Private (Feasibility Study Projects)
 - (a) Foundations
 - (b) Universities
 - (c) Citizen Organizations
 - (d) Professional Organizations

6. Federal Government

- 6.1 Legislation
- 6.2 Structure
- 6.3 Function
- 6.4 Funds

7. Provincial Government

- 7.1 Legislation
- 7.2 Structure
- 7.3 Function
- 7.4 Funds

8. Municipal Government

- 8.1 Legislation
- 8.2 Structure
- 8.3 Function
- 8.4 Funds

9. Indian Organizations

9.1 National Indian Brotherhood

- (a) Structure
- (b) Function
- (c) Direction and Authority

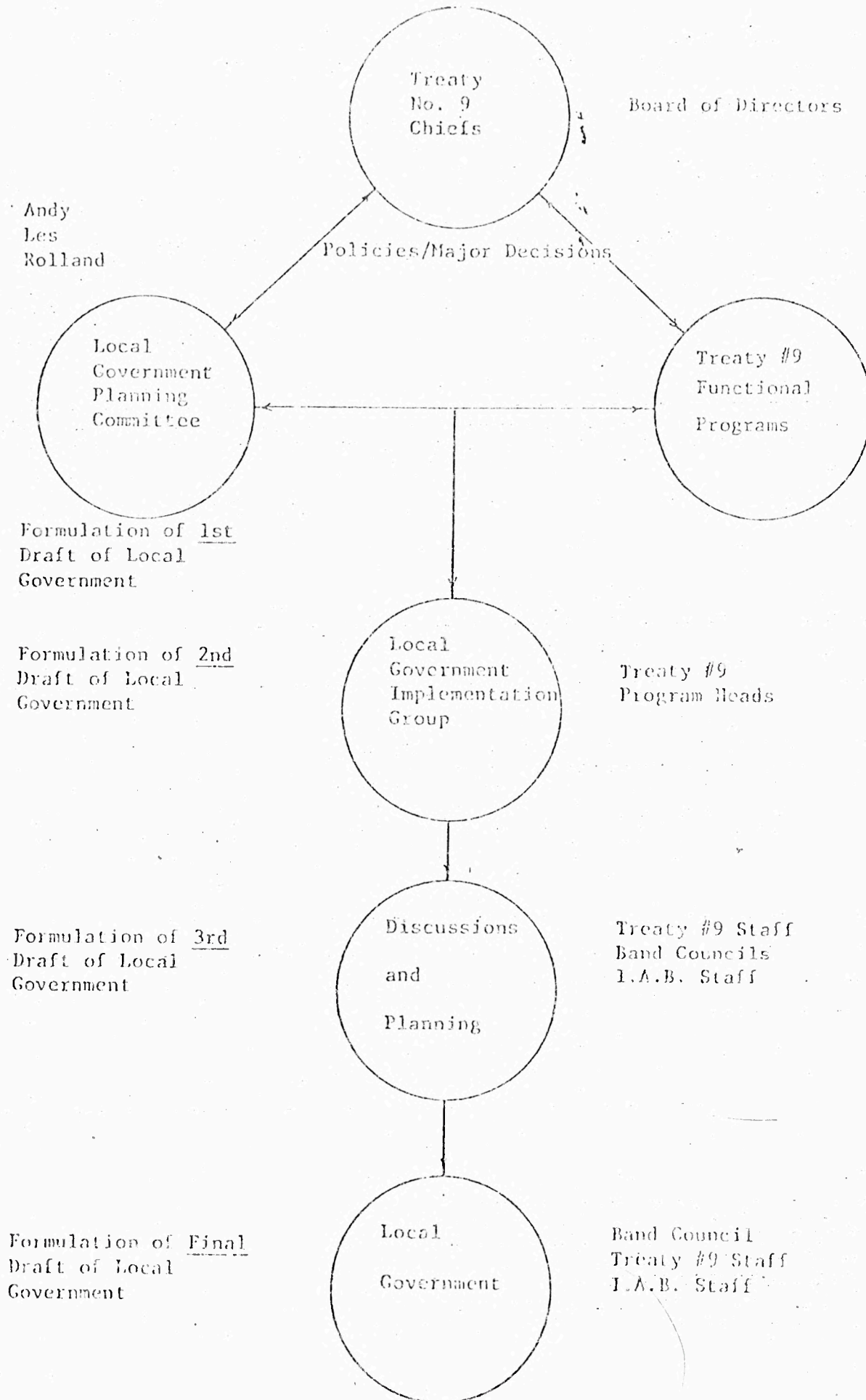
9.2 Provincial

- (a) Structure
- (b) Function
- (c) Direction and Authority

10. Government Indian Liaison

10.1 Federal - Structure
- Function

10.2 Provincial - Structure
- Function



PROJECT PLANNING PROBLEM

(The Experts' Ranking)

PLANNING

Experts' Ranking

Item
Identification

1. Review and analyze the facts of the current project situation J
2. Set project objectives (desired results) H
3. Develop possible alternative courses of action E
4. Identify the negative consequences of each course of action P
5. Decide on a basic course of action S
6. Develop strategies (Priorities, sequence, timing of major steps) D
7. Determine measurable checkpoints for the Project and variations expected T

ORGANIZING

8. Identify and analyze the various job tasks necessary to implement the project C
9. Define the scope of relationships, responsibilities, and authority of new positions R
10. Establish qualifications of new positions K
- i. Determine the allocation of resources (including budget, facilities, equipment, etc) N

IMPLEMENTING

12. Find qualified people to fill new positions A
13. Train and develop new personnel for new responsibilities/authority I
14. Develop individual performance objectives which are mutually agreeable to the individual and his/her manager Q
15. Assigning responsibility/accumulativity/authority G
16. Co-ordinate on-going activities M

CONTROLLING

17. Measure progress towards and/or deviation from the project goals B
18. Measure individual performance against performance objectives and standards O
19. Take corrective action on Project (recycle Project plans) L
20. Arrange appropriate consequences for individual performance F

**the Project
Planning
Problem**

2nd Edition

**AN EXPERIENCE
IN TEAM PLANNING**

Developed by

Human Synergetics

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The Situation

Your organization has just assigned you to a newly formed task team which is to take over a secret Project presently being handled by Research and Development. Your entire team has been assigned responsibility and authority to *first* design a plan for managing the Project and then, after top management has reviewed and accepted your plans, carry out the Project.

Your team has been deliberately formed of individuals with experience from a number of Divisions because it was felt a greater range of knowledge and skills were needed in order to arrive at the most effective plans. None of you have been told anything about the Project so far, other than it is expected to grow to sizeable proportions requiring additional people.

The Problem

Despite the lack of information regarding the Project, your team must now design a preliminary plan for managing the Project. On the next page is a list of 20 Management Activities (A through T) arranged in random order. Your task is to rank order these activities according to the sequence you would follow in managing the Project. This sequence will be reviewed by top management before you are given the go-ahead to begin work on the Project.

Step 1:

Since you have a few minutes before your team meets for the first time, go over the list of activities on the next page; and, without discussing it with anyone, rank order the management activities according to the sequence you think should be followed in managing the Project. Start with "1," the first activity through "20," the last activity.

Step 2:

Now, as a team, agree to the sequence of activities that should be followed.

You will have until _____ o'clock to decide.

Management Activities	Step 1 Individual Ranking	Step 2 Team Ranking	Step 3 Planning Experts' Ranking	Step 4 Difference between Steps 1 and 3	Step 5 Difference between Steps 2 and 3
A. Assign qualified people to positions					
B. Measure progress toward and/or deviation from the Project's goals					
C. Identify & analyze the various job tasks necessary to implement the Project					
D. Develop strategies (priorities, sequence, timing of major steps)					
E. Develop possible alternative courses of action					
F. Arrange appropriate consequences for individual performance					
G. Assign responsibility/accountability/authority					
H. Set Project objectives (Desired Results)					
I. Train & develop personnel for new responsibilities/authority					
J. Review and analyze the facts of current Project situation					
K. Establish qualifications for positions					
L. Take corrective action on Project (recycle Project plans)					
M. Coordinate on-going activities					
N. Determine the allocation of resources (including budget, facilities, etc.)					
O. Measure individual performance against performance objectives, standards					
P. Identify the negative consequences of each course of action					
Q. Develop individual performance objectives which are mutually agreeable to the individual & his/her manager					
R. Define scope of relationships, responsibilities & authority of new positions					
S. Decide on basic course of action					
T. Determine measurable checkpoints for the Project & variations expected					
			Totals (The lower the score the better)		
				Individual Score Step 4	Team Score Step 5

Please complete the following steps and insert the scores under your team's number

	Team 1	Team 2	Team 3	Team 4	Team 5	Team 6
Step 6—Average Individual Score Add up all the individual scores (Step 4) on the team and divide by the number on the team.						
Step 7—Team Score (Step 5)						
Step 8—Gain Score The difference between the Team Score and the Average Individual Score. If the Team Score is lower than Average Individual Score then Gain is "+" If Team Score is higher than Average Individual Score then Gain is "-"						
Step 9—Lowest (Best) Score on the team						
Step 10 Number of individual scores lower than the team score						

Team Performance Data
(figures based on 117 participants
72 teams)

Step 6	
Average Individual Score	59.6
In Winning Teams	59.5
In Losing Teams	72.3
Step 7	
Average Team Score	40.5
Average Winning Team Score	28.5
Average Losing Team Score	63.5
Step 8	
Average Gain Score	19.2
In Winning Teams	31.0
In Losing Teams	8.8
Step 9	
Average Best Score On Team	37.5
In Winning Team	28.5
In Losing Team	53.5
Step 10	
Percent of Individuals Lower than Team Score	17%
In Winning Teams	10%
In Losing Teams	38%
Percent of teams scoring lower than the best individual on the team	31%

Suggested Readings

1. Barber, Larry L., *Listening Behavior*, Englewood Cliffs, New Jersey: Prentice-Hall, 1971.
2. Drucker, Peter F., *The Practice of Management*, New York: Harper and Brothers, 1954.
3. Fayol, Henry, *General and Industrial Administration*, London: Sir Isaac Pitman and Sons, 1949.
4. Kepner, Charles H. and Benjamin Tregoe, *The Rational Manager*, New York: McGraw-Hill, 1965.
5. Koontz, Harold and Cyril O'Donnell, *Principles of Management*, Englewood Cliffs, New Jersey: Prentice-Hall, 5th Edition.
6. Maier, Norman R. F., *Principles of Human Relations*, New York: John Wiley and Sons, Inc., 1955.
7. Odiorne, George S., *Management by Objectives: A System of Managerial Leadership*, New York: Pitman, 1965.
8. Strauss, George and Leonard R. Sykes, *Personnel: The Human Problems of Management*, Englewood Cliffs, New Jersey: Prentice-Hall, 1957.

Other Materials Published By ELM

- The Desert Survival Problem
- The Desert Survival Problem Manual
- The Subarctic Survival Problem
- The Subarctic Survival Problem Manual
- The Learning Styles Inventory
- The Learning Styles Inventory Manual
- Leadership and Motivation

Materials may be ordered from:
Experiential Learning Methods
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Plymouth, Michigan 48170
313-459-1040

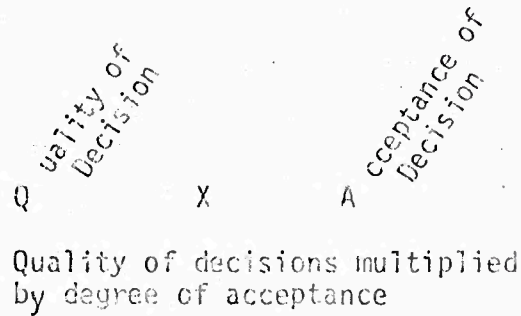
MANAGEMENT

Management is the achievement of predetermined goals using a minimum of resources. These principles apply in any organization whether it be Headquarters, Region, District, Band or Association.

COMPONENTS OF MANAGEMENT

Effective Management Decisions

Effective management behaviour =



For Example:

A decision rated at 10 in a scale of 0 - 10 multiplied by a degree of acceptance at 0 on a scale of 0 - 10 equals 0	Q	X	A	
	10	X	0	= 0

A decision rated at 0 in a scale of 0 - 10 multiplied by a degree of acceptance at 10 equals 0	Q	X	A	
	0	X	10	= 0

A decision rated at 10 in a scale of 0 - 10 multiplied by a degree of acceptance produces an equation answer of 100 which indicates	Q	X	A	
	10	X	10	= 100 %

The best decision in the world may be made but if it is not accepted it will never be implemented.

Planning is another critical component of management.

The Project Planning Problem exercise demonstrated differing degrees of expertise in each member of a group in the planning process. This was shown where individual members of the group achieved different numerical scores reflecting their own expertise. When the group members worked together by discussing and examining options, sharing ideas, building on the ideas of others, setting priorities and then collaborating to arrive at a consensus, the group score was appreciably better than the average individual score of the group. (Diagram page 15)

The Project Planning Problem
 - An Experience in Team Planning
 Developed by Human SYNERGISTICS

Following are the results of the Project Planning Problem produced by groups of the Local Government Seminar, Lakehead University, June 15-17, 1976.

Low threshold of Res.
Nov 25, 1976

	TEAMS			
	A	B	C	D
Average Individual Score	94	76	81	80
Team Score	80	54	56	94
Gain Score	+ 14	+ 22	+ 25	- 14
Best Score	24	32	52	56
Number of Individual Scores Lower than Team Score	2	1	1	5

The use of the different skills, knowledge and expertise of the group and the focusing of those skills in a positive way to arrive at a solution to a problem produced a better solution. This is a demonstration of the process of SYNERGY.

Management = Maximizing Resources

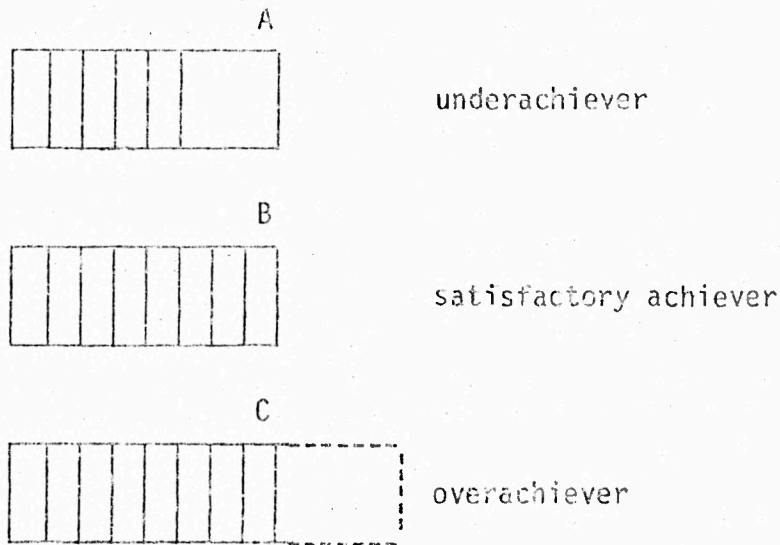
The function of a manager is to use the skills of a group to create ideas, solve problems, develop and implement plans. When a group strives to work well together as a team in a positive way the work situation will be challenging, stimulating, possibly harder, but rewarding and fun.

In the Project Planning Problem exercise it was demonstrated that if those who achieved the best scores do not share their ideas and skills with others,

express and defend their viewpoints, or otherwise contribute to the group, their skills and knowledge have little impact on the decisions made and hence are wasted.

An important component of management is the maximizing of human resources. One means of contributing to such a condition is the implementation of the merit principle - rewarding and/or reinforcing effective behaviour of individuals and the group.

The seminar group examined the situation of the underachiever, satisfactory achiever, and the overachiever.



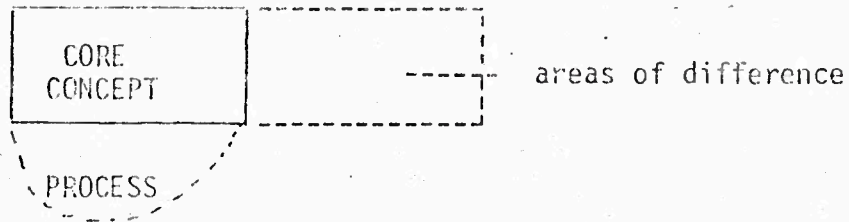
The manager who awards employee C with interesting projects, - more man years, increased funding, for example, can be pretty certain that the project will be well-handled, the man years, funds or other resources would be put to effective use.

If the manager were to assign additional projects and/or resources to B or A he would be taking a great risk - that they probably would not be well-handled as B and A have not handled other projects well.

When the manager assigns projects or additional resources to C what effect will this have on employee B and A, was a question presented. The group agreed that B and A would inevitably have to improve their efforts to strive to meet the standards set by C otherwise they would develop into apathetic, mechanical performers which is an unsatisfying human condition.

HOW DO YOU WORK TOWARDS LOCAL GOVERNMENT

People working together towards common goals have a lot of agreement - core area of agreement - the process is to start working in the areas of agreement and then work at the areas of disagreement



Four heterogenous groups agreed upon a set of components of local government. These provide the basic goals and indicate what local government means to the Seminar Participants.

The concept of local government as a living, evolving process was developed by the groups. The emphasis on process is a key notion. It is a question of the practice of local government after the philosophy has been established. The philosophy provides a picture of the ideal state that all are working towards. That is not to say that the philosophy will not change in a changing environment. The group suggested that it probably will change to meet the expressed needs of bands.

We learned in the workshop that philosophy without practice leads nowhere and practice without philosophy leads to chaos with little or no hope of reaching the goal.

We now have a set of goals which we established in the seminar. These are recorded on the following pages as they were developed by the four seminar groups during the workshop.

The process, that is the "doing" is the responsibility of each one of us.

The notion that the process is the product is most applicable in exploring local government. Working at the process keeping the ultimate goal in view is the means of gaining expertise and developing an effective local government.

MAJOR COMPONENTS OF LOCAL GOVERNMENT

(created by 4 groups consisting of representation from Indian Bands, Associations, L.G.A.'s, Program Managers, and miscellaneous other members)

GROUP A

- accountable to the people
- an informed electorate
- security for Band employees
- protection of the individual's rights
- status as legal entity
- adequate resource base - financial, human and natural
- recognition of Band's place with respect to other Departments, etc.
- authority to establish all priorities
- an awareness of the limitations of self-determination
- council truly representative of people
- a formal constitution
- good law enforcement
- situation where D.I.A. staff fully attuned to Band's needs
- better service from L.G. staff
- more involvement in Band affairs by L.G.A.
- improved delivery system

GROUP B

- strong, representative Band Council (informed electorate)
- control of own financial resources
- legislated recognition of authority
- awareness and recognition of and by other levels of government
- training for Band staff and Council

GROUP C

- knowledgeable, conscientious, efficient and honest Band Council
- well-informed electorate (participating)
- adequate resources
- well-defined and well-enforced Band Regulations
- protection, security and fairness to Band staff (system of appeals)
- improved term system for Band Council
- effective and well-organized committee system

GROUP D

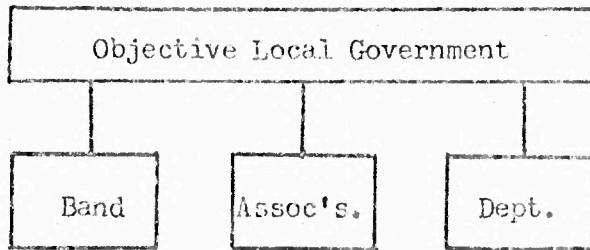
- local leadership "Responsible", "Representative", "Accountability"
- knowledgeable and participating electorate

- legislation - "local constitution" (Band Council, policies, guidelines)
- competent managerial administration
- adequate financial base
- adequate community services
- Policing, Roads
- awareness of other government departments and agencies - Federal, Provincial and roles

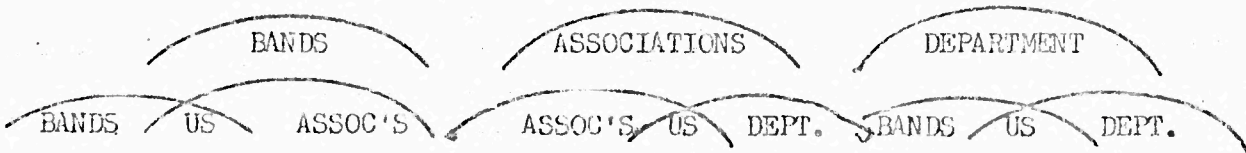
ROLE OF INDIAN ASSOCIATIONS
in relation to Indian Bands,
Local Government Advisers, the Department

Throughout our Local Government Workshop it has been demonstrated that the Indian Bands, the Department and the Associations are all working towards the same objectives - the facilitating of local government.

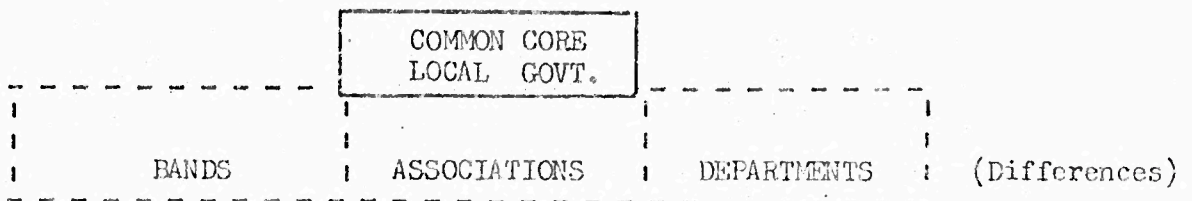
If these three groups work along parallel lines without collaboration there will be a great waste of resources in duplication of effort.



If, however, we analyse the condition in light of the principles of interdependence and collaborative effort learned in this workshop, we can work more effectively together towards the local government goal.



We have a common core of things that we are doing



and ideas to be implemented. If we work in harmony to get these common things accomplished we are all in a better position to work out solutions to the differences. We learned in the Project Planning Problem Solving Exercise that the use of the skills and abilities of a group working together tends to produce a better solution than the use of skills and knowledge of one person.

You are asked to go into those same problem-solving groups formed last night, to examine the view of your group on the role of the Associations in relation to the Department and Bands from the view of

- a) an Indian Band
- b) A Local Government Adviser
- c) the Department

Select a spokesman to present your views to the total group. You have 30 minutes in the syndicate room to do this exercise and then return immediately to the workshop room.

(Use outline attached)

A Panel composed of -

Michael Roy	-	Union of Ontario Indians
Michael Rehaluk	-	Asst. Regional Director Education
Leo Bouchard	-	Band Manager, Long Lac 58
Joe Everett	-	Local Government Adviser, Sioux Lookout District

will listen to the presentations of each group and comment on their individual views of whether or not they see the role as you see it and if they do not see it that way, why they do not see it that way.

This process will provide the total seminar group with the opportunity to consolidate in their minds the role of the Associations and also to use the principle we learned today of commencing to work with areas of agreement - the common core - and then proceeding to the areas of differences in perception and then to resolving these differences through discussions.

In view of the participating groups the associations should be doing the following for and with Bands and the Department - Summaries --

ASSOCIATION ROLE IN RELATION TO

	BANDS	DEPARTMENT
VIEWPOINT OF A BAND	<ul style="list-style-type: none">- informing them- ensuring enforcement of land treaty rights- representing groups of Bands on big problems- training electorate	<ul style="list-style-type: none">- negotiating for Bands- working towards local government
VIEWPOINT OF AN L.G.A.	<ul style="list-style-type: none">- community development- pointing out needs- promoting economic development	<ul style="list-style-type: none">- liaison- working for local government
VIEWPOINT OF THE DEPARTMENT	<ul style="list-style-type: none">- Political arm for group of Bands- cut through bureaucratic red tape	<p>to</p> <ul style="list-style-type: none">- truly represent the Indian People- \$ for funding the Associations should be funded through accountable contributions- paid to Associations by Band Councils

GUIDELINES FOR LOCAL GOVERNMENT

The guidelines for Local Government are contained in the D Circulars which provide a framework within which Bands have the freedom to operate. As in the case of almost all guidelines and regulations, they are changed from time to time to reflect the needs of the people they are designed to guide.

In the use of the guidelines the user (staff and bands) can make the guidelines work for their own purposes. This is a skill which may be learned by working at understanding them and making them useful.

On the basis of the thinking that if the user wants to make them useful he can do so by:

- learning what they are, that is, guidelines
- learning the content, by reading, testing out the meaning of the content with co-workers
- applying what he has learned to real and devised cases
- examining possible solutions
- discussing possible solutions
- selecting the most suitable solutions

In summary the use of all guidelines and regulations is improved by practise. In line with this thinking each District was requested to bring to the seminar three case histories from their own area which were representative of the problems they are called upon to solve using the D Circulars.

The following are the 4 case histories selected from the 9 which were brought to the seminar and which were used as working papers for each group to use as a case for learning.

Effective use of guidelines depends on the interest, the degree of thoroughness the understanding of the person who uses them, and the amount of effort he puts into his work in making them useful to him.

CASE NO. 1

Maggie is an old age pensioner caring for a grandchild and living in a one-room shack. She has never received housing assistance and desperately needs adequate shelter. Her only son lives in Winnipeg and she has no able-bodied relatives living on the reserve.

The band builds 5 or 6 houses a year and for the past several years all recipients of housing have been either members of council, or relatives or friends of members of council, notwithstanding that some of these already have houses.

Maggie goes to band meetings, complains to Council and has written to the Department. Everyone says it is a matter for Chief and Council to decide -- Maggie still doesn't get a house.

D Circular # 4(3).9bi

Department can terminate an agreement decision based on substantial evidence and action taken only after ...

son's responsibility? rally band members to lobby, housing committee priorities approved by Chief and Council

CASE NO. 2

Pickere1 Lake Band previously consisted of a main band and a number of satellite groups. The groups have since attained band status although many are small in number and poor in human and natural resources having no expertise in government or administration and no obvious base on which economic ventures could be founded.

The main band has experience and a large population and would be willing to administer matters for some of the small new bands. Recent independence, however, does not make the bands inclined to resume a dependant position, but with populations of less than a hundred administration of programs is virtually impossible.

PROBLEM

New Bands are reluctant to depend on "Parent" Band for administration of programs, yet have insufficient resources to perform the task themselves.

SOLUTION

1. *Training of Job at "Parent" Band office for selected new Band member to act as administrator. Thus, the administrator would have access to help from the experienced staff of the "parent" Band and D.I.A.N.D.*

Finding: T.O.J., Band staff training (Education), Administration dollars, core funding, accountable contributions

2. *On application for core funding, Bands would agree to co-management until Band staff was fully trained.*

CASE NO. 3

Band Manager fired by Chief without just cause.

Band election changed Chief & Council. Existing Band Manager was very friendly with previous Chief. The new Chief has a friend or relative as a replacement. Band Manager fully-qualified to carry out his duties, having had a good background when appointed, plus additional Band Manager training course. Band Manager requests help.

SOLUTIONS

Protection of Band staff in the following methods:

1. *Appointment of Appeal Board - The board being made up of representatives from Indian Associations and one band member and a third representative from either a neighbouring Band, municipality, etc.*
2. *Unionization of Band employees*
3. *Personnel regulations to ensure that hiring and firing of Band staff be valid only when support of majority of Council exists.*

CASE NO. 4

Band X mismanages appropriation funds by disbursing funds improperly. Education funds were used for excessive welfare issues and as a result education bills could not be paid. Also using appropriation for band operations.

1. *Investigate circumstances*
2. *List alternatives*
 - a) *freeze funds*
 - b) *request an audit*
 - c) *receivership*
 - d) *co-management*
 - e) *negotiate with Band*

SOLUTION

1. *Negotiation with the Band resulted that the Band changed their priorities, deferred programs i.e. - allowances*
 - *midday lunches*
 - *school repairs*
 - *kindergarten*
 - *classroom assistant*

to cover over-expenditure in current year or carry over to next year.
2. *Band requested L.G.A. to review and monitor the welfare program and strived to reduce welfare costs by W.O.P. projects.*
3. *Band Council restricted Band expenditures i.e. telephone*
 - travel (charter flights)*
 - honorarium*
 - reviewed staff hours*
4. *Explore possibilities of alternate program funding i.e. other Federal and Provincial Departments, C.M.C., D.R.E.E., Secretariate.*
5. *Justify required welfare budget - Supplementary budget increase*

PROGRAM GUIDELINES: EDUCATION

W. Walcer began this portion of the workshop by stressing the vital role Education plays in Local Government

two key functions were identified and discussed

1. In-school Program - Curriculums Development
2. Band Staff Training

It was pointed out that Band Staff Training monies cannot be used for training the electorate. Band Staff Training Funds are used for:

1. Chief's and Band Council
2. Band Staff
3. Band Committees

Identification of funding sources for training of the electorate was discussed, eg. Adult Education Funds, use of Band's core funds.

The question of how a training program is developed by the Band Council was discussed. STEPS:

1. diagnose needs - (It was also pointed out that the L.G.A. can offer help in this area)
2. Set priorities
3. find resources

Michael Rehaluk, Assistant Regional Director of Education spoke on the implementation of Indian control of Indian Education. The history of the development that led to this concept was reviewed.

It was pointed out that at a recent national workshop represented by the National Indian Brotherhood, a number of provincial Indian organizations, Assistant Regional Director of Education and Headquarters' Development and Operations staff, the topic of local government and Indian control of Indian Education was thoroughly discussed and alternative restrictions were identified. The Indian representatives stressed the need for an adequate budget with the flexibility to establish their own priorities.

He emphasized that E Circular 13 (Band Staff Training) was the only Education Circular in force. While guidelines are essential, plans are being implemented to involve Band Councils, Indian Associations, and the Department in developing guidelines that reflect the wishes and needs of Indian people as they relate to Indian control of Indian Education.

It is anticipated that an initial draft of procedures and or guidelines will be prepared by mid-October '76, these in turn will be channelled back to the Associations and Band Councils for further review and suggestions - Band Council involvement is essential to develop acceptable policy and guidelines that can eventually be approved by the Minister and implemented.

However, Mr. Rehaluk emphasized that while we expect enabling legislation wherein Band Councils can negotiate tuition agreements with Board of Education, the department does not have the capacity to construct federal schools on Reserves by duplicating classroom spaces previously purchased in provincial schools. National expenditures to date are approximately \$ 60 million. To provide equal space in federal schools would be in the neighbourhood of \$ 500 million. This is impossible and we must face reality.

Band Councils and Band members have established curriculum committees in many Indian Communities. The process of involvement at local levels is most effective in bringing about curriculum adaptation and more specifically to meet the needs of Indian communities with respect to the Indian language and Indian studies program. Other curriculum committees have shown their input in the development and implementation of curriculum guidelines in provincial schools.

In response to a question regarding Incorporation by Band Council or Band Authorities, it was pointed out that Band Councils are not required to become Indian bodies for Indian Control of Indian Education, however should a number of bands agree to consolidate their resources and establish a central Education authority to provide services for these bands, this authority must first become incorporated under either federal or provincial Charter prior to program implementation on behalf of the Bands.

All funding will be provided to the respective Band Councils through their Band negotiations with the Department and the Band Council in turn may purchase services from Education Authorities of their choice. The only condition under which the Education authority may receive funding directly from the department would be upon approval of a Band Council Resolution wherein each Band Council is requesting that the Education authority negotiate with the department. Indications to date suggest that the majority of Bands prefer to receive funding and then purchase services from the Education authority.

PROCESS OF THE SEMINAR

Often in seminars the process and the agenda are not what participants expect and this adds stress to the learning situation.

The process in this seminar probably was unexpected for some participants. Learning, however, occurs under conditions in which there is a degree of stress.

This seminar approach has been that the participants themselves are the producers of the material content.

The leaders of the seminar must assume responsibility for the process. The decision was made and a process designed to facilitate involvement in a learning to learn method with the participants themselves developing the why and how of local government and the why and how of the local government adviser.

LOCAL GOVERNMENT ADVISER

The Local Government Adviser has an important function to play in this local government process. This portion of the workshop focused on the many ingredients that make up this individual, what he should be able to do, what he should not do, departmental expectations, the Chief's expectations, facilitating and obstructing forces that influence the way he works on the job.

Each of the Districts formed groups and reviewed the role of the L.G.A. under a variety of headings.

SIOUX LOOKOUT DISTRICT

What He Should Be

- Listener (has ears)
- Trustworthy
- Empathetic - able to appreciate others
- Know his limitations
- Willing to learn, change, adapt

What He Needs

- Practical skills
- Tools - money - time - information - back-up
- Foresight
- Mobility
- Co-operation
- Knowledge

Should Be Able to

- Attune himself to Band needs, wishes, etc.
- Interpret policy etc.
- Adjust to changing circumstances
- Provide alternatives, suggestions as required
- Get along with everybody
- Win confidence

Should

- Be familiar with Community
- Provide options, alternatives to situations
- Provide continuous information to Band and to District

Should Not

- Become involved in Band politics
- Do Band's administration work
- Create dependancy
- Compromise his integrity
- Commit other programs, agencies, etc. without authority

Department Expectations

- Represent all programs at community as needed.
- That he is the liaison between Band and Department - other agencies

- Able to evaluate Band proposals
- Monitoring programs, activities

Band Expectations

- True representation (honest)
- Provision of information - advise on policy, developments, etc.
- Regular visits
- Assist in development of priorities, budgets
- Available if possible

LAKEHEAD DISTRICT

What an L.G.A. Should Be- (qualities)

- Adaptability
- Sociable
- Good communicator
- Good listener
- Confident
- Knowledgeable
- Self-starter
- Available
- Empathy
- Integrity
- Good organizer
- Genuine interest

What L.G.A. Should Do

- Acquire a general knowledge of departmental programs, circulars, policies, limitations
- Acquire credibility with Bands
- Acquire knowledge of local people and circumstances as soon as possible
- Acquire general "Know's" of other resources - Provincial, Municipal
- Advise Bands
- Link between Band and Department
- On request assist Bands in any way possible
- Be available to the Band on a scheduled manner (flexible itinerary)
- Establish positive atmosphere "encourage)"

Should Not Do

- Not assume leader role "facilitator"
- No involvement in Reserve politics
- Not subjective
- No Jo-Boy

Departmental and Band Expectations

- Genuine effort to assist Bands in becoming self-sufficient

NAKINA DISTRICT

The Person

- Genuine interest in job.
- Understanding of Indian people he will be working with
- Good knowledge of local government concept
- Band representation is necessary when a person is being interviewed for L.G.A.
- L.G.A. should be able to work effectively in isolated northern reserves as well as reserves in southern part of Nakina District

Job Description

- General knowledge of local government concept
- Develop and maintain personal contact with Band Council
- Be up-to-date in departmental policy and program changes and inform Band Council
- Good organizational ability

Boss of the L.G.A.'s and Band Chief

- L.G.A. is a departmental employee and his boss is the District Manager, however his role is to work with the Chief in developing local government

Internal Environment

- Support and co-operation from Band Council
- Band Council participation in performance evaluation of L.G.A.
- Regular Band meetings to be attended by L.G.A. when possible

WHO IS THE L.G.A.'s BOSS

In the seminar the concept emerged that a person works for himself. He is paid by the Department, who is the employer, his goals contribute to the goals of the District and the Bands with whom he works and basically he must have an interest in the job. If he has an interest in his job it will probably be because it satisfies his career aspirations and provides an opportunity for growth. In this sense the L.G.A. is his own boss with responsibility to the Department, who pays him. He is also responsible for responding to Bands in making local government come about.

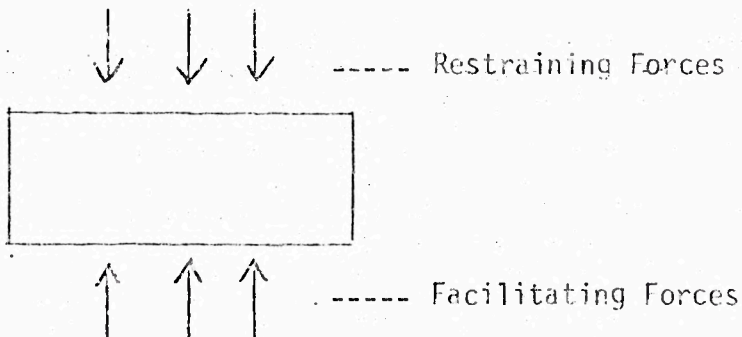
IMPLEMENTATION OF LOCAL GOVERNMENT

ACTION PLAN OF WHERE EACH OF THE DISTRICTS PLANS TO GO

Facilitating Forces - help to make things happen

Restraining Forces - hindering forces, such as impulsive
behaviour, lack of interest

If forces are equal in trying to reach the goal - nothing will
happen



To achieve the goal there have to be more facilitating forces than
restraining forces.

LAKEHEAD DISTRICT

Facilitating Forces

- Clear understanding of roles
- Continuous evaluation and revision of the methods employed in achieving of Local Government goals
- Results
- Co-operation at all levels
- Necessary resources
- Input at Band level in selection and evaluation of L.G.A.'s

Obstructing Forces

- Failure of Bands to co-operate or desire to better themselves
- Lack of planning on all levels
- Band timing in policy changes
- Inconsistent philosophy and information flow between L.G.A.'s

SIOUX LOOKOUT DISTRICT

Facilitating Forces

- Sufficient staff
- Implementation of training
- Band interest and L.G.A. interest
- Support of program managers
- Good Band administration established - book system
- training program

Obstructing Forces

- communications - geography
- language
- technology
- lack of teamwork - L.G.A.
- too much program paperwork - program managers

NAKINA DISTRICT

Facilitating Forces

- Regular visits by L.G.A.
- Co-operation from District staff
- Active recreation committee
- Active Band Council
- Enough diversity to keep things honest

Obstructing Forces

- Not enough self-confidence among Indian people
- Not enough confidence in Indian people by non-Indians
- Poor attendance by Band members at Band and Band Council meetings

THE FUTURE OF THE LOCAL GOVERNMENT PROCESS

a) Prescription R

All behaviour can be broken into three types which affect the reaching of a goal

- a) things we should start doing
- b) things we should continue doing
- c) things we should stop doing

What can the Department continue start to stop doing to implement local government

What can the L.G.A. continue, start and stop doing

What can the Band continue, start and stop doing

LAKEHEAD DISTRICT

DEPARTMENT

Continue to Do - Improve methods of delivery
- Understand complexity and sensitivity of position

Start Doing - involve Bands in planning
- training of L.G.A.'s, Chief and Council (on-going process)

Stop Doing - stop sending Directives and Circulars until present Directives have implemented and evaluated.

- SEMINAR FACILITATORS - STOP OVERLOADING WORKSHOP TIME

BANDS

Continue to Do - To assist L.G.A. to attain Local Government

Start Doing - Make best use possible of L.G.A. resources
- Definite time commitment for meetings
- Making agendas

Stop Doing - Unreasonable demands
- harassment

L.G.A.

Continue to Do - to make themselves available on request
- Improve his knowledge and understanding
- Facilitating

Start Doing - Appointing a full-time social worker at the District level

Stop Doing - Having an overload of administration work which impedes his role as an L.G.A.

STOUX LOOKOUT DISTRICT

L.G.A.

Continue to Do - Established regular visits
- Training (self & Band)

Start Doing - develop team approach
- Communicating with programs
- Communicating with association
- Recognize need for change
- draw upon experience of other districts

Stop Doing - Band administration work
- Being paternalistic
- Excessive paperwork

DEPARTMENT

Continue to Do - information
- support
- training

Start Doing - program staff meetings
- communication between principal of Reserve
- total area involvement
- involve Bands and L.G.A.'s in budgeting
- give L.G.A.'s constructive criticism
- developing trust relationship between programs, L.G.A.'s and Bands

Stop Doing - menial tasks
- thinking in program (restrictive) terms

BANDS

Continue to Do - truly represent the Band and Indians
- support less-advanced Bands

Start Doing - co-operate with L.G.A. and Associations

Stop Doing - depending on L.G.A. for routine tasks

NAKINA DISTRICT

DEPARTMENT

Start Doing - allow L.G.A. more time on Reserve

Stop Doing - reduce L.G.A. administration workload in office

Continue to Do - Continue to co-operate with all Bands

BAND

Start Doing - give advance notice to L.G.A. of meetings

Stop Doing - harassing L.G.A.

Continue to Do - good work relationship

L.G.A.

Start Doing - monitoring as soon as he arrives in Band office

Stop Doing - needless conversation with other than Band staff

Continue to Do - regular attendance at Band meetings

THE PERSONNEL FUNCTION

Every manager of a department or an association or a band has two essential resources available with which to do the job - financial resources and human resources.

Matters concerning human resources such as pay and benefits, hours of work, job design and assignment, setting of individual and group goals, career planning, training and development, culture of the workplace, comprise the personnel function and are an integral part of a manager's responsibility.

When an organization develops in size to a point where the manager is unable to carry out all of the personnel functions himself he hires someone to assist him in dealing with matters related to the human resources in the organization. The ultimate responsibility, however, for the employee and the work environment remains with the manager even though he may delegate some portions of this responsibility to others.

Pay and Benefits

Whether the organization is comprised of two or two thousand employees there are laws and regulations relating to employment practices that must be followed by the employer. Such laws and regulations relate to discrimination in hiring practices, the basic minimum wage, hours of work, vacation requirements, benefits, such as, unemployment insurance, hospital and medical insurance and pension plans, to name a few.

In a large bureaucracy such as the federal government personnel matters relating to terms and conditions of employment are governed by federal laws, policies and collective agreements.

Smaller organizations such as associations and bands are governed by laws and regulations enunciated by the Department of Labour and to some extent by provincial laws covering matters, such as, hospital and medical plans.

The Work Environment

The employer who does not go beyond the basic requirements of the law in employment practices is likely to experience a high turnover in staff to the detriment of his operation.

Studies of the work situation by behavioural scientists over the years have demonstrated that pay and benefits alone have limited value in making human resources effective. Rather they have found that the quality of life in the work place has a great bearing on the effectiveness of employees and the whole organization.

The physical and social environments are changing rapidly, people are better educated and through the media have a view of the world in miniature. As a result of increased awareness, people reject the idea of a job that has no meaning or significance to them. Rather they work better in a job situation where there is a possibility of realizing some of their potential.

Job Enrichment

The employee whose manager encourages him to set goals to contribute to the organization's goals, to plan, organize, implement and control his work tends to be in a position to find improved ways of operating and thus contribute to organizational effectiveness and to experience growth and development. The manager who runs his operation so that employees have freedom to work in this way tends to develop a sense of responsibility among his people.

Training and Development

Effective management doesn't happen by chance. It has to be worked at. Training and development, traditionally a personnel function, is a means of achieving improved management. Training and development occurs in many ways. It can occur through on-the-job training, formal training sessions, evening courses, and reading programs.

Training and Development (Cont'd)

Those who are trying to improve the work situation in which they function and to cope with human problems in organizations might find the current literature on organization behaviour of assistance.

Should you not find suitable texts on the subject in your local library you may wish to borrow some of the suggested readings on the attached list. This may be done by writing

The Librarian
Department of Indian Affairs and
Northern Development
55 St. Clair Avenue East
TORONTO, Ontario.
M4T 2P8.

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14 JULY, 1976

THE FINANCE FUNCTION IN GOVERNMENT
AND IN D. I. A. N. D.

SUMMARY OF TOPICS

- I. STRUCTURE OF FINANCE WITHIN GOVERNMENT
- II. FINANCIAL PLANNING
 - PROGRAM FORECAST
 - TREASURY BOARD PROGRAM LIAISON
 - TREASURY BOARD SUBMISSIONS
- III. FISCAL FORECASTS
- IV. BUDGETARY & COMMITMENT CONTROL
- V. DELEGATION OF FINANCIAL AUTHORITIES AND SIGNING AUTHORITIES.

I.

STRUCTURE OF FINANCE WITHIN GOVERNMENT

IN DEALING WITH THIS SUBJECT I BELIEVE WE SHOULD FIRST HAVE A BROAD UNDERSTANDING OF HOW GOVERNMENT OPERATES.

THE EXECUTIVE POWER IN CANADA IS VESTED IN THE QUEEN BY THE BRITISH NORTH AMERICA ACT 1867. IT CONSISTS OF:

- (A) STATUTORY POWER WHICH IS DERIVED FROM THE BNA ACT AND FROM LEGISLATION OF PARLIAMENT AND
- (B) PEROGATIVE POWER WHICH MAY BE DESCRIBED AS RESIDUAL AUTHORITY OF THE SOVEREIGN AS HEAD OF THE STATE.

THE GOVERNOR GENERAL IS THE QUEEN'S REPRESENTATIVE IN CANADA AND THE EXECUTIVE FUNCTION IS EXPRESSED ON BEHALF OF THE QUEEN BY THE GOVERNOR IN COUNCIL. THE GOVERNOR IN COUNCIL IS THE GOVERNOR GENERAL ACTING BY AND WITH THE ADVICE OF THE QUEEN'S PRIVY COUNCIL FOR CANADA. ALTHOUGH THE MEMBERS OF THE CANADIAN PRIVY COUNCIL WHEN DULY SWORN IN REMAIN PRIVY COUNCILLORS FOR LIFE, IN ACTUAL CONSTITUTIONAL PRACTICE THE EXECUTIVE BODY IS THE COMMITTEE OF THE PRIVY COUNCIL WHICH IS COMPOSED OF THOSE MEMBERS WHO MAKE UP THE ADMINISTRATION OF THE DAY, THAT IS THE CABINET. THE FORMAL ACTS OF THE GOVERNOR IN COUNCIL EMERGE AS ORDERS OR MINUTES OF COUNCIL SUPPLEMENTED WHEN NECESSARY BY A PROCLAMATION.

VG 1 NOW LET'S EXAMINE HOW THE CABINET OPERATES. BECAUSE IT IS NOT PRACTICAL FOR ALL CABINET MEMBERS TO ATTEND ALL MEETINGS AND DEAL WITH ALL MATTERS THE CABINET TODAY HAS FIVE (5) STANDING COMMITTEES WHICH DEAL WITH SPECIFIC AREAS OF GOVERNMENT ACTIVITIES NAMELY EXTERNAL POLICY AND DEFENSE, ECONOMIC POLICY, SOCIAL POLICY, SCIENCE CULTURE AND INFORMATION AND GOVERNMENT OPERATIONS. THESE ARE THE FUNCTIONAL CABINET COMMITTEES. THERE ARE ALSO FOUR (4) STANDING COORDINATING COMMITTEES NAMELY PRIORITIES AND PLANNING, TREASURY BOARD, LEGISLATION AND HOUSE PLANNING AND FEDERAL-PROVINCIAL RELATIONS. SPECIAL COMMITTEES ARE ESTABLISHED HAS REQUIRED.

THERE IS NATURALLY THE CLOSEST INTERACTION BETWEEN THE FUNCTIONAL COMMITTEES AND THE CABINET COMMITTEE ON PRIORITIES AND PLANNING. THE GOALS AND PRIORITIES AND THE POLICY DIRECTIONS DEVELOPED BY THE LATTER INFLUENCE THE FORMER COMMITTEES IN THEIR DELIBERATIONS AND THE PROGRAMS AND INTERNAL PRIORITIES DEVELOPED BY THE FUNCTIONAL COMMITTEES IN TURN BECOME ELEMENTS FOR CONSIDERATION BY THE PRIORITIES AND PLANNING COMMITTEE. DESPITE ITS KEY ROLL THE COMMITTEE ON PRIORITIES AND PLANNING IS NOT AN "INNER CABINET" SINCE LIKE OTHER COMMITTEES ITS RECOMMENDATIONS MUST GO TO THE CABINET FOR DEBATE AND FINAL DECISION. THE PRIME MINISTER CHAIRS THE COMMITTEE ON PRIORITIES AND PLANNING AND THE COMMITTEE ON FEDERAL-PROVINCIAL RELATIONS AND DOES NOT ATTEND OTHER COMMITTEES UNLESS QUITE UNUSUAL CIRCUMSTANCES MAKE IT DESIRABLE.

THREE (3) VERY IMPORTANT OFFICES OF THE FEDERAL GOVERNMENT WORK DIRECTLY WITH THE PRIME MINISTER, THE CABINET AND ITS COMMITTEES. THEY ARE THE PRIME MINISTER'S OFFICE, THE PRIVY COUNCIL OFFICE AND THE TREASURY BOARD. SINCE OUR DISCUSSION TODAY IS MAINLY SLANTED TOWARD FINANCE I DO NOT PROPOSE TO DISCUSS THE ROLL OF THE PRIME MINISTER'S OFFICE AND THE PRIVY COUNCIL OFFICE BUT WILL CONCENTRATE ON THE TREASURY BOARD.

UNDER SECTION 3 OF THE FINANCIAL ADMINISTRATION ACT THE TREASURY BOARD IS A COMMITTEE OF THE PRIVY COUNCIL IN OTHER WORDS IT IS A CABINET COMMITTEE APPOINTED BY STATUTE CONSISTING OF THE PRESIDENT OF THE TREASURY BOARD, THE MINISTER OF FINANCE AND FOUR OTHER MEMBERS OF THE QUEEN'S PRIVY COUNCIL FOR CANADA WHO ARE NOMINATED FROM TIME TO TIME BY THE GOVERNOR IN COUNCIL. THE OPERATIONAL ARM OF THE TREASURY BOARD NAMELY THE SECRETARIAT IS HEADED BY THE SECRETARY OF THE TREASURY BOARD. THE SECRETARIAT ORGANIZATIONAL STRUCTURE COMPRISING FIVE (5) BRANCHES IS PORTRAYED ON THE NEXT SLIDE. (READ OUT ORGANIZATION) THE RESPONSIBILITIES OF THE SECRETARIAT ARE AS FOLLOWS:

16 2

16 3

- (A) EXAMINATION OF THE PROPOSED SPENDING PROGRAMS OF ALL GOVERNMENT MINISTRIES, DEPARTMENTS AND AGENCIES.
- (B) MAKES RECOMMENDATIONS TO THE TREASURY BOARD ON THE PROPOSED EXPENDITURES.
- (C) KEEPS UNDER CONSTANT REVIEW THE DEVELOPMENT OF APPROVED PROGRAMS IN ORDER TO ENSURE EFFECTIVE EXPENDITURE MANAGEMENT.

(D) RECOMMENDS PUBLIC SERVICE PERSONNEL MANAGEMENT POLICY TO THE TREASURY BOARD IN THE AREAS OF MANPOWER UTILIZATION, COMPENSATION, PENSIONS AND INSURANCE AND STAFF RELATIONS AS WELL AS NEGOTIATING THE TERMS OF COLLECTIVE AGREEMENTS WITH THE VARIOUS BARGAINING AGENTS.

IT IS ALSO CONCERNED WITH THE DEVELOPMENT OF PROGRAM EVALUATION TECHNIQUES, MANAGEMENT IMPROVEMENT PRACTICES AND EFFICIENT ADMINISTRATION THROUGHOUT THE GOVERNMENT.

THE FINANCE AND ADMINISTRATION FUNCTION OF D.I.A.N.D. PREDOMINANTLY INTERACTS WITH THE PROGRAM AND ADMINISTRATIVE POLICY BRANCHES. BEFORE ENDING THIS DISCUSSION I WOULD LIKE TO TOUCH BRIEFLY ON THE ROLES OF THE DEPARTMENT OF FINANCE AND THE DEPARTMENT OF NATIONAL REVENUE.

DEPARTMENT OF FINANCE

THE MINISTER HAS OVERALL RESPONSIBILITY FOR THE MANAGEMENT OF THE CONSOLIDATED REVENUE FUND AND THE SUPERVISION CONTROL AND DIRECTION OF ALL MATTERS RELATING TO THE FINANCIAL AFFAIRS OF CANADA WHICH BY LAW HAVE NOT BEEN ASSIGNED TO THE TREASURY BOARD OR TO ANY OTHER MINISTER. MORE PRECISELY THE OBJECTIVES OF THE DEPARTMENT ARE:

(A) TO ANALYZE AND APPRAISE THE ECONOMIC SITUATION AND PROSPECTS IN CANADA AND IN OTHER COUNTRIES OF INTEREST TO CANADA

VG 4

- (B) TO ADVISE ON FISCAL AND OTHER ECONOMIC POLICIES AND MEASURES
- (C) TO RECOMMEND MEASURES TO MEET THE REQUIREMENTS OF THE GOVERNMENT WITHIN APPROPRIATE FISCAL POLICIES, BY ACTION IN EXPENDITURE, LENDING, TAXATION, BORROWING AND CASH MANAGEMENT.
- (D) TO ADVISE ON MATTERS CONCERNING THE BALANCE OF PAYMENTS, EXCHANGE RESERVES, INTERNATIONAL MONETARY AND FINANCIAL ARRANGEMENTS, COINAGE, AND RELATED MATTERS
- (E) TO PARTICIPATE IN INTERNATIONAL NEGOTIATIONS AND OTHER MEETINGS RELATED TO FINANCE, TAXATION AND ECONOMIC DEVELOPMENT
- (F) TO ADVISE ON POLICIES RELATING TO FEDERAL-PROVINCIAL FISCAL AND ECONOMIC RELATIONS
- (G) TO ADMINISTER STATUTES RELATING TO GUARANTEED LOANS, THE CAPITAL BUDGETS AND FINANCING OF CROWN CORPORATIONS AND AGENCIES.

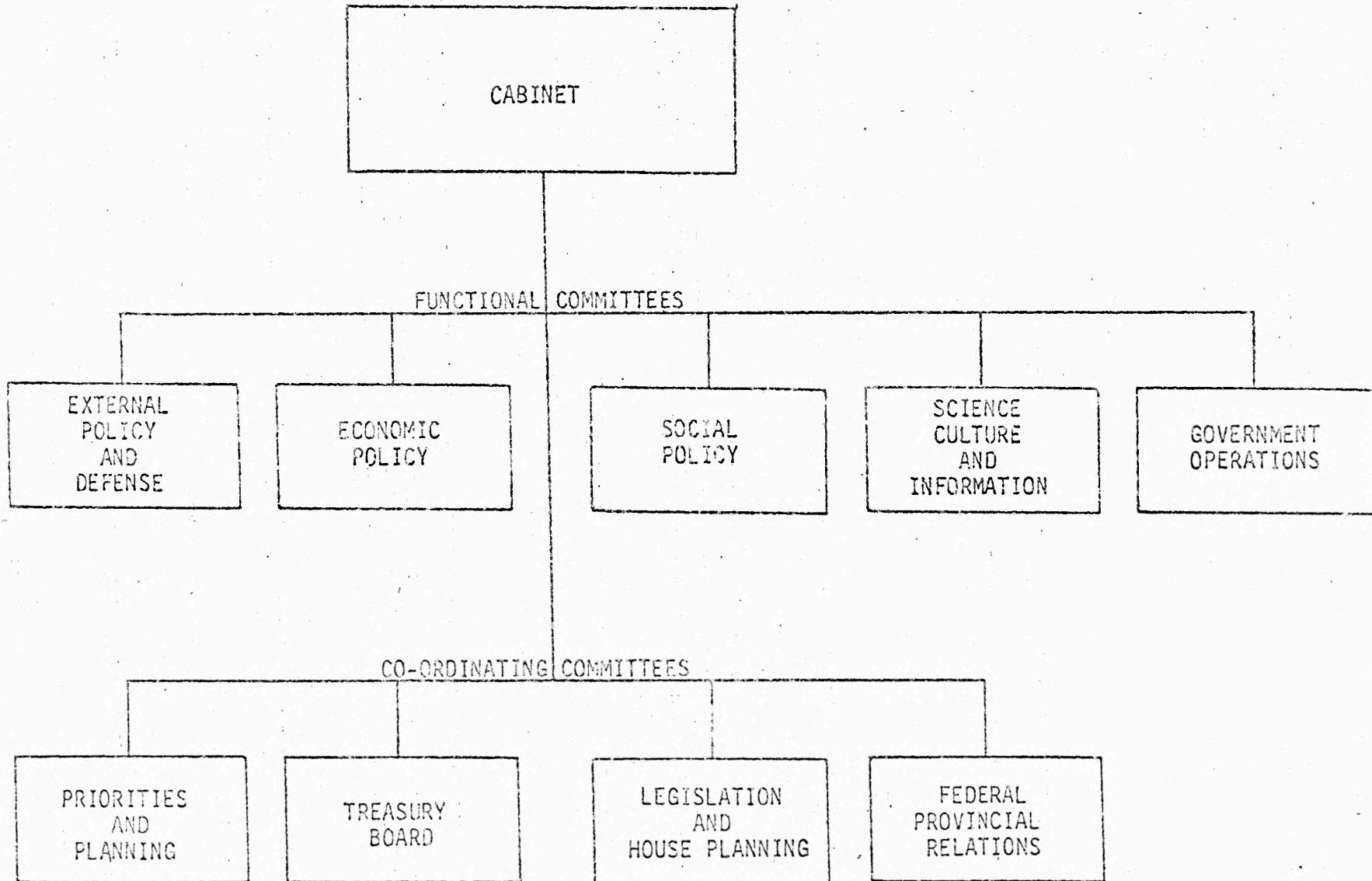
DEPARTMENT OF NATIONAL REVENUE

THE DEPARTMENT OF NATIONAL REVENUE (CUSTOMS AND EXISE) IS RESPONSIBLE FOR

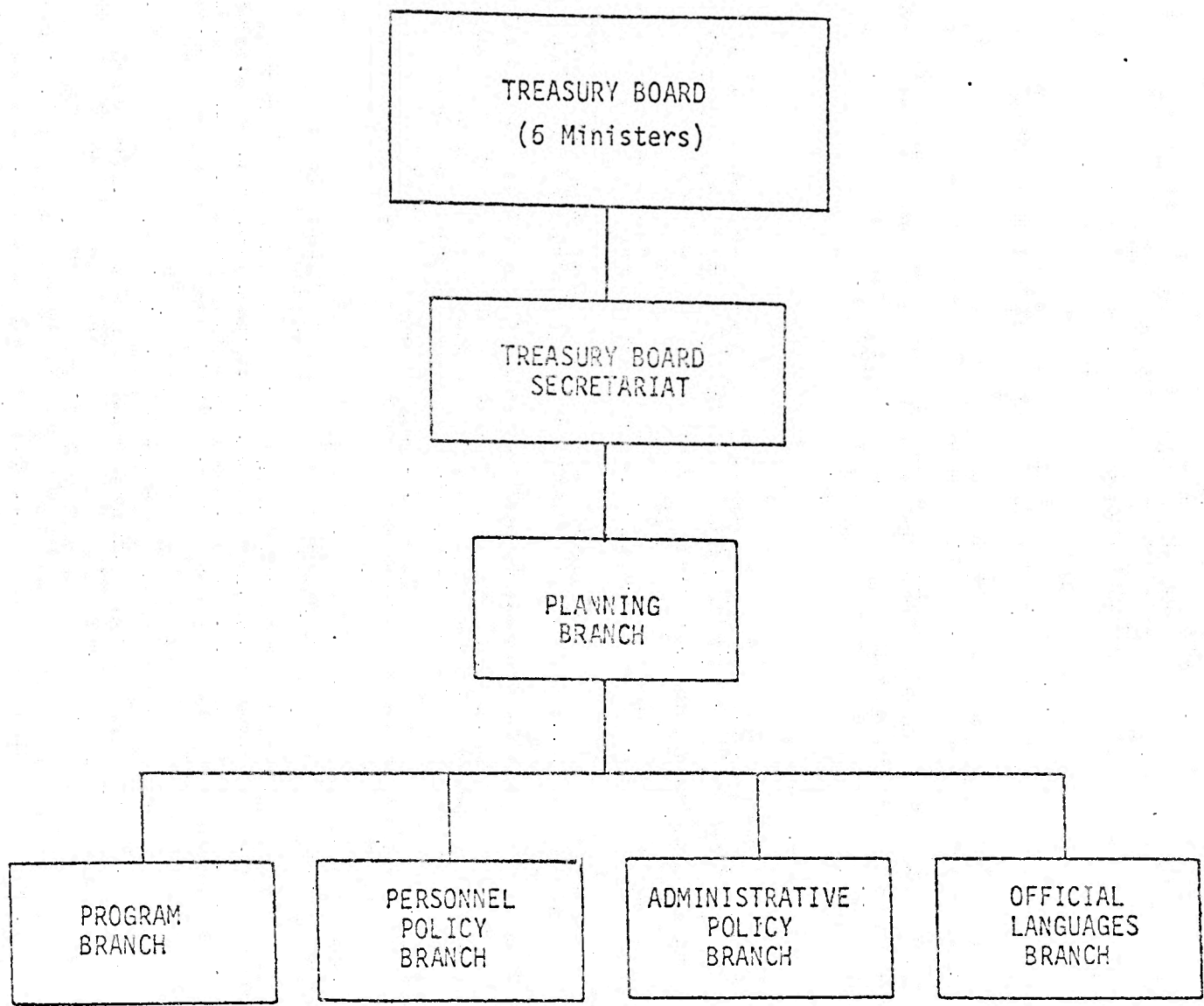
- G 5
- (A) THE ASSESSMENT, COLLECTION AND CONTROL OF DUTIES AND TAXES ON IMPORTED AND DOMESTICALLY PRODUCED GOODS
 - (B) THE CONTROL OVER INTERNATIONAL MOVEMENTS OF PERSONS AND GOODS.

FINALLY, IN CLOSING, BY MEANS OF THE NEXT VU-GRAPH WE WILL
TRACE A TYPICAL FLOW OF A PROGRAM FORECAST FROM TIME OF
SUBMISSION TO THE T.B. SECRETARIAT, APPROVAL, PREPARATION
OF MAIN ESTIMATES, ISSUE OF INTERIM SUPPLY, VOTING ESTIMATES
AND FINAL ALLOTMENTS TO DEPARTMENT.

VG E



THE ABOVE STANDING COMMITTEES ARE SUPPLEMENTED BY SPECIAL COMMITTEES AS REQUIRED



RESPONSIBILITIES OF TREASURY BOARD SECRETARIAT

- (A) EXAMINES THE PROPOSED SPENDING PROGRAMS OF ALL GOVERNMENT MINISTRIES, DEPARTMENTS AND AGENCIES;
- (B) MAKES RECOMMENDATIONS TO THE TREASURY BOARD ON PROPOSED EXPENDITURES;
- (C) KEEPS UNDER CONSTANT REVIEW THE DEVELOPMENT OF APPROVED PROGRAMS IN ORDER TO ENSURE EFFECTIVE EXPENDITURE MANAGEMENT; AND
- (D) RECOMMENDS PUBLIC SERVICE PERSONNEL MANAGEMENT POLICY TO THE TREASURY BOARD IN THE AREAS OF MANPOWER UTILIZATION, COMPENSATION, PENSIONS AND INSURANCE, AND STAFF RELATIONS (AS WELL AS NEGOTIATING THE TERMS OF COLLECTIVE AGREEMENTS WITH THE VARIOUS BARGAINING AGENTS).

IT IS CONCERNED WITH THE DEVELOPMENT OF PROGRAM EVALUATION TECHNIQUES, MANAGEMENT IMPROVEMENT PRACTICES AND EFFICIENT ADMINISTRATION THROUGHOUT THE GOVERNMENT.

RESPONSIBILITIES OF DEPARTMENT OF FINANCE

- (A) TO ANALYSE AND APPRAISE THE ECONOMIC SITUATION AND PROSPECTS IN CANADA AND IN OTHER COUNTRIES OF INTEREST TO CANADA;
- (B) TO ADVISE ON FISCAL AND OTHER ECONOMIC POLICIES AND MEASURES;
- (C) TO RECOMMEND MEASURES TO MEET THE REQUIREMENTS OF THE GOVERNMENT WITHIN APPROPRIATE FISCAL POLICIES, BY ACTION IN EXPENDITURE, LENDING, TAXATION, BORROWING AND CASH MANAGEMENT;
- (D) TO ADVISE ON MATTERS CONCERNING THE BALANCE OF PAYMENTS, EXCHANGE RESERVES, INTERNATIONAL MONETARY AND FINANCIAL ARRANGEMENTS, COINAGE, AND RELATED MATTERS;
- (E) TO PARTICIPATE IN INTERNATIONAL NEGOTIATIONS AND OTHER MEETINGS RELATED TO TRADE, FINANCE, TAXATION, AND ECONOMIC DEVELOPMENT, TO CARRY ON DISCUSSIONS WITH PROVINCIAL AUTHORITIES AND TO PAY GRANTS TO PROVINCIAL GOVERNMENTS AND GRANTS-IN-LIEU OF TAXES TO MUNICIPALITIES, AND
- (F) TO ADVISE ON POLICIES RELATING TO FEDERAL-PROVINCIAL FISCAL AND ECONOMIC RELATIONS,
- (G) TO ADMINISTER STATUTES RELATING TO GUARANTEED LOANS, THE CAPITAL BUDGETS AND FINANCING OF CROWN CORPORATIONS AND AGENCIES.

RESPONSIBILITIES OF DEPARTMENT OF NATIONAL REVENUE

- (A) THE ASSESSMENT, COLLECTION, AND CONTROL OF DUTIES AND TAXES ON IMPORTED AND DOMESTICALLY PRODUCED GOODS; AND
- (B) THE CONTROL OVER INTERNATIONAL MOVEMENTS OF PERSONS AND GOODS.

BANDS /
DISTRICTS

DEPARTMENTS

TREASURY BOARD

CABINET COMMITTEE
PRIORITIES & PLAN

CABINET

PARLIAMENT

VG 6
GOVERNOR GENERAL

SUBMITS PROGRAM
FORECAST

CONSOLIDATES
ALL DEPARTMENTS

SETS CEILINGS

APPROVES
CEILINGS &
ADVISES
TREASURY BOARD

ADVISES
DEPARTMENTS

PREPARES
ESTIMATES

REVIEW &
APPROVAL

APPROVAL

(INTERIM SUPPLY)

(INTERIM SUPPLY)

TABLED
IN COMMONS

REVIEWED
IN
ESTIMATES
COMMITTEE

COMMONS
VOTE

SENATE
VOTE

SIGNS
WARRANTS

BUDGET

ADVISES
DEPARTMENTS OF
ALLOTMENTS

II. FINANCIAL PLANNING

IN GOVERNMENT I FIND THAT THE WORD PROGRAM IS GREATLY OVERWORKED AND CAN MEAN MANY THINGS. FOR INSTANCE EACH POLITICAL PARTY HAS A PROGRAM WHICH IT SUBMITS TO THE ELECTORATE EITHER AT ELECTION TIME OR AS AN OUTPUT OF PARTY CONVENTIONS. THE PARTY IN POWER HAS A PROGRAM AND WITHIN CABINET IT IS DECIDED WHICH DEPARTMENT OR AGENCY WILL CARRY OUT EACH SEGMENT OF ITS PROGRAM. D.I.A.N.D. IS RESPONSIBLE FOR D.I.A.N.D. SERVICES PROGRAM WITHIN THE GOVERNMENT'S OVERALL PROGRAM AND WITHIN D.I.A.N.D. AS YOU ARE AWARE THERE ARE SCORES OF PROGRAMS.

HAVING SAID ALL THIS IT SHOULD NOT BE A SURPRISE TO BE TOLD THAT EACH DEPARTMENT OR AGENCY IS REQUIRED TO SUBMIT THE SUM TOTAL OF ALL ITS PROGRAMS IN A DOCUMENT CALLED A PROGRAM FORECAST. THEN IT IS AXIOMATIC THAT THE SUM TOTAL OF ALL DEPARTMENTAL PROGRAM FORECASTS BECOMES THE PROPOSED PROGRAM OF THE GOVERNMENT FOR THE FISCAL YEAR IN QUESTION. BEFORE INDIVIDUAL DEPARTMENTS SUBMIT THEIR PROGRAM FORECAST THEY RECEIVE A CABINET MINUTE INDICATING THE PRIORITIES IDENTIFIED BY THE GOVERNMENT AS BASIC PLANNING GUIDANCE. THIS GUIDANCE IS THE RESULT OF CONSIDERATION BY THE CABINET COMMITTEE ON PRIORITIES AND PLANS OF THE VARIOUS PROPOSALS BY CABINET MEMBERS AS TO THE OVERALL DIRECTION IN WHICH THE GOVERNMENT SHOULD AIM. INDIVIDUAL MINISTERS THEREFORE DIRECT THEIR

DEPARTMENTS TO GIVE CERTAIN PROGRAMS EMPHASIS OVER OTHERS IN THEIR BASIC PLANNING AND TO COMPILE PROGRAM PROPOSALS ACCORDINGLY.

THE EXISTENCE OF OVERALL GUIDANCE FROM THE CABINET DOESN'T USUALLY PREVENT INDIVIDUAL MINISTERS FROM SUBMITTING A PROGRAM FORECAST WHICH CONTAINS DEMANDS FOR RESOURCES WITH WHICH TO CARRY OUT THEIR PET PROJECTS DESPITE OVERALL GUIDANCE. IT FOLLOWS THAT THERE IS CONSIDERABLE COMPETITION AMONG DEPARTMENTS FOR THE LIMITED RESOURCES AVAILABLE TO THE GOVERNMENT AS A WHOLE. THE GOVERNMENT, THROUGH ITS AGENT THE TREASURY BOARD, REVIEWS THESE DEPARTMENTAL PROGRAMS AND THEIR PROJECTED COST AND DECIDES WHETHER TO ACCEPT OR CURTAIL THE PROPOSED PROGRAMS. THESE DECISIONS ULTIMATELY ARE REFLECTED IN THE MAIN ESTIMATES OF EACH DEPARTMENT WHICH ARE REVIEWED SUBSEQUENTLY BY COMMITTEES OF THE HOUSE OF COMMONS BEFORE APPROVAL IS GIVEN BY THE HOUSE TO SPEND THE AMOUNTS CONTAINED IN THE MAIN ESTIMATES FOR THE PROGRAMS OUTLINED.

IT IS IMPORTANT TO KEEP IN MIND THAT THE MEMBERS OF PARLIAMENT APPROVE THE EXPENDITURES THAT ARE TO BE MADE AGAINST SPECIFIC PROGRAMS. IN THE FINAL ANALYSIS NO ONE BUT PARLIAMENT HAS THE RIGHT TO CHANGE THESE PROGRAMS OR THE TOP LIMITS OF EXPENDITURE.

HAVING QUICKLY AND BROADLY COVERED THE GOVERNMENT APPROACH TO FINANCIAL PLANNING LET'S DISCUSS WHERE D.I.A.N.D. FITS INTO THIS SCHEME OF THINGS. AS YOU CAN SEE TWO VERY IMPORTANT DOCUMENTS AND DUE DATES ARE IMPOSED

ON THE DEPARTMENT BY THE GOVERNMENT'S PLANNING PROCESS.
THEY ARE THE PROGRAM FORECAST AND MAIN ESTIMATES.

PROGRAM FORECAST

THIS DOCUMENT IS REQUIRED TO BE SUBMITTED TO TREASURY BOARD FULLY DOCUMENTED IN THE PRESCRIBED FORMAT NOT LATER THAN MARCH 31ST, COVERING THE PROGRAM FORECAST YEAR PLUS TWO SUCCEEDING YEARS.

THE BASIC PRINCIPLE BEHIND THE PROGRAM FORECAST APPROACH IS THAT DEPARTMENTS WOULD AT THE HIGHEST LEVEL MAKE BROAD DECISIONS AS TO THE EMPHASIS TO BE GIVEN TO VARIOUS PROGRAMS AND THEIR ACTIVITIES AND PUT TOGETHER A PROGRAM FORECAST WHICH WOULD BE A BROAD OUTLINE ONLY. THIS WOULD BE PRICED USING STANDARD COSTS DEVELOPED WITHIN THE DEPARTMENT CONCERNED. THIS WOULD THEN BE PUT TOGETHER WITH A NARRATIVE EXPLAINING THE OBJECTIVES AND THE MEANS BY WHICH THE OBJECTIVES WOULD BE ACHIEVED ALONG WITH AN INDICATION OF VARIOUS ALTERNATIVES CONSIDERED, WITH THE AIM OF GETTING A RECOMMENDATION BY THE TREASURY BOARD TO THE CABINET THAT THE PROGRAMS AS PROPOSED BE ACCEPTED BY THE GOVERNMENT. CONTINUING WITH THE BASIC CONCEPT THE CONSIDERATION BY THE CABINET WOULD RESULT IN THE ESTABLISHMENT OF A CEILING IN TERMS OF EXPENDITURES AND MANYEARS RELATED TO THE PROGRAM PROPOSALS CONTAINED IN THE PROGRAM FORECAST. THIS APPROACH IS REFERRED TO AS THE TOP DOWN METHOD IN WHICH THE NATIONAL HEADQUARTERS OF THE DEPARTMENT PREPARES THE OVERALL PLAN. THE PREPARATION OF THE OPERATIONAL PLAN WITH

INDIVIDUAL RESPONSIBILITY CENTRE BUDGETS IS NOT CARRIED OUT UNTIL THE GOVERNMENT CEILING IS ESTABLISHED. THE OPERATIONAL PLAN THEN IS IN EFFECT THE PREPARATION OF THE MAIN ESTIMATES.

THIS TOP DOWN APPROACH IS WORKABLE IN DEPARTMENTS WHOSE PROGRAMS ARE OPEN TO DISCRETIONARY JUDGMENT AS TO MAGNITUDE E.G. THE FITNESS AND AMATEUR SPORT PROGRAM OF NATIONAL HEALTH AND WELFARE IS AMENABLE TO JUDGMENTS TO SPEND EITHER 2 MILLION DOLLARS OR 10 MILLION DOLLARS IN A GIVEN YEAR. IN OTHER WORDS THE CONTROL OF THE PROGRAM SIZE RESTS WITH THE GOVERNMENT.

THIS APPROACH IS DIFFICULT TO APPLY IN D.I.A.N.D. BECAUSE THE AMOUNT OF EXPENDITURES FOR OUR PROGRAM DO NOT REST ENTIRELY WITH THE GOVERNMENT BUT IS LARGELY DICTATED BY THE DEMANDS MADE ON US BY OUR CLIENTELE. MOREOVER IT IS DIFFICULT TO GET A REAL COMMITMENT FROM A MANAGER IN AN OPERATING SITUATION SUCH AS OURS WHEN HE HAS NOT HAD AN OPPORTUNITY TO PARTICIPATE IN DEVELOPING HIS BUDGET. WE BELIEVE THEREFORE THAT THE TOP DOWN APPROACH DOES NOT APPLY ENTIRELY TO D.I.A.N.D.

IDEALLY FINANCIAL PLANNING SHOULD FOLLOW AND REFLECT THE RESOURCES REQUIRED TO CARRY OUT THE PLANS DECIDED UPON AND CHARTERED BY THE CORPORATE AND BUSINESS PLANNING PROCESSES. IN BUSINESS PLANNING THE FINANCIAL PLANNING EXERCISE FOR THE DEPARTMENT COMMENCES IN SEPTEMBER EACH YEAR AT WHICH TIME THE DEPUTY MINISTER ISSUES THE PROGRAM FORECAST CALL.

AT EACH LEVEL REVIEWS TAKE PLACE SO THAT THE FINAL CONSOLIDATION PROVIDES THE TOTAL RESOURCES REQUIRED TO MEET THE DEPARTMENT'S PLANS. THESE ARE SUBMITTED IN THE REQUIRED FORMAT TO TREASURY BOARD BY MARCH 31ST. THE DEPARTMENT'S EXPRESSED POLICY REGARDING PREPARATION OF THE PROGRAM FORECAST STATES THAT ALL PLANS AND RESOURCE NEEDS WILL BE IDENTIFIED SO AS TO AVOID THE NECESSITY OF GOING THROUGH THE SAME PROCESS FOR MAIN ESTIMATES. THIS DECISION WAS TAKEN SOME TWO YEARS AGO TO AVOID UNDUE AMOUNTS OF TIME BEING SPENT ON THE PREPARATION OF PROGRAM FORECAST, MAIN ESTIMATES AND BUDGETS.

FOLLOWING SUBMISSION OF THE PROGRAM FORECAST TO TREASURY BOARD THE FINANCE FUNCTION AT ALL LEVELS COMMENCES MORE ANALYSIS IN DEPTH BOTH IN PREPARATION FOR THE DEPUTY MINISTER'S FINANCIAL REVIEW AND ALSO TO ANSWER THE MANY QUESTIONS RAISED BY THE TREASURY BOARD PROGRAM BRANCH. USUALLY BY THE END OF JUNE WE HAVE A ROUGH INDICATION OF WHAT THE PROGRAM OFFICER IS PREPARED TO RECOMMEND TO THE TREASURY BOARD SECRETARIAT. EARLY IN JULY THE DEPUTY MINISTER COMMENCES HIS FINANCIAL REVIEW OF NATIONAL HEADQUARTERS DIRECTORATES AND THE REGIONS. BASED ON THESE REVIEWS THE DEPUTY MINISTER CAN DETERMINE WHAT AMENDMENTS MUST BE MADE TO THE PROGRAM FORECAST TO MEET HIS PERSONAL GOALS AND IN ORDER TO COMPLY WITH THE RECOMMENDATIONS OF THE SECRETARIAT TO THE TREASURY BOARD. THE DECISION OF THE TREASURY BOARD IS RELAYED BY LETTER TO THE DEPARTMENT IN AUGUST INDICATING THE CEILINGS AND ALLOTMENTS TO BE INCLUDED IN THE MAIN ESTIMATES.

TREASURY BOARD PROGRAM LIAISON

THE FA ACT EMPOWERS TREASURY BOARD, A COMMITTEE OF CABINET AS STATED EARLIER, TO EXERT FINANCIAL SUPERVISION OVER GOVERNMENT EXPENDITURES AND TO PRESCRIBE FORMAT AND POLICY CONCERNING DEPARTMENTAL PROGRAMS AND THE ASSIGNMENT OF RESOURCES WITH WHICH TO CARRY THEM OUT. THE COMMITTEE HAS A LARGE SECRETARIAT (T.B. STAFF) TO SIFT THROUGH AND ANALYSE ALL DEPARTMENTAL PROPOSALS AND RECOMMEND TO THE BOARD APPROVAL OR OTHERWISE.

THE MAIN ROLE OF THE PROGRAM BRANCH OF THE T.B. STAFF IS RELATED TO THE ASSIGNMENT OF RESOURCES TO DEPARTMENTS THROUGH THE PROGRAM FORECAST AND ESTIMATES PROCESS. APPROVED ESTIMATES AUTHORIZE THE DEPARTMENT TO INCUR EXPENSES WITHIN CERTAIN MONETARY LIMITS TO CARRY OUT APPROVED PLANS AND PROJECTS.

IN INSTANCES WHERE PLANNED EXPENDITURES WILL EXCEED THESE DELEGATED MONETARY LIMITS, OR WHERE PROJECTS NOT INCLUDED IN THE APPROVED PROGRAM FORECAST OR ESTIMATES ARE DESIRED, AUTHORITY MUST BE OBTAINED FROM TREASURY BOARD IN ADVANCE. TO OBTAIN SUCH AUTHORITY, TREASURY BOARD SUBMISSIONS MUST BE PREPARED FOR SIGNATURE OF THE MINISTER OR DEPUTY MINISTER. REQUIRED.

EXPERIENCE HAS PROVEN THAT THERE MUST BE A POINT OF CO-ORDINATION OF SUBMISSIONS TO ENSURE:

VG 1

- (A) A SUBMISSION IS IN FACT NECESSARY
- (B) PROPER FORMAT IS FOLLOWED
- (C) ALL INTERESTED FUNCTIONS HAVE PARTICIPATED
- (D) FUNDS ARE AVAILABLE (THE SUBMISSIONS DO NOT GENERATE FUNDS, ONLY AUTHORITY).
- (E) FOLLOW UP OF OUTSTANDING SUBMISSIONS.

WITHIN THE TREASURY BOARD SECRETARIAT THERE IS A PROGRAM ANALYST ASSIGNED TO REVIEW AND QUESTION ALL D.I.A.N.D. SUBMISSIONS TO DETERMINE THE VALIDITY OF THE REQUEST AND THE NEED FOR THE EXPENDITURE. ON OCCASIONS THE CHIEF - FINANCIAL LIAISON MUST GET INVOLVED IN DETAILED DISCUSSIONS WITH THE PROGRAM ANALYST TO CONVINCHE HIM OF THE NEED, AND TO OBTAIN HIS CONCURRENCE TO RECOMMEND APPROVAL OF THE SUBMISSION TO TREASURY BOARD.

AS AN OUTGROWTH OF THE FUNCTION OF CO-ORDINATING SUBMISSIONS TO TREASURY BOARD MANY QUESTIONS ARISE CONCERNING THE NEED FOR SUBMISSIONS OR CONVERSELY THE EXTENT OF DEPARTMENTAL AUTHORITY TO ACT INDEPENDENTLY. AS A RESULT THE CHIEF - FINANCIAL LIAISON MUST HAVE BROAD KNOWLEDGE OF AUTHORITATIVE AND GOVERNMENT POLICY AND HIS OFFICE HAS BECOME A DEPARTMENTAL POINT OF REFERENCE WITH

RESPECT TO AUTHORITIES. WE WILL DEAL SPECIFICALLY WITH AUTHORITIES LATER. IN THE MEANTIME A WORD OR TWO ON THE GENERAL QUESTION OF LIAISON WITH T.B. SECRETARIAT STAFF IS APPROPRIATE.

THE JOB OF THE T.B. PROGRAM OFFICER IS TO BRIEF HIS MASTERS ON THE WISDOM OF D.I.A.N.D. PROPOSALS AND THE LOGICAL RELATIONSHIP BETWEEN THEM AND OVERALL GOVERNMENT OBJECTIVES. CONSEQUENTLY, THE BETTER THE BRIEFING WE GIVE HIM THE BETTER CHANCE THERE IS FOR T.B. APPROVAL. THE CONVERSE OF THAT IS OBVIOUS.

IN THE PREPARATION OF PROGRAM FORESCAST AND ESTIMATES SUBMISSIONS, AS STATED EARLIER, IT IS EXTREMELY IMPORTANT THAT SUFFICIENT EXPLANATORY DETAIL IS PROVIDED FOR INCLUSION IN THOSE SUBMISSIONS SINCE THE CHIEF - FINANCIAL LIAISON MUST DISCUSS AND NEGOTIATE WITH THE T.B. PROGRAM ANALYST TO ENSURE THAT THE SECRETARIAT'S RECOMMENDATIONS TO THE TREASURY BOARD ARE SUBSTANTIAL ENOUGH TO OBTAIN BOARD APPROVAL OF OUR PROGRAM AND REQUESTS FOR FUNDS AND MANPOWER. IT FOLLOWS THAT THE T.B. PROGRAM ANALYST AND OUR CHIEF - FINANCIAL LIAISON ARE A VERY CLOSE-WORKING TEAM IN MANY INSTANCES WHEN THE TREASURY BOARD REQUESTS INFORMATION CONCERNING D.I.A.N.D. OPERATIONS. IN SUCH INSTANCES CARE MUST BE TAKEN TO ENSURE THAT THE ANSWERS SUPPLIED WILL SATISFY THE TREASURY BOARD BUT NOT PLACE D.I.A.N.D. IN A POOR LIGHT OR EMBARRASSING POSITION. IT IS THIS ASPECT THAT MAKES IT IMPERATIVE THAT THE MINISTER SPEAKS AS

ONE VOICE TO THE T.B. AND THAT A SINGLE CONTACT POINT BE AVAILABLE TO THE PROGRAM OFFICER. WE DISCOURAGE MULTIPLE D.I.A.N.D. CONTACTS WITH T.B. BECAUSE OF THE RISKS OF MISUNDERSTANDINGS WHICH COULD RESULT.

VG 2 : TREASURY BOARD SUBMISSIONS

VG 3 : T.B. SUBMISSIONS REQUIRING GOVERNOR IN COUNCIL APPROVAL

NEED FOR POINT OF COORDINATION

TO ENSURE:

- (A) A SUBMISSION IS IN FACT NECESSARY
- (B) PROPER FORMAT IS FOLLOWED
- (C) ALL INTERESTED FUNCTIONS HAVE PARTICIPATED
- (D) FUNDS ARE AVAILABLE (SUBMISSIONS DO NOT GENERATE FUNDS ONLY AUTHORITY)
- (E) FOLLOW UP OF OUT STANDING SUBMISSIONS.

T.B. SUBMISSIONS

ITEMS FOR H.H. SIGNATURE

ESTIMATES OR SUPPLEMENTARY ESTIMATES

MAJOR POLICY CHANGES

CONTRACTS OVER \$1,000,000 LOWEST TENDER
500,000 NOT LOWEST

ADVERTISING CONTRACT SUBMISSIONS

GOVERNOR IN COUNCIL ITEMS

ALL OTHERS FOR SIGNATURE OF DPMG

MUST INDICATE COST AND FUND AVAILABILITY

PROGRAM APPROVAL VS CONTRACT APPROVAL

"PROPOSAL" CONSTITUTES WHAT IS APPROVED

- NOT INDIVIDUAL REMARKS

BILINGUAL FORMAT

T.B. SUBMISSIONS REQUIRING GOVERNOR IN COUNCIL APPROVAL

AMENDMENT TO REGULATIONS

PAYMENT OF A GRANT

SETTLEMENT OF DAMAGE CLAIM

SALARY ON APPOINTMENT

PENSIONS

EX GRATIA PAYMENT

DELETION OF DEBTS DUE THE CROWN

III.

FISCAL FORECASTS

I WOULD LIKE TO NOW DEAL WITH THE SUBJECT OF FISCAL FORECASTS WHICH CONSTITUTE A VITAL COMPONENT OF FINANCIAL MANAGEMENT.

THERE ARE SEVERAL REASONS FOR PREPARING FISCAL FORECASTS WHICH RELATE TO BOTH OUR INTERNAL MANAGEMENT REQUIREMENTS AND EXTERNAL DEMANDS MADE ON THE DEPARTMENT. THEY ARE AS FOLLOWS:

- A) THE FORECASTS REFERRED TO EARLIER THAT ARE MADE BY THE MINISTER OF FINANCE MUST BE BASED ON ADVICE RECEIVED FROM ALL THE DEPARTMENTS OF GOVERNMENT. CONSEQUENTLY, WE ARE REQUIRED TO ADVISE THE DEPARTMENT OF FINANCE ONCE A MONTH OF OUR EXPECTATIONS FOR THE YEAR AS A WHOLE AS CONCERNS REVENUE AND EXPENDITURES.
- B) PERIODIC REVIEWS ARE MADE BY THE CABINET COMMITTEE ON GOVERNMENT OPERATIONS BASED ON FORECASTS WE PROVIDE WHICH INDICATE THE ADEQUACY OF PARLIAMENTARY APPROPRIATIONS AND THE PROBABLE NECESSITY FOR SUPPLEMENTARY ESTIMATES. THESE ARE SUBMITTED TO THE TREASURY BOARD BEFORE THEY ARE CONSOLIDATED WITH THE FORECASTS OF OTHER DEPARTMENTS AND PRESENTED TO THE CABINET COMMITTEE ON GOVERNMENT OPERATIONS IN WHAT IS REFERRED TO AS THE QUARTERLY FINANCIAL REVIEW.

- c) THE DEPUTY MINISTER REQUIRES A MONTHLY STATEMENT OF REVENUE AND EXPENSE EXPERIENCED TO DATE AND A FORECAST OF THE TOTAL PICTURE FOR THE YEAR AND AN EXAMINATION OF THE EXTENT TO WHICH THE DEPARTMENT IS ADHERING TO THE FINANCIAL PLAN.

- d) IN PARALLEL WITH THE NEED TO EXAMINE THE FINANCIAL PROSPECTS FOR THE YEAR FOR THE DEPARTMENT AS A WHOLE, EACH MANAGER AT SUCCESSIVELY LOWER LEVELS IN THE ORGANIZATION HAS THE SAME REQUIREMENT TO LOOK AHEAD TO SEE HOW THEY ARE LIKELY TO END THE YEAR FROM THE FINANCIAL POINT OF VIEW BASED ON PERFORMANCE TO DATE AND CURRENT REVENUE AND SPENDING LEVELS.

TO MEET THIS NEED, A DOCUMENT CALLED THE FISCAL FORECAST IS PREPARED ON A MONTHLY BASIS BY EACH MANAGER WHO IS RESPONSIBLE FOR A BUDGET. THIS IS SUBMITTED TO THE NEXT LEVEL WHERE IT IS ROLLED TOGETHER WITH OTHER MANAGERS AND SUCCESSIVE ROLL UPS ARE MADE TO EVENTUALLY PRODUCE A DEPARTMENTAL TOTAL. THIS FISCAL FORECAST IS PREPARED ON A FORM WHICH I WILL NOW SHOW YOU ON A SLIDE.

ONE MIGHT VIEW THE FISCAL FORECAST AS A FINANCIAL PERFORMANCE REPORT WHICH INCLUDES A LOOK BACK AT ACTUAL EXPENDITURES, A LOOK AT THE PRESENT IN TERMS OF COMMITMENTS ALREADY UNDERTAKEN AND A LOOK AT THE FUTURE IN TERMS OF FUTURE PLANS. ANY PERFORMANCE REPORT WORTH TALKING ABOUT IS NOT ONLY SUBMITTED BY A MANAGER TO HIS BOSS BUT IT MUST ALSO BE ACCOMPANIED BY SOME KIND OF EXPLANATION THAT RELATES TO THE PERFORMANCE RESULTS AND PREDICTIONS SHOWN THEREON. THE 4-PART EXPLANATION IS COMPILED AS FOLLOWS:

- A) THE MANAGER MUST ACKNOWLEDGE THE VARIANCE THAT IS REFLECTED IN HIS FORECAST.
- B) HE MUST INDICATE THE CAUSE OR CAUSES OF THIS VARIANCE.
- C) HE MUST IDENTIFY THE ACTION HE HAS TAKEN OR IS TAKING OR PLANS TO TAKE IN ORDER TO CORRECT THE VARIANCE.
- D) HE MUST PREDICT THE RESULTS OF THE ACTIONS HE HAS UNDERWAY OR PLANNED BY WAY OF AN INDICATION OF HOW THE VARIANCE WILL BE CORRECTED BY THE TIME THE END OF THE YEAR ARRIVES.

IF THE MANAGER IS IN A POSITION WHEREBY HE CANNOT ELIMINATE THE VARIANCE BY YEAR END, HE HAS BY THIS EXPLANATION ALERTED HIS SUPERIOR TO THE FACT THAT SOME HIGHER LEVEL DECISIONS ARE NECESSARY IN ORDER TO GET THE PLAN BACK ON TRACK OR, IN EXCEPTIONAL CASES, TO OBTAIN ADDITIONAL RESOURCES IN ORDER TO COPE WITH UNAVOIDABLE EXPENDITURES.

THE PRINCIPAL CRITICISM OF OUTSIDE REVIEW AGENCIES SUCH AS THE AUDITOR GENERAL'S OFFICE OR THE TREASURY BOARD STAFF HAS POINTED UP THE INADEQUACY OF VARIANCE EXPLANATIONS. IF THE 4-PART VARIANCE EXPLANATION I JUST DESCRIBED IS PROPERLY USED, THESE OBSERVATIONS WILL BE ELIMINATED AND THE ATTENTION OF MANAGEMENT WILL BE FOCUSED ON ITEMS MOST DESERVING OF MANAGEMENT EMPHASIS AND A QUANTUM JUMP IN THE PROGRESS OF FINANCIAL MANAGEMENT WILL HAVE BEEN ACHIEVED. IN FACT, IF THE ONLY RESULT OF THIS SEMINAR IS AN IMPROVEMENT IN THE VARIANCE ANALYSIS OF THE DEPARTMENT, THE COST OF THE SEMINAR WILL HAVE BEEN JUSTIFIED.

POST OFFICE DEPARTMENT

FISCAL FORECAST

(1)	(2)	(3)	(4)	(5)	(6)	(7)
REPORTING OBJECT	TOTAL BUDGET FOR THE YEAR	ACTUAL EXPENDITURES (INCLUDING ACCRUED EXPENDITURES) TO 19	ANTICIPATED EXPENDITURES		TOTAL	FORECAST YEAR END VARIANCE
			OUTSTANDING COMMITMENTS	FUTURE PLANS		
	\$	\$	\$	\$	\$	\$

IV.

BUDGETARY AND COMMITMENT CONTROL

YOU HEARD EARLIER ABOUT THE ALLOTMENT OF FUNDS BY TREASURY BOARD TO THE DEPARTMENT. I WOULD NOW LIKE TO SPEND A FEW MINUTES ON THE CONTROL OF THOSE FUNDS WITHIN THE DEPARTMENT AND THE POLICIES INVOLVED, ALONG WITH A HIGHLIGHT OF A FEW OF THE PRINCIPAL FEATURES OF THE BUDGETARY CONTROL SYSTEM.

ALLOTMENTS ARE MADE TO THE DEPARTMENT IN ACCORDANCE WITH APPROVED ESTIMATES BY MEANS OF AN INSTRUMENT KNOWN AS THE CLASSIFICATION OF ACCOUNTS. THIS IS A LISTING OF THE VARIOUS COMPONENTS OF THE "D.I.A.M.D." BUDGET IN WHICH ARE IDENTIFIED VARIOUS CURTAILMENTS IMPOSED ON THE DEPARTMENT BY THE TREASURY BOARD, SOMETIMES ON ITS OWN AND SOMETIMES BY AGREEMENT WITH THE PUBLIC ACCOUNTS COMMITTEE OF PARLIAMENT. FOR EXAMPLE, AN UNDERTAKING HAS BEEN MADE BY THE SECRETARY OF THE TREASURY BOARD TO THE MEMBERS OF THE PUBLIC ACCOUNTS COMMITTEE OF PARLIAMENT THAT ALL GRANTS WILL BE MADE THE SUBJECT OF SEPARATE ALLOTMENTS AND AMOUNTS INVOLVED MAY NOT BE ALTERED WITHOUT SPECIFIC APPROVAL OF THE TREASURY BOARD. THE RATIONALE IN THIS CASE INVOLVES THE FACT THAT ONCE A GRANT IS MADE THE GOVERNMENT HAS NO FURTHER CONTROL OVER THE FUNDS CONCERNED BECAUSE GRANTS ARE NOT SUBJECT TO GOVERNMENT AUDIT.

AN EXAMPLE OF AN ALLOTMENT CURTAILMENT IMPOSED BY THE TREASURY BOARD ON ITS OWN WOULD BE IN 1975/76 THE ALLOTMENT FOR TENANT

SERVICES WHICH WAS SET BY THE TREASURY BOARD AT \$X MILLION AND ADDED TO OUR ESTIMATES TO COVER PAYMENTS TO BE MADE TO DPW. THIS \$X MILLION STANDS ALONE IN THE CLASSIFICATION OF ACCOUNTS AS AN AMOUNT WHICH CANNOT BE USED FOR OTHER PURPOSES NOR CAN IT BE SUPPLEMENTED BY FUNDS FROM OTHER PORTIONS OF OUR BUDGET THAT MIGHT OTHERWISE LAPSE.

ALLOTMENTS ARE MADE BY THE DEPUTY MINISTER OF THE FUNDS CONTAINED IN THE CLASSIFICATION OF ACCOUNTS. USUALLY THE ALLOTMENT CONSISTS OF AN INDICATION OF THE MAN-YEARS AVAILABLE TO THE REGION FOR FULL-TIME PERSONNEL, THOSE FOR CASUALS, PART-TIME AND CHRISTMAS HELP, ALONG WITH A LIMITATION ON THE NUMBER OF FULL-TIME PEOPLE THAT MAY BE ON THE PAYROLL ON THE LAST DAY OF THE FISCAL YEAR CONCERNED. THE FUNDS CONTAINED IN THE ALLOTMENT INDICATE THE TOTAL AVAILABLE FOR THE OPERATING BUDGET AND THE TOTAL AVAILABLE FOR THE CAPITAL BUDGET. ALTHOUGH THE LATTER FIGURE HAS BEEN A BULK ALLOTMENT IN THE PAST, FUTURE ALLOTMENT NOTIFICATIONS WILL INDICATE THE PROJECTS FOR WHICH FUNDS HAVE BEEN ALLOTTED.

I WOULD LIKE TO NOW APPROACH THE SUBJECT OF BUDGETARY CONTROL METHODS, THE PRINCIPAL ONE OF WHICH IS THE SYSTEM OF COMMITMENT CONTROL. IT IS FAIR TO SAY THAT IF A MANAGER WERE TO LIMIT THE COMMITMENTS HE MAKES HE WILL AUTOMATICALLY LIMIT THE NUMBER OF BILLS HE HAS TO PAY. THEREFORE, THE PRINCIPAL MEANS OF CONTROLLING A MANAGER'S BUDGET IS FOR HIM TO CONTROL IT AT THE COMMITMENT STAGE. HE ACHIEVES THIS BY RECORDING EACH OF HIS COMMITMENTS BY MEANS OF EITHER A COPY OF A REQUISITION OR

AN ORDER OR IN THE CASE OF SALARIES, A BRIEF SUMMARY OF THE MAN-YEARS HE HAS COMMITTED TO COVER HIS FULL-TIME STAFF BECAUSE THIS IS AN INITIAL BASIC COMMITMENT AGAINST HIS BUDGET. D.I.A.N.D. POLICY IS FLEXIBLE WITH RESPECT TO THE MANNER IN WHICH COMMITMENT RECORDS ARE MAINTAINED. THEY CAN BE KEPT ON A CENTRALIZED BASIS EITHER IN A BRANCH OR A FUNCTION, OR FOR A HEADQUARTERS AS A WHOLE PROVIDED THERE IS A METHOD BY WHICH A MANAGER CAN CONSULT THE STATUS OF HIS BUDGET EACH TIME HE GOES TO MAKE A COMMITMENT. THE SIMPLEST APPROACH, OF COURSE IS TO MAINTAIN A SERIES OF OPEN FOLDERS, ONE FOR COMMITMENTS MADE, ONE FOR COMMITMENTS WHICH HAVE BEEN DISCHARGED AND FOR WHICH BILLS HAVE BEEN FORWARDED FOR PAYMENT, AND ANOTHER TO CONTAIN COPIES OF THOSE ITEMS WHICH HAVE BEEN PAID. IN THIS MANNER, HE CAN QUICKLY DETERMINE THE STATUS OF HIS BUDGET IN TERMS OF THE AMOUNTS SPENT, THE AMOUNTS PASSED FOR PAYMENT AND THOSE COMMITTED. THE BALANCE OF COURSE IS AVAILABLE FOR FURTHER COMMITMENT. WHEN A MANAGER MAKES A COMMITMENT HE MUST CERTIFY, IN ACCORDANCE WITH SECTION 25 OF THE FINANCIAL ADMINISTRATION ACT, THAT HE HAS SET ASIDE FUNDS OR MAN-YEARS FROM WHICH TO PAY THE BILLS.

WHEN THE BILL ARRIVES THE MANAGER IS REQUIRED TO CERTIFY IN ACCORDANCE WITH SECTION 27 OF THE FINANCIAL ADMINISTRATION ACT THAT THE GOODS HAVE BEEN PROVIDED, THAT THEY WERE IN ACCORDANCE WITH THE CONTRACT AND THAT THEY HAVE NOT BEEN PREVIOUSLY PAID, AND HE SUBMITS THE BILL TO THE ACCOUNTS PAYABLE OFFICE IN ORDER THAT DSS CAN BE REQUESTED TO PREPARE AND DESPATCH A CHEQUE.

TREASURY BOARD POLICY DICTATES THAT THE ACCOUNTS PAYABLE FUNCTION MUST CONFIRM THAT THE PAYMENT OF THAT BILL WILL NOT JEOPARDIZE OUR ABILITY TO PAY OTHER BILLS FOR WHICH COMMITMENTS EXIST. WE HAVE INSERTED IN OUR REGULATIONS THE PROVISION THAT THE ACCOUNTS PAYABLE OFFICE WILL ACCEPT THE CERTIFICATION OF THE MANAGER UNDER SECTION 27 OF THE ACT (AS I MENTIONED) THAT THE PAYMENT OF THIS ACCOUNT WILL NOT PREVENT HIM FROM DISCHARGING HIS OTHER COMMITMENTS. IN A RECENT EVALUATION BY THE TREASURY BOARD STAFF THEY INDICATED THAT THIS WAS NOT ADEQUATE AND THAT SPECIFIC TESTS MUST BE MADE TO ENSURE THE VALIDITY OF THE CERTIFICATES SIGNED BY MANAGERS. AS A RESULT, WE AMENDED THE FINANCIAL MANAGEMENT MANUAL TO PROVIDE FOR REGULAR PERIODIC REVIEWS BY THE SENIOR FINANCIAL OFFICER TO CONFIRM THE VALIDITY AND THE ADEQUACY OF COMMITMENT CONTROL EXERCISED BY MANAGERS.

TO FACILITATE REVIEWING THEIR POSITION FROM TIME TO TIME, MANAGERS ARE PROVIDED WITH STATEMENTS WHICH INDICATE THE DIFFERENCE BETWEEN ACTUAL SPENDING AND HIS SPENDING PLANS FOR EACH MONTH AND THE YEAR TO DATE. THIS IS ACHIEVED BY THE SUBMISSION BEFORE THE BEGINNING OF THE YEAR OF HIS BUDGET BROKEN DOWN BY MONTHLY EXPENDITURE EXPECTATIONS, SUB-DIVIDED BY THE VARIOUS OBJECTS OF EXPENDITURE THAT GO TO MAKE UP THE RESOURCE END OF HIS BUDGET. A SERIES OF FINANCIAL STATEMENTS ARE PREPARED BY THE DEPARTMENT OF SUPPLY AND SERVICES AS A BY-PRODUCT OF THE CHEQUE ISSUE SYSTEM, AS MENTIONED EARLIER, IN WHICH HE IS GIVEN A LIST OF ALL THE TRANSACTIONS THAT GO TO MAKE UP HIS TOTAL EXPENDITURES FOR THE MONTH ALONG WITH

SUMMARIES OF A COMPARISON OF HIS BUDGET AND HIS ACTUAL EXPENSES. I WOULD NOW LIKE TO SHOW YOU A SLIDE OF A ONE-PAGE SUMMARY WHICH IS REALLY THE MOST USEFUL REPORT GIVEN TO THE MANAGER IN ORDER TO HELP HIM MEASURE HIS STATUS FROM THE BUDGETARY CONTROL POINT OF VIEW EACH MONTH.....

I WOULD LIKE TO SPEND A MINUTE OR TWO TO INDICATE SOME CHANGES BEING MADE STARTING NEXT YEAR IN THE FINANCIAL REPORTS PRODUCED BY THE DSS SYSTEM. THE PRINCIPAL IMPROVEMENT IS THE ELIMINATION OF COMPUTER PRINT-OUT PAPER AND THE PRODUCTION OF THESE STATEMENTS ON 8½ X 11 PAPER. IN LINE WITH THIS IMPROVEMENT, WE ARE GOING TO ELIMINATE A NUMBER OF ITEMS THAT HAVE BEEN CONTAINED IN THE PAST AS INFORMATION ONLY TO PROVIDE AN OVERALL INDICATION TO MANAGERS OF THE MAGNITUDE OF THE COST OF THE OPERATION UNDER THEIR JURISDICTION. FOR EXAMPLE, WE HAVE BEEN SHOWING THE VALUE OF THE SPACE THEY OCCUPY AS AN INFORMATION ITEM. THIS HAS BEEN A VERY ROUGH APPORTIONMENT OF THE RENT FIGURE THAT GOES INTO THE D.I.A.N.D. STATEMENTS. ALSO WE HAVE INDICATED THE RELATIVE PORTION OF THE SUPERANNUATION ACCOUNT WHICH RELATES TO THE SALARY ITEM IN THE BUDGET. BOTH OF THESE ITEMS HAVE BEEN PUT THERE FOR INFORMATION PURPOSES ONLY AND WE ARE OF THE OPINION THAT THEY HAVE REALLY SERVED THEIR PURPOSES AND WE ARE ANXIOUS TO TRIM DOWN THESE STATEMENTS TO CONTAIN ONLY THOSE ITEMS WHICH ARE OPEN TO MANAGERIAL DISCRETION.

THERE IS ANOTHER TYPE OF CHANGE THAT IS MORE SIGNIFICANT THAN MEETS THE EYE. WE HAVE BEEN SHOWING A LINE CALLED "APPROPRIATION TOTAL". THIS LINE IS INAPPROPRIATE BECAUSE ALL OUR APPROPRIATIONS ARE NOT INTERCHANGEABLE. THERE IS REALLY THEREFORE NO SUCH MANAGEMENT FIGURE AS A TOTAL APPROPRIATION NUMBER. EACH MANAGER HAS A SEPARATE BUDGET FOR OPERATIONS PAID FROM APPROPRIATION AND FOR CAPITAL WHICH IS ALSO FINANCED BY PARLIAMENTARY APPROPRIATION.

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KINGSTON DISTRICT

INDIAN AND ESKIMO AFFAIRS
OPERATING EXPENDITURES

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ACTIVITY 11 BY OBJECT

YTD BUDGET	YTD VARIANCE	% YTD BUDGET	CODE	DESCRIPTION	ORIGINAL ALLOTMENT	ANNUAL BUDGET	CURRENT EXPENSE	YTD EXPENSE	% ANNUAL BUDGET	UNSPENT BALANCE
			3	ADMINISTRATION						
			31	GENERAL ADMINISTRATION						
			3110	ADMINISTRATION						
			4	PAYLISTS						
2,100	385-	18-	1	CLASSIFIED SALARIES	25,800	25,800	2,486	2,486	9	23,313
2,100	385-	18-		TOTAL PAYLISTS	25,800	25,800	2,486	2,486	9	23,313
			5	OTHER EXPENDITURES						
			21	OTHER OPERATING						
700	700	100	5	TRAVEL + REMOVAL	7,100	7,100				7,100
700	700	100		TOTAL OTHER OPERATING	7,100	7,100				7,100
700	700	100		TOTAL OTHER EXPENDITURES	7,100	7,100				7,100
2,800	313	11		TOTAL SUB ACTIVITY 2	32,900	32,900	2,486	2,486	7	30,413
2,800	313	11		TOTAL SUB ACTIVITY 1	32,900	32,900	2,486	2,486	7	30,413

EXTRACT
FINANCIAL ADMINISTRATION ACT

26. (1) NO CHARGE SHALL BE MADE AGAINST AN APPROPRIATION EXCEPT UPON THE REQUISITION OF THE APPROPRIATE MINISTER OF THE DEPARTMENT FOR WHICH THE APPROPRIATION WAS MADE, OR BY A PERSON AUTHORIZED BY HIM IN WRITING.
- (2) EVERY REQUISITION FOR A PAYMENT OUT OF THE CONSOLIDATED REVENUE FUND SHALL BE IN SUCH FORM, ACCOMPANIED BY SUCH DOCUMENTS AND CERTIFIED IN SUCH MANNER AS THE TREASURY BOARD MAY PRESCRIBE BY REGULATION.
- (3) NO REQUISITION SHALL BE MADE PURSUANT TO SUBSECTION (1) FOR A PAYMENT THAT
- (A) WOULD NOT BE A LAWFUL CHARGE AGAINST THE APPROPRIATION;
 - (B) WOULD RESULT IN AN EXPENDITURE IN EXCESS OF THE APPROPRIATION; OR
 - (C) WOULD REDUCE THE BALANCE AVAILABLE IN THE APPROPRIATION SO THAT IT WOULD NOT BE SUFFICIENT TO MEET THE COMMITMENTS CHARGED AGAINST IT.

EXTRACT
FINANCIAL ADMINISTRATION ACT

27. NO PAYMENT SHALL BE MADE FOR THE PERFORMANCE OF WORK, THE SUPPLY OF GOODS OR THE RENDERING OF SERVICES, WHETHER UNDER CONTRACT OR NOT, IN CONNECTION WITH ANY PART OF THE PUBLIC SERVICE OF CANADA, UNLESS, IN ADDITION TO ANY OTHER VOUCHER OR CERTIFICATE THAT IS REQUIRED, THE DEPUTY OF THE APPROPRIATE MINISTER, OR ANOTHER PERSON AUTHORIZED BY SUCH MINISTER CERTIFIES
- (A) THAT THE WORK HAS BEEN PERFORMED, THE GOODS SUPPLIED OR THE SERVICE RENDERED, AS THE CASE MAY BE, AND THAT THE PRICE CHARGED IS ACCORDING TO CONTRACT, OR IF NOT SPECIFIED BY CONTRACT, IS REASONABLE; OR
 - (B) WHERE A PAYMENT IS TO BE MADE BEFORE THE COMPLETION OF THE WORK, DELIVERY OF THE GOODS OR RENDERING OF THE SERVICE AS THE CASE MAY BE, THAT THE PAYMENT IS IN ACCORDANCE WITH THE CONTRACT. 1960-61, c.48, s.3; 1968-69, c.27, s.10.

EXTRACT

FINANCIAL ADMINISTRATION ACT

28. (1) EVERY PAYMENT PURSUANT TO AN APPROPRIATION SHALL BE MADE UNDER THE DIRECTION AND CONTROL OF THE RECEIVER GENERAL BY INSTRUMENT, IN SUCH FORM AND AUTHENTICATED SUCH MANNER AS THE TREASURY BOARD DIRECTS,
- (2) WHERE AN INSTRUMENT ISSUED UNDER SUBSECTION (1) IS PRESENTED BY A BANK TO THE RECEIVER GENERAL FOR PAYMENT, THE RECEIVER GENERAL, OR AN OFFICER AUTHORIZED BY HIM, MAY PAY THE INSTRUMENT OUT OF THE CONSOLIDATED REVENUE FUND. R.S., c. 116, s. 33; 1968-69, c. 27, s. 11.

V. DELEGATION OF FINANCIAL AUTHORITIES AND
SIGNING AUTHORITIES

SYSTEMS OF FINANCIAL CONTROL ARE NEEDED TO ENSURE PROBITY AND PRUDENCE IN THE EXPENDITURE OF PUBLIC FUNDS. THE FINANCIAL ADMINISTRATION ACT (F.A. ACT) ASSIGNS AUTHORITY TO CONTROL THE SPENDING OF PUBLIC FUNDS, WITHIN THE LIMITS PROVIDED BY PARLIAMENT, TO THE APPROPRIATE MINISTERS OR DEPUTY HEADS OF DEPARTMENTS AND AGENCIES.

AS IT WOULD BE MANIFESTLY IMPOSSIBLE FOR THE MINISTER AND THE DEPUTY MINISTER TO CARRY OUT PERSONALLY ALL THE RESPONSIBILITIES PLACED ON THEM BY THE F.A. ACT, THEY HAVE TO AUTHORIZE RESPONSIBLE OFFICIALS TO EXERCISE THEM ON THEIR BEHALF. THIS IS DONE BY MEANS OF A WRITTEN DELEGATION OF FINANCIAL SIGNING AUTHORITIES, WHEREBY THE RESPONSIBILITIES BESTOWED UPON THE MINISTER AND DEPUTY MINISTER BY LEGISLATION OR EXECUTIVE REGULATIONS ARE DELEGATED TO APPROPRIATE MANAGERS. BEFORE PROCEEDING TO DESCRIBE D.I.A.N.D. OBJECTIVES AND POLICY WITH RESPECT TO DELEGATION OF FINANCIAL AUTHORITY, I THINK YOU SHOULD FIRST BE FAMILIAR WITH THE DIFFERENT TYPES OF FINANCIAL AUTHORITY. THERE ARE THREE MAIN TYPES:

1. SPENDING
2. CONTRACTING
3. PAYMENT

1. SPENDING AUTHORITY

SPENDING AUTHORITY IS THE AUTHORITY DELEGATED TO RESPONSIBILITY CENTRE MANAGERS TO AUTHORIZE THEM TO:

- 1) MAKE DECISIONS WHICH WILL RESULT IN AN EXPENDITURE AGAINST THEIR BUDGET ALLOCATION,
- 2) ASSIGN A PORTION OF THEIR BUDGET TO A SPECIFIC PURPOSE AND CERTIFY TO THIS EFFECT UNDER SECTION 25 (1) OF THE F.A. ACT, AND
- 3) CERTIFY SATISFACTORY PERFORMANCE AND PRICE UNDER SECTION 27 OF THE F.A. ACT.

EXAMPLES OF DECISIONS UNDER SPENDING AUTHORITY WOULD BE:

- I. REQUISITIONING OF SUPPLIES OR SERVICES FROM ANOTHER GOVERNMENTAL AGENCY, (WHETHER IT FORMS PART OF D.I.A.N.D. DEPARTMENT OR OF ANOTHER DEPARTMENT OR AGENCY).
- II. AUTHORIZING TRAVEL OR REMOVAL,
- III. REQUISITIONING OF THE APPROPRIATE PERSONNEL OFFICE FOR STAFFING ACTION.

ALL REQUISITIONS FOR STAFFING ACTION MUST:

- A) ORIGINATE FROM THE MANAGER WHOSE BUDGET WILL BE CHARGED WITH THE SALARY OF THE POSITION
- B) BE APPROVED BY THE SUPERIOR OF SUCH MANAGER (I.E. AT TWO LEVELS OF AUTHORITY ABOVE THE POSITION TO BE FILLED).

B) (CONT'D)

AT HEADQUARTERS THIS DELEGATION IS RESTRICTED TO DIRECTORS AND ASSISTANT DIRECTORS.

- C) INCLUDE A CERTIFICATE FROM THE MANAGER THAT FUNDS HAVE BEEN COMMITTED (SEC. 25 (1) F.A. ACT), IN THE CASE OF FULL TIME PERSONNEL, THAT A VACANT CLASSIFIED POSITION IS AVAILABLE.

SPENDING AUTHORITY DOES NOT INCLUDE ACTIONS WHICH COME UNDER CONTRACTING AUTHORITY.

2. CONTRACTING AUTHORITY

CONTRACTING AUTHORITY IS THE AUTHORITY DELEGATED BY THE MINISTER UNDER GOVERNMENT CONTRACT REGULATIONS TO MAKE BINDING ARRANGEMENTS BETWEEN THE GOVERNMENT AND INDIVIDUALS OR SUPPLIERS OF GOODS AND SERVICES.

IT IS PRIMARILY DELEGATED TO PURCHASING OFFICERS WHO SPECIALIZE IN NEGOTIATING CONTRACTS, BUT ALSO IS GIVEN TO OPERATING MANAGERS TO ENABLE THEM TO MAKE LOCAL PURCHASES IN LIMITED AMOUNTS AND TO COVER EMERGENCY SITUATIONS.

BECAUSE PURCHASING OFFICERS BUY TO MEET THE NEEDS OF OTHER OPERATING UNITS, THEY REQUIRE, FROM THE MANAGER WITH APPROPRIATE SPENDING AUTHORITY, A REQUISITION AND A CERTIFICATE UNDER SECTION 25 (1) OF THE F.A. ACT THAT FUNDS HAVE BEEN COMMITTED, BEFORE THEY CAN EXERCISE THEIR CONTRACTING AUTHORITY.

3. PAYMENT AUTHORITY

PAYMENT AUTHORITY IS THE AUTHORITY DELEGATED BY THE MINISTER UNDER SECTION 26 OF THE F.A. ACT TO FINANCIAL OFFICERS OF D.I.A.N.D. TO REQUISITION PAYMENTS AND AUTHORIZE THEIR CHARGE TO AN APPROPRIATION, AFTER REVIEWING THEIR LEGALITY AND EXERCISING ALL APPROPRIATE FINANCIAL CONTROLS. THIS INCLUDES ENSURING ADHERENCE TO THE ACCOUNT VERIFICATION AND PAYMENT REQUISITION REGULATIONS.

THE OBJECTIVE OF ESTABLISHING PAYMENT AUTHORITY IS TO SEPARATE THE DUTIES IN ORDER TO PROVIDE AN INDEPENDENT CHECK ON THE MANNER IN WHICH OTHER OFFICERS EXERCISE SPENDING AUTHORITY AND TO ENSURE THAT ALL STATUTORY AND REGULATORY REQUIREMENTS FOR THE CONTROL OF FUNDS AND REQUISITIONING OF PAYMENTS ARE MET.

PAYMENT AUTHORITY DOES NOT INCLUDE AUTHORITY TO ISSUE CHEQUES AGAINST THE CONSOLIDATED REVENUE FUND WHICH IS ASSIGNED TO THE RECEIVER GENERAL UNDER SECTION 28 OF THE F.A. ACT.

THE OBJECTIVES OF DELEGATING FINANCIAL AUTHORITY ARE:

- 1) TO GIVE OPERATING MANAGERS THE GREATEST POSSIBLE FREEDOM TO SPEND THEIR BUDGET ALLOCATIONS TO CARRY OUT APPROVED PLANS.
- 2) TO PLACE RESPONSIBILITY FOR EXPENDITURES AT A LEVEL WHERE CONTROL IS MOST EFFECTIVE, AND ON INDIVIDUALS WHO CAN BE HELD ACCOUNTABLE FOR THE RESULTS OF THEIR DECISIONS.

- 3) TO ENABLE MANAGEMENT TO ACHIEVE A HIGH DEGREE OF RESPONSIVENESS TO LOCAL CONDITIONS AND FLEXIBILITY TO ADJUST TO CHANGING CONDITIONS.
- 4) TO FOSTER A GREATER SENSE OF FINANCIAL RESPONSIBILITY BY MANAGERS AT ALL LEVELS BY MAKING THEM AWARE OF THE IMPLICATIONS OF THEIR OPERATIONAL AND MANAGEMENT DECISIONS.
- 5) TO ENCOURAGE MANAGERS TO MAKE THE MOST EFFECTIVE USE OF RESOURCES AT THEIR DISPOSAL.

ALSO ADMINISTRATION IS SIMPLIFIED, PAPERWORK REDUCED AND DELAY IN IMPLEMENTING DECISIONS OR OBTAINING RESOURCES IS REDUCED.

IT IS D.I.A.N.D. POLICY TO PROVIDE MANAGERS WITH AS MUCH FLEXIBILITY AS POSSIBLE TO CARRY OUT THEIR RESPONSIBILITIES. THEREFORE, THE MINISTER, BY MEANS OF A DOCUMENT WHICH WE REFER TO AS "DELEGATION OF FINANCIAL SIGNING AUTHORITY" HAS DELEGATED AUTHORITY TO MANAGERS OF RESPONSIBILITY CENTRES TO SPEND PUBLIC FUNDS TO THE LIMIT OF THEIR ALLOCATED BUDGETS IN ACCORDANCE WITH APPROVED PLANS.

THE MINISTER HAS DELEGATED FINANCIAL SIGNING AUTHORITY TO ORGANIZATIONAL POSITIONS - NOT TO INDIVIDUALS. IT FOLLOWS ORGANIZATIONAL LINES WITH A SUPERIOR HAVING AT LEAST THE AUTHORITIES GRANTED TO HIS SUBORDINATE. DELEGATED AUTHORITY MAY NOT BE RE-DELEGATED. A SUPERIOR MAY IMPOSE OR REMOVE A RESTRICTION OF AUTHORITY BUT HE MAY NOT INCREASE THE AUTHORITY DELEGATED TO A POSITION BY THE MINISTER.

AN OFFICER MAY NOT AUTHORIZE AN EXPENDITURE AND MAKE PAYMENT FOR SAME. ALSO AN OFFICER MAY NOT APPROVE AN EXPENDITURE FOR PAYMENT FROM WHICH HE CAN PERSONALLY BENEFIT - FOR EXAMPLE TRAVEL OR REMOVAL CLAIMS. CONTRACTING AUTHORITY MAY BE EXERCISED ONLY WHEN THE PERSON DELEGATED APPROPRIATE SPENDING AUTHORITY HAS REQUISITIONED THE GOODS AND SERVICES AND HAS PROVIDED A CERTIFICATE UNDER SECTION 25 (1), OF THE F.A. ACT THAT FUNDS HAVE BEEN COMMITTED.

PAYMENT MAY BE MADE ONLY WHEN ANY CERTIFICATE REQUIRED UNDER SECTION 27 OF THE F.A. ACT HAS BEEN PROVIDED BY THE PERSON DELEGATED APPROPRIATE SPENDING AUTHORITY, CONFIRMING THAT THE WORK HAS BEEN PERFORMED, GOODS SUPPLIED OR SERVICES RENDERED AND THAT THE REQUISITION FOR PAYMENT WILL LEAVE A SUFFICIENT BALANCE IN THE BUDGET ALLOCATION TO MEET THE COMMITMENTS CHARGED AGAINST IT.

NO DELEGATION CONFERS AUTHORITY TO SPEND IN EXCESS OF THE UNENCUMBERED BALANCE AVAILABLE OUT OF THE RELEVANT BUDGET ALLOCATION, AND ALL AUTHORITIES, REGARDLESS OF THE UPPER LIMIT OF FINANCIAL AUTHORITY SHOWN IN THE INSTRUMENT OF DELEGATION, ARE SUBJECT TO EXTERNAL CONSTRAINTS SUCH AS TREASURY BOARD DIRECTIVES, THE INDIAN ACT, CONTRACTS WITH EMPLOYEES ETC., AND THE GOVERNMENT CONTRACT REGULATIONS.

ALL PERSONS PROPOSING TO USE THEIR DELEGATED AUTHORITY MUST ENSURE:

- I) THAT WHATEVER HE IS APPROVING IS WITHIN HIS DELEGATED AREA OF AUTHORITY
- II) THAT ADEQUATE FUNDS ARE AVAILABLE IN THE RELEVANT BUDGET ALLOCATION
- III) THAT EXTERNAL AND INTERNAL CONSTRAINTS WILL NOT BE CONTRAVENED.

SPECIMEN SIGNATURE CARDS AUTHENTICATED BY RESPONSIBLE OFFICERS ARE USED TO IDENTIFY THE INCUMBENTS OF POSITIONS WHICH HAVE BEEN DELEGATED FINANCIAL SIGNING AUTHORITY BY THE MINISTER. A CARD BEARING THE SIGNATURE OF THE INCUMBENT AND THE LIMITS OF HIS FINANCIAL SIGNING AUTHORITY, APPROVED BY HIS SUPERIOR, MUST BE ON FILE BEFORE THE INCUMBENT MAY EXERCISE THE FINANCIAL SIGNING AUTHORITY DELEGATED TO HIS POSITION. THE SAME APPLIES TO PERSONS ASSUMING RESPONSIBILITIES OF ANOTHER POSITION ON A TEMPORARY BASIS - THEY MUST OBTAIN WRITTEN DELEGATION BY MEANS OF AN APPROVED SPECIMEN SIGNATURE CARD BEFORE THEY MAY EXERCISE THE FINANCIAL SIGNING AUTHORITY DELEGATED TO THE POSITION IN WHICH THEY ARE ACTING. THESE CARDS ARE CONTROLLED BY THE OFFICE OF THE COMPTROLLER AT HEADQUARTERS AND BY THE FINANCE FUNCTION IN THE FIELD.

WHEN AN OFFICIAL CARRIES OUT THE DUTIES OF ANOTHER ON A TEMPORARY BASIS THE SUPERIOR OF THE OFFICIAL BEING REPLACED MUST ISSUE IN WRITING AN AUTHORIZATION FOR THE TEMPORARY RESPONSIBILITIES.

THIS NOTIFICATION AUTHENTICATES THE AUTHORITIES DELEGATED TO THE POSITION AS BEING BESTOWED UPON THE TEMPORARY INCUMBENT. THIS DOES NOT NECESSARILY INVOLVE AN ACTING APPOINTMENT AS SUCH FROM A STAFFING POINT OF VIEW.

I SHOULD LIKE TO STRESS THAT NO FINANCIAL AUTHORITY MAY BE DELEGATED TO A POSITION WITHOUT THE APPROVAL OF THE MINISTER (OR BY THE DEPUTY WHERE THE FINANCIAL ADMINISTRATION ACT PERMITS). ANY REQUESTS FOR SUCH AUTHORITY MUST BE SUBMITTED TO THE OFFICE OF THE DIR. OF FIN. AT HEADQUARTERS WHO IS RESPONSIBLE FOR THE PREPARATION AND CONTROL OF ALL INSTRUMENTS WHEREBY FINANCIAL AUTHORITY IS GRANTED.

BECAUSE OF THE MANY CHANGES IN ORGANIZATION IN THE DEPARTMENT WHICH STEM FROM THE LACK OF POLICY CONCERNING ORGANIZATION STRUCTURE AND STANDARD TITLES THERE IS A NEED FOR FREQUENT REVISION TO THE INSTRUMENT OF DELEGATION OF AUTHORITY BY THE MINISTER.

BECAUSE DELEGATION IS BY TITLE AND NOT BY NAME, THE ALTERATION OF THE TITLE OF AN INDIVIDUAL OR POSITION IN THE DEPARTMENT INTRODUCES THE NEED TO OBTAIN A MINISTERIAL DELEGATION OF AUTHORITY.

WE ARE IN THE PROCESS OF DEVELOPING A MAJOR REVISION TO THE INSTRUMENT OF DELEGATION TO REFLECT NEW TITLE NAMES. WE WILL ATTEMPT TO REVISE IT EVERY THREE OR FOUR MONTHS AS LONG AS APPOINTMENT TITLES AND SUPERIOR SUBORDINATE RELATIONSHIPS CAN BE CHANGED AS FREQUENTLY AS THEY DO.

WE STATED EARLIER THAT EACH OFFICIAL MUST HAVE AT LEAST AS MUCH AUTHORITY AS HIS SUBORDINATES. ALSO, AUTHORITY IS DELEGATED SO THAT A MANAGER CAN CARRY OUT 90% OF HIS RESPONSIBILITIES WITHOUT REFERENCE TO HIS BOSS. YOU WILL APPRECIATE THAT GIVEN THESE TWO PRINCIPLES (WHICH WE ARE CONVINCED ARE REASONABLE), COMBINED WITH AN EVER CHANGING ORGANIZATION, PRESENT A SITUATION IN WHICH KEEPING A PROPERLY AMENDED INSTRUMENT OF DELEGATION IS A BIT OF AN ADVENTURE.

I AM SURE YOU WILL AGREE THAT ADOPTION OF STANDARD TITLE TERMINOLOGY WOULD SIMPLIFY THE PROBLEM CONSIDERABLY.

LOCAL GOVERNMENT TRAINING PROGRAM WORKSHOP

LAKEHEAD UNIVERSITY JUNE 15 - 17, 1976

E V A L U A T I O N

1. On the basis of the seminar, I believe the 5 most important things the L.G.A. should be doing are

- assisting bands in process of local government, inventory of resources, inventory of needs, inventory of problems, seeking-own solutions.
- to be available for advice to bands at all times; establish good relationships with the reserves; carryout and try to improve policy so that good Local Government can exist within the community; be the mediator between the bands and departments; be knowledgeable in Local Government concepts.
- act as a liaison link between department and band; advise on development or improvement of Local Government; aid in identifying areas of need; gain acceptance for his role; broaden his knowledge to better serve his bands.
- have personal contact with Band Councils; act as a liaison between the bands and the district; pass information on to the various Band Councils; co-operate with the people and the councils you are working with; be flexible.
- facilitating; listening; advising; being available; supportive.
- developing self-sufficiency in Band Administration, specifically, financial administration, band staffing; assisting all program managers with programs in the LGA area.
- broaden the range of programs administered by the bands; strengthen and maintain a core funding program; develop, in co-operation with bands, a system of guidelines and regulations that will be adaptable to local needs and circumstances; provide a system of local accountability for programs managed by the bands.
- help the bands to attain Local Government; continuously listening and improving his scope; act as solid liaison between bands and department; make himself available when required; be fair and firm.
- show encouragement and confidence to all band people; make a genuine effort to advise bands accurately and adequately; strive to develop him/herself through his or her contact with others; listen to what the Indian people really want; be honest, reliable, responsible and hardworking.
- sit with Band Council and explain his role; assist the administrator in explaining to Band Council the importance of tighter controls; more involvement with Band staff; attend all Band meetings (if possible); be available at all times (if possible).

1. On the basis of the seminar, I believe the 5 most important things the L.G.A. should be doing are

- assist bands to achieve Local Government; be available on a scheduled basis; be able to interpret; have knowledge of Department programs, limitations and other resources; advise bands.
- help the bands to assess their needs for programs and services most needed in the community; assist the bands in establishing priorities; advise the bands of various changes in policies, programs, etc.; appreciate and understand Indian people.
- spend more time with the Band Council; inform to Band what's happening; have regular Band meetings; have more communication with the Band; advise the Band about the other resources, departments and agencies.
- act as liaison officers between the Band and Department; identify resources for Band use; interpret and translate policies, regulations, etc. to Bands; continue to improve knowledge and delivery system; establish good rapport with Bands.
- self-training; training of Councils and Band staff; assisting when required; continued liaison with government and private sectors; seeking out needs.
- inform the Band Council what is happening at all levels of Federal Government; the position that he fills; advice of other resources when requested; attend regular Band meetings; spend more of his time at Band level.
- the L.G.A. is a generalist for all programs (liaison, Dept. - Bands); an assistant or adviser for the bands or departmental policies; assist the bands to reach a point of self-sufficiency; interpret policy for bands.
- become thoroughly familiar with Bands in his area of responsibility and their needs; gain the confidence and respect of Band Council, Band staff and community; be a good communicator and keep Band Council up-to-date in changes in Departmental policy and programs; be tolerant and mature and flexible; be aware of resources in other government departments and agencies, Federal, Provincial, Municipal and private sector.
- attune himself to band needs and goals; offer advice when asked; provide continuous up-to-date information; be available to band; be honest to both band and department.
- discuss issues with Band Council; advise Band Council regarding personnel hiring practices; assist Band Council in Budget preparation; assist the Councils to utilize all their resources, (financial, etc.); identify the needs and wishes of the Band Council.
- competent advice in solving concrete local government problems; liaison between band and department; examine your own values and stereotypes; co-operate with other departmental staff; prepare for obsolescence.

2. Describe how your work does or could relate to some of the 5 points.

- co-ordinating role of economic development with role of L.G.A. and supporting idea of self reliance - "do it yourself" -
- Whenever I am in doubt on any Program regulation or policy, I am able to call on the L.G.A. and they are able to explain exactly how the program should be taken care of.
- As a supervisor of L.G.A.'s, the more effective they are, the more likely are the goals of the program to be realized.
- Already have personal contact with the Bands in my area. The other items will require possible more improvement.
- My role could be supportive by sharing techniques of methodology.
- could use real assistance in relationship with band on programs.
- I see my role as an L.G.A. advising on all of the above mentioned items.
- As an L.G.A., I will represent the band fairly and forceably in in every respect.
- The majority of my working time witnesses my attempts to strive for the above, however, there is, and always will be, room for improvement.
- Band chief and council has a tendency to listen to an outsider more often.
- provide current up-to-date literature on all Department policies and programs; provide technical and other expertise; help in training programs of Band staff; be a liaison between Band and Department; assist in matters related to funding and budget.
- to have more communication with the L.G.A.; have better working relationship with L.G.A.
- train L.G.A.'s; appraise, evaluate, analyse and assist L.G.A.'s to improve service.
- continuous on all five.
- As chief of my Band, I would work very closely and communicate verbally with our L.G.A.
- Provide information to the L.G.A. within the education field for positive input at the band level.
- my work relates to the 5 points on the basis of capital planning meetings with Band Councils, communicating information from District, Regional Office, Headquarters and other departments and agencies with respect to accountable contributions, financial and human resources; providing services of District program staff to assist in Band programs.
- involved as an L.G.A. at present.

2. Describe how your work does or could relate to some of the 5 points.
 - have visited a reserve, on request - wrote a job description for clerical personnel who were in established positions; involved in processing of Capital and O & M Accountable Contributions, BCR's; requesting quarterly funding from Treasury to Bands; controlling expenditures of funds from Program; have up-dated information on funds spent and balance available.
 - Management of the District.

3. When I talk about local government what I really mean is ...
 - a community having control over more things that affect their lives on local level.
 - government at the local level within the reserve itself benefiting the people living there because it is governed by their own kind.
 - band control of band affairs and responsibility for their actions.
 - means by which Band Councils can govern themselves through an elected body.
 - government by the people for the people.
 - self-sufficiency, responsible government at the Band level.
 - self-government for the Indian people.
 - the band achieve self-dependence.
 - control of all local affairs at the local level which will, hopefully, result responsibility, achievement and a meaningful existence for local people.
 - complete independence on the reserve level.
 - when citizens of a Community (Band) assume control of their local affairs and Community programs and services.
 - a group of people representing a Band.
 - responsible, accountable self-determination of Band affairs.
 - complete control of their own affairs by the Indians.
 - a strong Indian Band Council.
 - local leadership, administration, financial control through an informed electorate in which the leadership is accountable.
 - process whereby Bands will progress towards total autonomy.
 - total management of band affairs by the band.
 - Government for the people by the people with accountability to the people.
 - knowledgeable, self-reliance, master of one's own destiny.

4. Three things I have done to help this seminar along are

- participated and supported group; offered ideas and accepted; positive attitude.
- attend; participate.
- participation in all aspects; communicating my ideas; contributing knowledge and experience.
- participate; take notes; retain information.
- co-operate; participate; facilitate.
- very little - but still more than many; attempt to participate - but biting my tongue much of the time.
- being punctual; participating; attentive.
- speaking out; listening well; offering my personal views.
- participate; display my approval and appreciation; brought forth new ideas.
- participating; taking part in panels; daily attendance.
- listened; co-operated.
- active participation in discussion to find solutions or clarification regarding problem areas; to get a better understanding of the local government concept through discussion and questioning resource people and other participants.
- not sure.
- share knowledge; participation; constructive criticism.
- participated; discussed; listened to other's thoughts.
- participate; not to be late; try to answer when questioned.
- participated; demonstrated enthusiasm; team approved in syndicate.
- active participation; resolve to share this experience.
- participation; co-operation; digested information received.
- typing; xeroxing; organization of printed materials.
- participated in workshop groups; came to the workshop with a positive attitude.
- participate; evaluate; think of the future.

5. Three things I think I can personally do to build on what has happened here are

- continue the process at District; support bands in seeking self reliance in Economic Development which will assist local self government; accept L.G.A. as integral part of District Team.
- have all of the information I gained here available to all Band Staff and Council so that they will be as well informed on Local Government as I have been; implement any new knowledge I have learned when I return.
- implement many of the concepts outlined; improve District training; aid L.G.A. development.
- improve my working relationship with the Band Councils; have more confidence in doing the job.
- review my notes; insist upon follow-up; assist L.G.A. in our setting.
- use the L.G.A. in a responsible manner; assist the L.G.A.
- I feel I have a better idea what I should be doing to become a good L.G.A.; closer liaison with Chiefs - Band Councils; to be aware of all programs and the mechanics of same.
- improve my outlook and behaviour; continue my training; pass the knowledge to the bands.
- evaluate and remodel my approach; advocate and promote the local government concept.
- financial guidelines; work better with our L.G.A.; better co-operation with Department Staff.
- assist the bands to make their own decisions in selecting the programs and services suiting the needs of the communities; assist the bands in adopting DIAND administrative and financial controls; assist the bands in finding solutions to their problems by contacting the appropriate authorities or persons.
- can't say right now have to review the seminar again and decide.
- have follow-up - meetings; initiate training at local level for L.G.A.'s; assist L.G.A. in implementation.
- self-training; stop pigeon-holing people at first impression; listen better.
- to go over what material was made available; relate more at District level; explain in detail to my council.
- inform my staff in educational program of highlights of seminars; support and co-operate with the L.G.A. program in all areas; participate in further training or evaluation of L.G.A.'s.
- make copies of handbook for L.G.A.'s; discussions with District staff; discussions at Band level.
- attend future training sessions; try to practice suggestions received.

5. Three things I think I can personally do to build on what has happened here are
 - training of stenos in Lakehead District Office; stress the importance of listening, understanding and communication in our office; encourage others in our office to get involved in a project such as this.
 - concept of local government; continue with a positive attitude towards bands.
 - organize more effectively; create sensitive/stimulating atmosphere; ensure band participation in our task.

6. List a few of the unanswered questions or concerns you still have regarding carrying out of the local government programs.
 - what will be the relationships between L.G.A.'s and Association fieldworkers, other program staff; what are the attitudes of L.G.A.'s re local government - are they sold on it as something that can be achieved?; won't happen in most cases in foreseeable future -- time too short in 3rd day.
 - no real answer to misappropriated funds allocated to Bands.
 - government may still not have clear idea of how to implement.
 - when will properly qualified persons be made available to get the program going?
 - I am concerned with regards to Band staff being dominated by Chief - Council where they are afraid to do what is right in financial matters, resulting in the misappropriation of funds and they finally quit or get fired.
 - more solid answer should have been given regarding personnel.
 - time element too short; again too much material in such a short time.
 - time will tell.
 - time limit; answers required in short period of time; would like to know who is L.G.A. for Northern District of Nakina i.e. - Fort Hope, Webequie, Lansdowne House.
 - definitions of L.G.A. Goals; structure and reporting procedures.
 - backing from District and Region.
 - time limit; answers quickly wanted in a short period.
 - how will the gap be bridged between the old time (experienced) fieldworkers' job function and their new role as an L.G.A.
 - how will the associations participate?
 - nothing concrete in regards to guidelines for L.G.A. established.

6. List a few of the unanswered questions or concerns you still have regarding carrying out of the local government programs.

- concerns - to get the full impact of this seminar; I feel there should be total immersion by participants; there are some commitments that have to be honoured but a program of this type, I feel, should have a minimum of breaks, interruptions, etc. during the course of the program.
- lack a L.G.A. staff; overloading of L.G.A.'s with paper work; training of L.G.A. and Band personnel.
- are departmental/band staff committees to task ahead? do they realize what it means?

7. Would you recommend this workshop to other people?

- who - other staff (District, Region and Band)
why - better understanding of goals, fears, commonality of problems and goals --
when - once or twice a year
where - alternating communities (on reserve)
- who - Chiefs and Councils
why - they are the ones governing Local Government
when - every six months
where - at local levels so that they can have the opportunity to be able to attempt it with the resources they have
- who - Band staff, L.G.A.'s, Band government
why - they will become more knowledgeable about local government
when - as soon as possible
where - here
- who - Band managers
why - those are the people with whom one will be dealing with
when - as soon as possible
where - Lakehead University
- who - Band employees
why - could be affected by outcome mostly
when - anytime before L.G.A. appointed
where - at local setting

7. Would you recommend this workshop to other people?

- NO - because while there was some value, it did not nearly live up to my expectations. My view is that the time could have been better spent.
- who - All Band Staff
why - it would be very beneficial to them
when - anytime
where - Sioux Lookout, Ontario
- who - the band council and staff
why - to see first hand the importance of L.G.A.
when - soon as possible
where - Sioux Lookout, Ontario
- who - all departmental and Band staff
why - why not?
when - as soon as possible
where - wherever suitable
- who - Chief and Council
why - to enable the administrator to perform efficiently
when - as soon as possible
where - here
- who - other chiefs
why - learning
- who - Indian Affairs staff involved in field work
why - to help the Bands if so required of him
when - whenever opportunity arose
- who - to other communities and Bands
why - to inform them what is going on
when - whenever necessary
where - wherever is necessary
- who - Band Councils and Staff
why - facilitate understanding of L.G.A. role
when - as soon as our L.G.A. are properly trained
where - on Reserve
- who - Chiefs and Councils, remainder of District staff
why - to help in self-government as part of team effort
when - as soon as possible
where - reserves, office

8. State the 3 most important things you plan to discuss with your co-workers when you return
- trust relationship as an ongoing process L.G.A. ↔ other program staff
 - how best to implement and improve communications band ↔ L.G.A. ↔ program staff
 - need for Bands to understand role of L.G.A. (Leo and Gabriel had no idea)
 - how to establish good local government
 - natural human behaviour
 - recognition of newly identified concepts
 - importance of band, association and DIAND common aims
 - treaty 9 presentation
 - must pass on information regarding various aspects to the Band Councils
 - must work as a team
 - read through the information provided from the seminar
 - plan of action
 - follow-up
 - training
 - unfortunately but probably truthfully, the degree of disappointment in the training program
 - local self government
 - how to work with people as a group
 - how to work with Indian Associations
 - co-operation
 - self starting
 - honesty
 - L.G.A. role
 - the true meaning of local government
 - human life
 - who is an L.G.A.
 - meet with our L.G.A. and my staff in explaining his role
 - have our L.G.A. do same with Chief and Council
 - work of L.G.A.'s
 - roles of L.G.A.
 - where are we - Bands and District
 - where are we going - Bands and District
 - in consultation with Bands - unified and best approach to task
 - teamwork
 - role of L.G.A.
 - communication
 - local government
 - L.G.A., their role
 - steps to be taken, like the materia I have, to share them with my co-workers

8. State the 3 most important things you plan to discuss with your co-workers when you return.

- what is local government
- what is the role of the L.G.A.
- how does education fit into this program
- role of L.G.A. from Band point of view
- Association (Treaty 9) Local Government program
- role of L.G.A. point of view
- availability of information
- continuous contact
- co-operation between department, staff and band
- communication
- training
- encourage other to try new projects
- role of L.G.A.
- involvement of L.G.A. with Administrative Support Staff - duties
- concept of Local Government
- effective provision of service to bands
- sensitivity to native feelings
- their commitment to goal

9. Describe in what ways this course has been of personal help and benefit to you in your job

- first hand feed-back of consensus from Band members and Treaty #9
- stage set for better work relationships with L.G.A.
- more aware of human psychology
- clarified many things
- importance of co-operation
- aiding in defining local government
- finance presentations instructive
- didn't realize how important the role of an L.G.A. really is
- realized problems actually exist in other areas
- show need to integrate services
- new ideas
- re-inforced "fun to learn"
- permitted me to meet people from other districts and thereby make it possible for me to better evaluate my position in a context layer than my singular district.
- it has taught me to be more receptive to new ideas
- taught me how to facilitate with Indian Bands in achieving goals and objectives

9. Describe in what ways this course has been of personal help and benefit to you in your job

- I will have more information to provide
- I will have more interest in my job
- I will have more important role to play
- revitalization of attitude and thought processes
- knowledge of resources available
- the description of an L.G.A.
- have an idea of how money is available
- a better understanding of the L.G.A. concept
- a new look in approach to Bands under this program
- X established guidelines would be greatly beneficial when communicating with the Bands
- have a better idea of local government
- meeting people
- hearing their views
- help formulate future plans
- more interest in job
- realization of work to be done
- increased confidence
- to express myself more freely
- to exercise myself more with the Band as a whole
- deal more with the L.G.A. and the district and keep my people informed
- better insight into local government and the place the L.G.A. play in the program
- stressed the point of time approach
- handbook of guidelines set up on program to be used as resource
- now more familiar with concept of local government
- now have knowledge of Treaty 9 interest in this program
- L.G.A. services to Bands can be evaluated by discussion with Band Council
- more information received as to what an L.G.A. should do and not do
- problems of Department - Manpower
 - Finance
- problems of bands - communication
 - resources
- opened up different areas of approaching and overcoming routine problems
- learned the great feeling of accomplishment-just beginning to realize my own potential
- learning to work with a team
- understanding the concepts of local government
- clarity of the role of the L.G.A.
- that Personnel is willing to assist in job classification and standards
- knowledge of L.G.A. role
- problems ahead
- reorganizational plans

10. (i) What are a few of the things you liked best about this seminar
- exchange of ideas, concerns, etc. Band members, associations, Districts, Regional staff; the effort of all concerned to share with one another; a new relationship established
 - X small group discussions
 - X Harvey Silver's style of presentation; flexible format; variety of participants and subjects
 - people from various sections spoke about programs; workshop dealing with solving program's problems; Indian Representation
 - Financial Presentation; Indian input
 - X the description of the financial process - obviously the best prepared discussion of the whole seminar
 - the Indian participation; Dr. Silver's guidance when we tended to stray off the subject; the involvement of all persons present
 - X the definitions that were given; the presentation of the course; the resource people
 - X genuine concern of training team; the opportunity to draw upon and receive the tremendous knowledge, philosophies, and wisdom of Harvey Silver
 - X renewing old friendships; participation
 - X it wasn't boring; different tasks given to groups
 - freedom of speech and expression; patient hearing by resource personnel and Indian leaders; attempt on the part of persons in authority to find solutions for the problems
 - X questions and answers
 - progressive group; nuts and bolts; co-operative facilitators
 - ✓ - group participation; presentation by facilitating team; information as it happened
 - X Financial advice; roll of the L.G.A.; the team work done by Wally, Fred and Harvey and all who was involved
 - X the ease at which all participants were placed; the facilities for the seminar; approach taken by facilitators
 - well conducted; a program which I am interested in; working together in groups to achieve unanimous decisions
 - exchange of information; co-operation between people in attendance
 - X co-operation with team, Norm and participants (with very few exceptions); how the team worked together; flexibility and open mindedness of team
 - ✓ - involvement of all participants (Indian and Departmental personnel); presentation of Treaty #9 regarding local government concept
 - X co-operation; conflict; interpersonal relationship

10. (ii) What things turned you off in this seminar

- the results of role play - offensive to some; the fact that I had to absent myself on two occasions because of calls from field
- running up and down the stairs
- How come not much room here? -- Answer -- tapes
- too tightly scheduled
- lack of Indian input in planning session and role playing scenes
- a number of things including the allotment of time on subjects; important areas passed over superficially while silly and petty areas were given a disproportionate amount of time; the attitude - exemplified by the space provided for the answer to this question that things were all going well, that what was being done was productive --- which prevailed throughout the training session and had no basis whatsoever in reality.
- climbing up and down stairs 3 or 4 times a day to break into discussion groups
- Union of Ontario Indians
- attendance or lack of attendance
- nothing
- sensitivity of other natives
- some participants refused to listen to some of the resource personnel
- the jokes
- too big a subject for time allotted
- the stairs
- nothing
- no specific area
- not enough time in group sessions; nothing concrete really established
- observed that team works better when each person stays within his boundaries and doesn't overlap on someone else's
- some participants who came to the workshop with a negative attitude

11. Comment on what ways you feel the relationship between band members and department members will be the same or different as a result of this seminar.

- different for those who have shared their experiences, common goals, better understanding (i.e. budgetary process as explained)
- more realization of each others jobs and their responsibilities
- much improved
- probably have a better working relationship with the information gained

11. Comment on what ways you feel the relationship between band members and department members will be the same or different as a result of this seminar.
- there should be closer bond of common goals; those not in attendance will have missed an opportunity to grow
 - in theory they should improve - in practice I think the inertia to be overcome is too great and there will be little change
 - I feel there will be a better feeling and understanding of one another as a result of this seminar and a closer relationship will prevail
 - I will have a better understanding and feeling of Indian people and associations
 - warmer and more sensitive understanding
 - a better relationship among the two
 - I think the relationship should improve
 - Improved working relationship between the native people and Departmental staff which will emerge as a result of frank discussions of various problems and matters
 - to work closer together; no comment as long as they understand each other
 - improvement with those present - none at reserve level
 - only one representative from bands here; no comment
 - should be or hopefully closer
 - the general co-operation will increase, however, within the Sioux Lookout District, greater respect for the Treaty #9 organization and an attitude of co-operation towards their field workers
 - Band participants will aid in setting the stage for discussions on Reserves
 - I wasn't close enough to actual seminar situation to comment on this; I think each member will have a different view
 - the people who came with a positive attitude and an open mind will build on this concept; the people who came with a negative attitude left the same way
 - more understanding of hopes and problems and how problems are solved
12. What additional training or assistance is required to carry out the local government program
- more of same for more people --- some L.G.A.'s might profit from "group process" courses

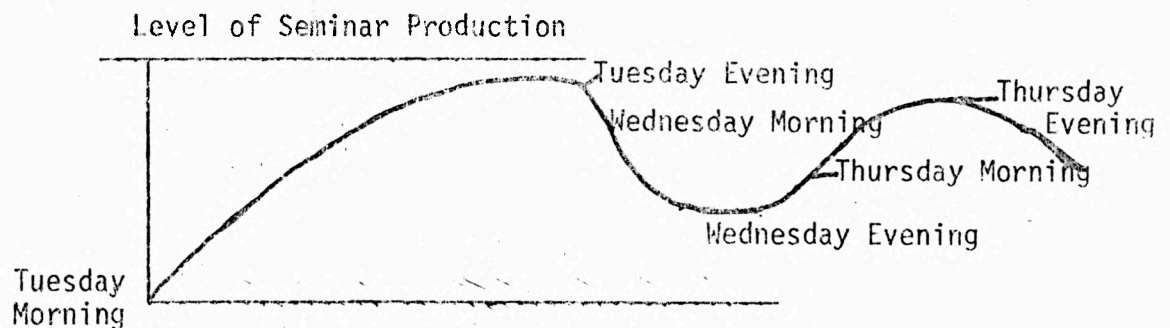
12. What additional training or assistance is required to carry out the local government program
- Have the program on a continuous basis with the attendance of the Chiefs and Councils for they are the ones that will eventually be the people that will be governing these Reserves that are about to achieve their own Local Government.
 - course available to a wider audience
 - L.G.A.'s and Band Managers should be together on training program
 - more local training from District to Band staff
 - much more training quantitatively; qualitatively, a focus on the real activities of people who are to be L.G.A.'s; philosophy will not change significantly - what is needed is people with an initial high degree of the proper philosophy that can then be trained in the "nuts and bolts"
 - Adult training on the job of all chiefs, councillors and Band staff by Community Affairs staff, especially, L.G.A.'s - approximately one month course
 - continuous training similar to this seminar
 - additional seminars such as this
 - a good knowledge is required in Financial and Administrative controls to assist the Bands in achieving a satisfactory standard in this area.
 - more co-operation from the Band, Department, Association representatives; more materials to read with
 - continuous process
 - Training at Reserve level by District staff; in 6 months time, meeting of L.G.A.'s and Community Affairs in Toronto to discuss material problems
 - materials to read with, possibly, one or two more training sessions
 - evaluation of program should be taken, results analysed and an additional seminar set up for more advanced input from all levels
 - Support of L.G.A. in performance of his duties and assistance in avoiding conflicts with Band members and Associations
 - Further exposure to them at Local Government
 - a "pre-pre-briefing" - effecting listening; communication - some "breaking-the-ice" exercises incorporated into the briefing session
 - Band staff training; involvement of the Band Council with the concept of Local Government
 - administrative (management skills)

13. Advice you would offer to other people regarding this program, I would suggest that ...

- more time required to cover topics of Day 3
- those that attend should have the ability to be a good listener and participate but nith not too much discriminatory methods
- it be attended if possible
- have some ideas about programs and policies
- try harder to get Indian attendance; try to make the assignments less demanding regarding time in group sessions
- if you are a mature adult who aspires to progress in your life and work work, you probably won't enjoy being associated with the people who are presently in this program -- with a few notable exceptions; this could change - but only by changing the people and not by expecting the people to change
- that they work very closely with the Chiefs, Council and Band staff and form a good working relationship - trust, a good source of information on all Federal-Provincial matters
- the listen better and be more involved
- don't miss it
- No comment
- It will be greatly beneficial to those participating in this program
- to try and set into it
- worthwhile as a first step
- Be open-minded
- you should attend when called upon, you will understand the role of the Band Council, L.G.A., the Department at District and Regional level
- this program be conducted for all Districts within the Ontario Region
- Band members support their Band Councils and all other Departmental staff fully support the program
- Come to session with open-mind; digest information received; then formulate own ideas or opinion
- get involved - the learning experience is so stimulating - something that never stops
- it was an experience of sharing of ideas
- more sensitivity to Native feelings and more significant presence of Native's planning seminar

14. Any other comments, questions or reactions you care to share with us

- role play (PM 3rd Day) might be a better learning experience for all concerned if participants were native; would be interested if players had been Michael Roy, Leo, Gabriel and Marie
- from this seminar, I have become more aware of the other positions in the Departmental staff and other Band staff and Organizations; gave me the opportunity to meet and socialize with many new people.
- handbook idea excellent; timely training for L.G.A.'s - something new for DIAND; good locale
- the benefit of grouping is partially lost when we rush to finish assignment. Indians seldom had time to make their point
- if it is to be it is up to me - because very few of the others at this conference will take the initiative; I wish it were otherwise - I guess you could say I am frustrated
- Dr. Silver was a hard task master but we all enjoyed the course immensely nevertheless
- Seminars carried out in this manner can only serve to benefit all concerned and prompt us to take a more humanitarian approach toward our work and the people we deal with; a super job by Harvey, Phyl, Dan, Wally and Fred
- N/A
- eliminate historical; reduce theory and philosophy; increase nuts and bolts
- hope in future other sessions have good results and participation and to achieve their goals
- seminar has provided an understanding, a new approach and a feeling team approach towards the implementation of the Local Government and the L.G.A. program



14. Any other comments, questions or reactions you care to share with us

- more time on practice aspect - less time spent on theory; time allotted to establish concrete solution or guideline
- I would like to thank the Training Team for the opportunity of working with them. I've enjoyed it very much and learned the importance of working with a team. I have been able to use different skills than in an office situation, a bit of organization, creativity, and the reason it worked so well is that you were all patient and co-operative.

I hope I have another chance soon to develop some of the things I have learned here, and, will not hesitate to encourage anyone else having an opportunity to get involved in a project of this type.

- We made some mistakes, however, this should not stop future workshops. We learn from our mistakes.
- Profound thanks for your efforts, but remember political implications of dissatisfied association members.

ON ACTION PLAN

MAKE specific recommendations that should go into the 3 categories - to help implement local govt

Create 3 sets of A. plan - outline
Recommendation to
① yourself
② to other govt
③ to Reg CFB + JTG Team

Hope you take the Action plan and work out some detail when you are back on the job. Not enough time at the seminar - work out in terms of who, when, where + how it will