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NATIONAL SOCIAL ASSISTANCE REVIEW

ALBERTA DEBRIEFING

EDMONTON, ALBERTA.
OCTOBER 23, 1979

PROGRAM EVALUATION BRANCH
POLICY, RESEARCH AND EVALUATION
(INDIAN AND INUIT AFFAIRS)
OTTAWA, ONTARIO.

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C O N T E N T S

	PAGE
INTRODUCTORY OVERVIEW	1
OPERATIONAL REVIEW	7
HIGHLIGHTS OF A STUDY TO EXAMINE THE ADMINISTRATIVE ELEMENTS AND RELATED POLICY, MANAGEMENT AND DELIVERY COMPONENTS OF THE S.A. PROGRAM FOR ALBERTA REGION	
ALBERTA INFORMATION SYSTEM ASSESSMENT	25
STUDY OBJECTIVES, SCOPE, FINDINGS, OPPORTUNITIES FOR IMPROVEMENT AND RECOMMENDATIONS	
ALBERTA REGION: DEVELOPMENTAL APPLICATIONS OF SOCIAL ASSISTANCE FUNDS	39
FEDERAL-PROVINCIAL ARRANGEMENTS FOR SOCIAL ASSISTANCE TO INDIANS - ALBERTA REGION	52
CASE STUDIES COMPONENT OF THE SOCIAL ASSISTANCE REVIEW - ALBERTA REGION	60
APPENDIX:	
TERMS OF REFERENCE FOR NATIONAL REVIEW	

INTRODUCTORY OVERVIEW NATIONAL SOCIAL ASSISTANCE REVIEW

WHAT IS THE REVIEW?

- IN THE FIRST PLACE, A MANAGEMENT REVIEW OF PAST PERFORMANCE OF ESTABLISHED PROGRAMS
- INCLUDES SOCIAL ASSISTANCE AND ASPECTS OF BAND WORK PROCESS AND WORK OPPORTUNITIES PROGRAM

WHY CONDUCT A REVIEW?

- TREASURY BOARD POLICY REQUIRES PERIODIC REVIEW OF ALL PROGRAMS TO:
 - EVALUATE THEIR EFFECTIVENESS IN MEETING OBJECTIVES
 - DETERMINE THE EFFICIENCY WITH WHICH PROGRAMS ARE BEING ADMINISTERED
- EXECUTIVE PLANNING COMMITTEE INITIATED REVIEW IN 1978 AS A NATIONAL EXERCISE TO BE CONDUCTED ON A REGION-BY-REGION BASIS
- VIEW OF EVALUATION AS PART OF MANAGEMENT SYSTEM AND RESPONSIBILITIES TO SERVE:
 - PROGRAM DEVELOPMENT
 - MANAGEMENT DECISION-MAKING
 - ACCOUNTABILITY

WHO IS RESPONSIBLE FOR REVIEW?

- PROGRAM EVALUATION BRANCH CARRIES LEAD RESPONSIBILITY FOR NATIONAL EXERCISE BY MANAGING AND FUNDING
- EXTERNAL CONSULTANTS HIRED TO CONDUCT ACTUAL FIELDWORK, ANALYSIS, AND REPORTING
 - SERVES OBJECTIVITY CRITERION
 - INDEPENDENT AND PROFESSIONAL APPROACH
 - CONTINUITY ACROSS REGIONS

WHAT PROCESS IS USED FOR REVIEW?

- NATIONAL TERMS OF REFERENCE DEVELOPED IN CONSULTATION WITH REGIONS, BANDS, ETC.
- APPROVED BY E.P.C.
- ALBERTA DESIGNATED AS PILOT REGION, AT REQUEST OF REGIONAL DIRECTOR GENERAL
- PILOT REGION SERVES TO:
 - DEVELOP ORIGINAL WORKPLANS FOR VARIOUS COMPONENTS OF THE REVIEW
 - DESIGN APPROPRIATE METHODOLOGIES AND IMPLEMENT THESE IN CLOSE CONSULTATION WITH REGION
 - ENSURE VIABILITY AND USEFULNESS OF ANALYSIS, REPORTS, RECOMMENDATIONS

PROCESS (CONTINUED)

- IMPLEMENTATION TO OTHER REGIONS
- ONGOING PROCESS MONITORING BY NATIONAL MANAGEMENT COMMITTEE FOR REVIEW
- FINAL WRAP-UP REPORT FOLLOWING REGIONAL REVIEWS COMPLETION TO FOCUS ON NATIONAL IMPLICATIONS AND ROLES

WHAT DOES THE REVIEW INCLUDE?

FIVE COMPONENTS:

- 1) OPERATIONAL REVIEW TO EXAMINE POLICY, MANAGEMENT AND DELIVERY OF SOCIAL ASSISTANCE PROGRAM
- 2) INFORMATION SYSTEMS ASSESSMENT TO EXAMINE COMPUTERIZED AND MANUAL INFORMATION SYSTEMS FROM AN OPERATIONAL AND FUNCTIONAL POINT OF VIEW
- 3) DEVELOPMENTAL APPLICATIONS OF S.A. - FORMATIVE RESEARCH OF ALTERNATIVE USES OF S.A.
- 4) FEDERAL-PROVINCIAL INTERFACE (ROLES) IN RELATION TO S.A. - POLICY AND PRACTICE, DESCRIPTIVE STUDY
- 5) COMMUNITY CASE STUDIES OF SELECTED BANDS TO IDENTIFY FACTORS THAT SIGNIFICANTLY AFFECT EXTENT OF USE OF S.A.

WHAT WILL THE REVIEW PROVIDE?

- REGIONAL REPORTS ON EACH OF FOUR COMPONENTS
 - OPERATIONAL REVIEW (WITH RECOMMENDATIONS)
 - INFORMATION SYSTEMS ASSESSMENT
(WITH RECOMMENDATIONS)
 - DEVELOPMENTAL APPLICATIONS
(WITH RECOMMENDATIONS)
 - FEDERAL-PROVINCIAL ROLES
(NO RECOMMENDATIONS)
- WORKING PAPERS ON COMMUNITY CASE STUDIES
 - NOT FOR CIRCULATION EXCEPT TO BANDS
INVOLVED AND SELECTED STAFF
 - TO PROVIDE INPUT TO NATIONAL REPORT
ON COMPLETION OF ALL CASE STUDIES
- RECOMMENDATIONS TO LEAD TO ACTION PLANS
AND SCHEDULE FOR IMPLEMENTING IMPROVEMENTS
IN THE REGION
- NATIONAL-LEVEL IMPROVEMENTS TO RESULT FROM
IMMEDIATE REGIONAL REPORTS AND FINAL ROLL-UP
REPORT

THE NATIONAL SOCIAL ASSISTANCE REVIEW IS NOT
A STATIC STUDY TAKING PLACE IN A VACUUM -
RATHER, IT IS PART OF AN ONGOING PROCESS
OF PROGRAM AND MANAGEMENT IMPROVEMENT,
AND DEPARTMENTAL ACCOUNTABILITY TO CENTRAL
AGENCIES.

THE PILOT STUDY HAS DEMONSTRATED THAT:

- BANDS ARE WILLING AND INTERESTED TO
PARTICIPATE IN VARIOUS COMPONENTS OF REVIEW
- DEPARTMENTAL STAFF ARE MOST COOPERATIVE
IN THE REVIEW PROCESS AND SHARE THEIR
KNOWLEDGE AND EXPERIENCE CONSTRUCTIVELY
- THERE IS VALUE TO A COMPREHENSIVE REVIEW
AND REAL OPPORTUNITIES FOR ACHIEVING
IMPROVEMENTS IN MANAGEMENT AND DELIVERY SYSTEMS
- BASED ON COMPONENT ASSESSMENTS, THAT FURTHER
REFINEMENTS IN THE PROCESS AND REPORTING
OF REPORTS CAN BE ACHIEVED TO MAKE REVIEW
BETTER SERVE DEPARTMENTAL NEEDS

BRIEFING FORMAT:

THIS MORNING, BRIEF PRESENTATIONS WILL BE MADE BY CONSULTANTS ON EACH COMPONENT.

EACH PRESENTATION WILL BE FOLLOWED BY AN OPPORTUNITY FOR CLARIFICATIONS FROM THE FLOOR. NO DISCUSSION ON PRESENTATIONS AT THIS TIME.

FOLLOWING PRESENTATIONS, VARIOUS REGIONAL COMMENTS AND HEADQUARTERS VIEWS WILL BE PRESENTED.

COPIES OF THE OVERHEADS WILL BE AVAILABLE DURING THE LUNCH HOUR WHICH INDIVIDUALS MAY KEEP. THESE MAY BE PARTICULARLY USEFUL FOR THE AFTERNOON WORKSHOPS.

THE WORKSHOPS WILL BE AN OPPORTUNITY FOR STAFF TO DISCUSS AND CONSIDER THE REPORTS, THE RECOMMENDATIONS, AND THE REVIEW PROCESS WITH CONSULTANTS.

OPERATIONAL REVIEW

HIGHLIGHTS
OF
A STUDY TO EXAMINE
THE ADMINISTRATIVE ELEMENTS AND
RELATED POLICY, MANAGEMENT AND DELIVERY COMPONENTS OF
THE SOCIAL ASSISTANCE PROGRAM FOR ALBERTA REGION

A REPORT TO THE
DEPARTMENT OF INDIAN AND NORTHERN AFFAIRS

NOTE: THIS PRESENTATION IS NOT INTENDED TO HIGHLIGHT ALL FINDINGS AND CONCLUSIONS, BUT RATHER ONLY THOSE OF MAJOR SIGNIFICANCE. NOTWITHSTANDING THIS, ALL RECOMMENDATIONS FROM THE ORIGINAL REPORT ARE HIGHLIGHTED.

ELEMENTS OF THE ADMINISTRATIVE REVIEW IDENTIFIED BY THE
DEPARTMENT FOR INCLUSION IN THE STUDY:

- * DEPARTMENTAL CONTROLS TO ENSURE
ACCOUNTABILITY IN TRANSFERRING
SOCIAL ASSISTANCE FUNDS;
- * PROCEDURES AND REGULATIONS;
- * OPERATIONAL CONTROLS;
- * PROCEDURES TO DEAL WITH ABUSE;
AND,
- * INTERNAL AUDIT AND QUALITY
CONTROL PROCEDURES.

OBJECTIVES

- * UNDERTAKE A COMPREHENSIVE COLLECTION OF DATA AT REGIONAL, DISTRICT AND BAND LEVELS TO ASCERTAIN THE OPERATIONAL CONTROLS, PROCEDURES AND PRACTICES AVAILABLE TO DELIVER SOCIAL ASSISTANCE FUNDS;
- * CONSOLIDATE AND ASSESS THE MATERIAL COLLECTED; AND,
- * PREPARE A REPORT OUTLINING OUR FINDINGS, CONCLUSIONS AND RECOMMENDATIONS WITH RESPECT TO THE OPERATIONAL EFFECTIVENESS OF SOCIAL ASSISTANCE DELIVERY IN ALBERTA.

IT IS THE INTENT OF THIS REVIEW TO ASSESS EXISTING CAPABILITIES, TO IDENTIFY AREAS WARRANTING IMPROVEMENT, AND TO DEVELOP IMPLEMENTABLE CORRECTIVE ACTION PLANS.

STUDY SCOPE

COMPRISED OF INTERVIEWS AND REVIEWS CONDUCTED

IN:

- * HEADQUARTERS - OTTAWA
- * ALBERTA REGIONAL OFFICE
- * ALL DISTRICT OFFICES
- * EIGHT BAND ADMINISTRATIONS

CRITERIA FOR BAND SELECTION:

- * MINIMUM OF ONE BAND PER DISTRICT
- * REASONABLE MIX OF SELF-ADMINISTERED AND DISTRICT ADMINISTERED BANDS
- * THE SIZE OF THE "ON RESERVE" POPULATION HISTORICALLY RECEIVING SOCIAL ASSISTANCE FUNDS
- * THE EXTENT OR ABSENCE OF EXISTING REVENUE PRODUCING ACTIVITIES OR OPPORTUNITIES AVAILABLE TO THE BANDS

SOCIAL ASSISTANCE IN ALBERTA - A PERSPECTIVE

SOCIAL ASSISTANCE PROGRAM

- * THE PROGRAM PROVIDES FOR ASSISTANCE NECESSARY TO MAINTAIN HEALTH, SAFETY AND FAMILY UNIT AND TO MEET SPECIFIC SITUATIONS WHICH WOULD OTHERWISE RESULT IN SOCIAL AND ECONOMIC HARDSHIP.
- * IN ALBERTA, DURING FISCAL 1978/79 \$18 MILLION WAS EXPENDED BY THE FEDERAL GOVERNMENT ON THE PROGRAM
 - . 90% TO PAYMENT OF SOCIAL ASSISTANCE
 - . 10% TO RELATED ADMINISTRATIVE COSTS

ORGANIZATION AND OPERATION

- * NEW SOCIAL ASSISTANCE MANUAL INTRODUCED APRIL 1979 REFLECTS RECENT ADMINISTRATIVE STRENGTHENING.
- * CONSIDERABLE INITIATIVE HAS BEEN TAKEN TO ENHANCE THE ORGANIZATIONAL FRAMEWORK AND MECHANISMS IN PLACE TO DELIVER SOCIAL ASSISTANCE.
- * CONSIDERATION BEING GIVEN TO GREATER ADMINISTRATIVE DECENTRALIZATION.

PRINCIPAL MANAGEMENT CONCERNS

- * NEED FOR IMPROVEMENT IN SYSTEM OF ACCOUNTABILITY AND MEASUREMENT OF ACTIVITIES.
- * NEED FOR IMPROVEMENT IN THE TRAINING OF KEY STAFF IN BASIC ADMINISTRATIVE AND CONTROL ASPECTS.
- * NEED FOR IMPROVEMENTS IN THE CONTROL MECHANISMS IN PLACE TO DISTRIBUTE SOCIAL ASSISTANCE.
- * NEED FOR CLARIFICATION FROM OTTAWA OF THE DEFINITION OF THE SCOPE AND LIMITS OF PROGRAM SERVICES.
- * NEED FOR REGULAR OPERATIONAL REVIEWS FOR CONTINUED SYSTEMS IMPROVEMENT.

FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

GROUPED UNDER FIVE MAJOR INTER-RELATED CATEGORIES:

- * PROGRAM INTERFACES;
- * SOCIAL ASSISTANCE ELIGIBILITY AND VERIFICATION;
- * ADMINISTRATION, ACCOUNTING, INTERNAL CONTROL AND REPORTING;
- * LEAKAGE, RECOVERY AND APPEAL; AND,
- * TRAINING AND STAFFING.

A. PROGRAM INTERFACES

TWO PRINCIPAL DIMENSIONS:

- (1) INTERNAL
 - HEADQUARTERS/REGIONAL
 - REGIONAL/DISTRICT
 - DISTRICT/BAND
 - SOCIAL ASSISTANCE PROGRAM/
OTHER DEPARTMENTAL PROGRAMS
- (2) EXTERNAL
 - REGIONAL/PROVINCIAL

FINDINGS AND CONCLUSIONS

(1) INTERNAL

- HEADQUARTERS/REGIONAL

- * ABSENCE OF CLEAR NATIONAL SOCIAL ASSISTANCE POLICY GUIDELINES TO ASSIST REGION WITH IMPLEMENTATION AND MANAGEMENT OF THE PROGRAM (REACTIVE VERSUS PROACTIVE)

- * FINANCIAL REPORTING FROM REGION REASONABLY ADEQUATE

- * QUALITY OF THE COMPILATION AND PRESENTATION OF STATISTICAL DATA IS WEAK.

- REGIONAL/DISTRICT

- * PLANNED FIELD VISITS BY REGIONAL PERSONNEL NOT CONDUCTED FREQUENTLY OR CONSISTENTLY

- * INFREQUENT OPERATIONAL AND PERFORMANCE REVIEWS OF DISTRICT OFFICES UNDERTAKEN BY REGION

- * ABSENCE OF WELL-DEVELOPED FEEDBACK MECHANISMS.

- DISTRICT/BAND

- * TRANSFER OF RESPONSIBILITY FROM DISTRICT TO BAND TENDS TO REDUCE THE INTERFACE BETWEEN THE TWO AND THE LOCAL SERVICE AGREEMENT ARRANGEMENTS CANNOT BE CONSIDERED AS AN ADEQUATE SUBSTITUTE.
- * CONTROL AND MONITORING OF ACTIVITIES AT THIS LEVEL REQUIRE IMPROVEMENT.

- SOCIAL ASSISTANCE PROGRAM/OTHER DEPARTMENTAL PROGRAMS

- * POSITIVE EVIDENCE OF INCREASING COORDINATION AMONG PROGRAM ACTIVITIES SHOULD BE FURTHER ENCOURAGED.

(2) EXTERNAL

- REGIONAL/PROVINCIAL

- * THE DEPARTMENT'S REGIONAL OFFICE AND THE HEAD OFFICE OF THE PROVINCIAL SOCIAL ASSISTANCE PLAN APPEAR TO MAINTAIN CLOSE COORDINATION OF ACTIVITIES.
- * BETWEEN THE DISTRICT OFFICES AND THEIR PROVINCIAL COUNTERPARTS, COORDINATION VARIES FROM GOOD TO POOR.

RECOMMENDATIONS

- * THE ALBERTA REGION SHOULD INTRODUCE A PROGRAM OF EFFECTIVE AND REGULAR EXAMINATION AND MONITORING OF THE SOCIAL ASSISTANCE PROGRAM'S OPERATIONS.
- * ATTENTION TO THE ADMINISTRATIVE PRACTICES WHICH SUPPORT ALBERTA'S SOCIAL ASSISTANCE PROGRAM SHOULD BE PROACTIVE RATHER THAN REACTIVE.
- * REGIONAL SOCIAL ASSISTANCE MANAGEMENT SHOULD MAKE INCREASED EFFORTS TO VISIT DISTRICT AND BAND OPERATIONS REGULARLY.
- * LOCAL SERVICE AGREEMENTS SHOULD SPECIFY THE ADMINISTRATIVE RESPONSIBILITIES OF THE BAND AND THE DEPARTMENT SHOULD INTRODUCE FORMAL REVIEW AND AUDIT PROCEDURES TO ENSURE THAT THESE RESPONSIBILITIES ARE DISCHARGED PROPERLY.

B. SOCIAL ASSISTANCE ELIGIBILITY AND VERIFICATION

FINDINGS AND CONCLUSIONS

- * LITTLE OR NO SUPPORTING DOCUMENTATION
EXISTED GENERALLY TO SUPPORT PAYMENTS
OF SOCIAL ASSISTANCE AUTHORIZED.
- * GENERALLY, UNIFORMITY OF INTERPRETATION OF
REGULATIONS IS WEAK, ALTHOUGH INTRODUCTION
OF NEW SOCIAL ASSISTANCE MANUAL HAS BEEN
A POSITIVE INFLUENCE.

RECOMMENDATIONS

- * ELIGIBILITY VERIFICATION PROCEDURES
MUST BE ENHANCED AND AUDITS PERFORMED,
IF PROPER CONTROL IS TO BE ACHIEVED.
- * DOCUMENTATION STANDARDS FOR COMPONENTS
OF THE CASE FILE SHOULD BE DEVELOPED
MORE FULLY.

C. ADMINISTRATION, ACCOUNTING, INTERNAL CONTROL AND REPORTING

FINDINGS AND CONCLUSIONS

(1) REGIONAL

- * CONTROL OVER INFORMATION PROCESSED
REQUIRES STRENGTHENING, ESPECIALLY
IN AREA OF STATISTICAL DATA GATHERING
AS STATISTICAL REPORTS ARE INCOMPLETE
OR MISLEADING.

(2) DISTRICT

- * DISTRICT OFFICE PRACTICES VARY WIDELY
ALTHOUGH SIMILAR SYSTEM GENERALLY
EXISTS IN EACH AREA; THEIR APPLICATION
DEPENDS ON EXPERIENCE AND ADMINISTRATIVE
CAPABILITY PRESENT IN EACH DISTRICT.

(3) BAND

- * REASONABLE ACCOUNTING RECORDS REFLECTING
SOCIAL ASSISTANCE EXPENDITURES WERE MAIN-
TAINED IN BANDS VISITED.
- * ACTUAL ADMINISTRATION, ACCOUNTING AND
CONTROL PROCEDURES NOT CONSISTENTLY APPLIED
FROM BAND TO BAND AND DOCUMENTATION OF
THESE GENERALLY NON-EXISTENT.

RECOMMENDATIONS

- * ADMINISTRATIVE PROCEDURES SHOULD BE DEVELOPED TO BETTER INFORM DISTRICTS AND BANDS OF THE CONTROL REQUIREMENTS NECESSARY TO ENSURE THAT DATA ARE PROCESSED PROPERLY.

- * INTERNAL CONTROL PRACTICES SHOULD BE DEVELOPED AND IMPLEMENTED THROUGHOUT THE REGION.

- * A PROSPECTUS OF INTERNAL AUDIT AND EXAMINATION PROCEDURES SHOULD BE DEVELOPED AND IMPLEMENTED TO ASSURE MANAGEMENT THAT ALL PROGRAM COMPONENTS ARE FUNCTIONING PROPERLY.

D. LEAKAGE, RECOVERY AND APPEAL

FINDINGS AND CONCLUSIONS

(1) LEAKAGE

- * DEFINITION - ANY INTENDED OR UNINTENDED APPROPRIATION OF SOCIAL ASSISTANCE FUNDS WHICH OTHERWISE WOULD BE AVAILABLE FOR USE ELSEWHERE.
- * UNABLE TO ASCERTAIN TOTAL ESTIMATED LEAKAGE AS A PERCENTAGE OF TOTAL SOCIAL ASSISTANCE FUNDS EXPENDED -- NO SUITABLE MECHANISM EXISTS IN SYSTEM TO ACCURATELY ESTABLISH LEAKAGE COSTS.
- * THREE PRINCIPAL CATEGORIES OF LEAKAGE:
 - ASSOCIATED WITH THE APPLICATION AND INTERPRETATION OF REGULATIONS;
 - RELATED TO INADEQUATE PROCESSING CONTROL MECHANISMS;
 - LINKED WITH INTENTIONAL MIS-REPRESENTATION OF DATA.
- * SUBSTANTIAL REDUCTIONS IN LEAKAGE CAN BE ACHIEVED WITHOUT SIGNIFICANT COST INCREASES.

- * REGIONAL OFFICE IS PRESENTLY TAKING SOME STEPS TO REDUCE LEAKAGE THROUGH EMPHASIZING
 - INCREASED COMMUNICATION WITH OTHER SOCIAL AGENCIES;
 - MORE REGULAR HOME VISITS BY WELFARE OFFICERS;
 - CLOSER WORKING RELATIONSHIPS WITH BAND ADMINISTRATORS.

(2) RECOVERY

- * NO EVIDENCE OF CONSISTENCY IN RECOVERY ACTION UNDER VARIOUS CIRCUMSTANCES IS EVIDENT.
- * NO ESTABLISHED RECOVERY UNIT OR NON-CRIMINAL LEGISLATED MECHANISMS.

(3) APPEAL

- * PROCESS APPEARS TO BE WELL-ESTABLISHED AT ALL ADMINISTRATIVE LEVELS WITHIN THE REGION.
- * MOST APPEALS DEALT WITH SUCCESSFULLY AT BAND OR DISTRICT LEVEL, WITH FEW BEING REFERRED TO REGIONAL OFFICE.

RECOMMENDATIONS

- * A PROSPECTUS OF INTERNAL AUDIT AND EXAMINATION PROCEDURES SHOULD BE DEVELOPED AND IMPLEMENTED TO ASSURE MANAGEMENT THAT ALL PROGRAM COMPONENTS ARE FUNCTIONING PROPERLY.

- * STANDARD PROCEDURES FOR RECOVERY ACTION SHOULD BE INTRODUCED AT ALL LEVELS IN THE REGION.

E. TRAINING AND STAFFING

FINDINGS AND CONCLUSIONS

- * IN EXCESS OF 90% OF THE PAYMENTS OF SOCIAL ASSISTANCE ARE AUTHORIZED BY THE SOCIAL WORKER, THUS IT IS MOST IMPORTANT THAT DISTRICTS AND BANDS ARE ADEQUATELY STAFFED WITH COMPETENT PERSONNEL.
- * SOME INTERNAL AND EXTERNAL TRAINING COURSES AVAILABLE RELATING TO IMPROVEMENT OF SOCIAL SERVICE SKILLS; NO CLEARLY IDENTIFIABLE PROGRAMS FOR THE UPGRADING OF ADMINISTRATIVE AND MANAGEMENT SKILLS AT EITHER DISTRICT OR BAND LEVELS EXIST. ON-THE-JOB ADMINISTRATIVE TRAINING IS ONLY MECHANISM AVAILABLE PRESENTLY.
- * NO EVIDENCE OF A FORMAL EVALUATION PROCESS IN OPERATION TO ASCERTAIN THE SPECIFIC TRAINING NEEDS OF DIFFERENT INDIVIDUALS.

RECOMMENDATIONS

- * THE REGION SHOULD MAKE TRAINING IN GENERAL A PRIORITY ACTIVITY AND SHOULD PROCEED IMMEDIATELY TO DEVELOP MATERIALS SPECIFICALLY FOR STAFF TRAINING IN ADMINISTRATIVE PRACTICES.

- * POSITION PROFILES AND PERFORMANCE MEASUREMENT CRITERIA SHOULD BE ESTABLISHED FOR ALL PERSONNEL INVOLVED IN THE SOCIAL ASSISTANCE PROGRAM.

ALBERTA INFORMATION SYSTEM ASSESSMENT

STUDY OBJECTIVES

SCOPE

FINDINGS

OPPORTUNITIES FOR IMPROVEMENT

RECOMMENDATIONS

EDMONTON, ALBERTA

OCTOBER 23, 1979

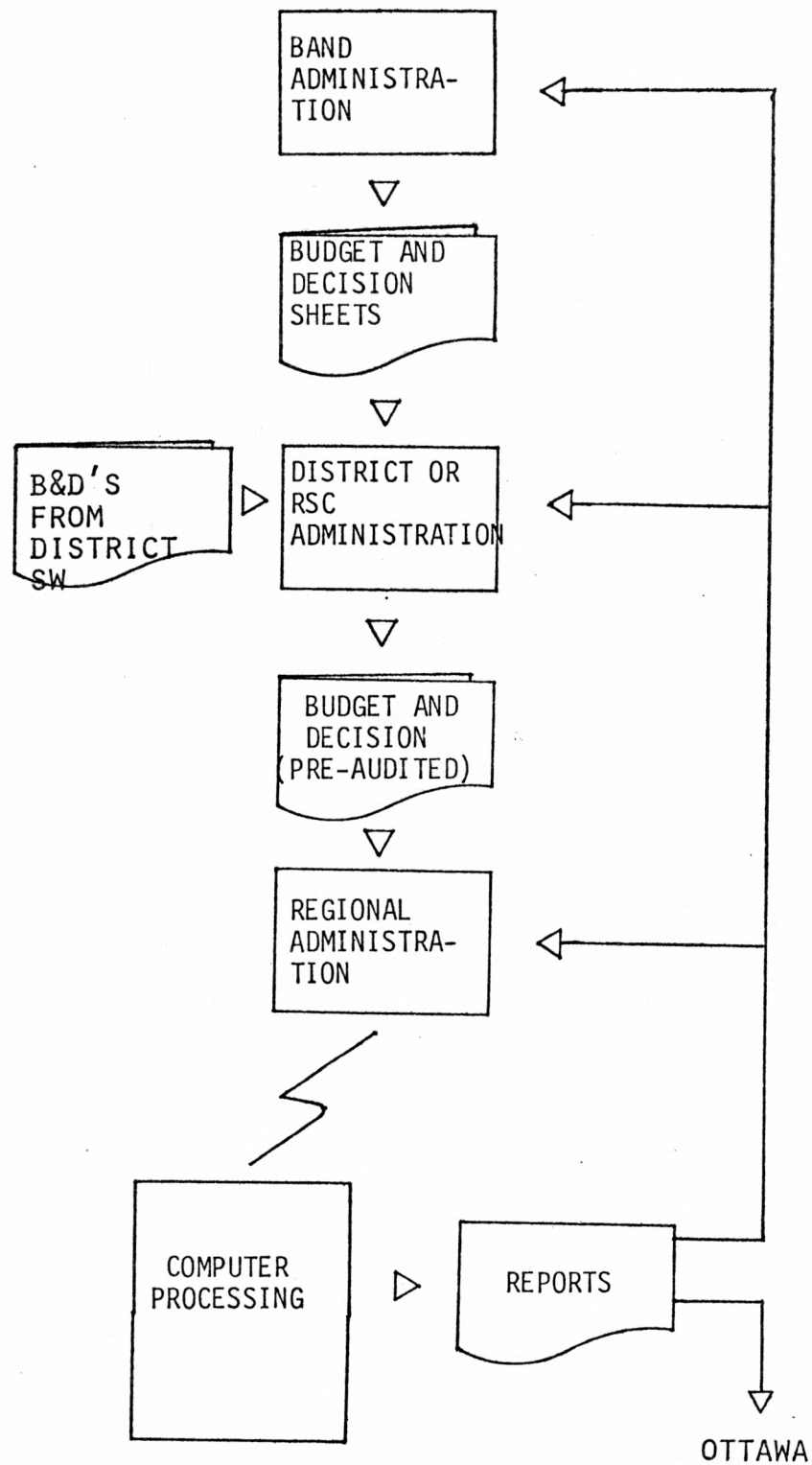
STUDY OBJECTIVES

- * IDENTIFY AND DOCUMENT CURRENT REGIONAL
INFORMATION SYSTEM - MANUAL AND COMPUTER
COMPONENTS
- * DETERMINE ADEQUACY OF SYSTEM: FUNCTIONALLY
OPERATIONALLY
- * IDENTIFY OPPORTUNITIES FOR IMPROVEMENT BOTH
IN THE SHORT TERM AND IN THE LONG TERM

SCOPE

THE INFORMATION SYSTEM IS ... AN ORGANIZATION OF
PEOPLE, PROCEDURES, FORMS AND ELECTRONIC EQUIPMENT
USED TO COLLECT, PROCESS AND REPORT INFORMATION TO
OPERATIONS AND MANAGEMENT.

INFORMATION SYSTEM (IDEAL)



FINDINGS

SYSTEM REQUIREMENT

TO PROVIDE A MECHANISM FOR
FINANCIAL CONTROL OF REIM-
BURSEMENTS TO BANDS
(APPROX. \$8 MILLION PER YEAR)

FUNCTIONAL ASSESSMENT

NOT EFFECTIVE BECAUSE:

- * IN SOME BANDS DISCREPANCIES
IN EXCESS OF 20% DURING THE
YEAR, BETWEEN COMPUTER
REPORTS AND BAND RECORDS
- * NO CONTINUOUS RECONCILIATION

FINDINGS

SYSTEM REQUIREMENT

TO PROVIDE CURRENT, ACCURATE
OPERATIONS STATISTICS TO
SUPPORT:

- * OPERATIONS PLANNING AND
RESOURCE ALLOCATION
- * OPERATIONS MONITORING

FUNCTIONAL ASSESSMENT

COMPUTER REPORTS ARE NOT USEFUL
BECAUSE:

- * CREDIBILITY IS LOW DUE TO
HIGH PROBABILITY OF ERRORS
OR INCOMPLETE DATA
- * PRESENT LEVEL OF DETAIL ON
REPORTS IS INSUFFICIENT TO
SUPPORT OPERATIONS MANAGEMENT

FINDINGS

OPERATIONAL ASSESSMENT

DATA COLLECTION

WEAK CONTROL IN PROCEDURES FOR SUBMISSION OF FORMS FROM BANDS
TO REGIONAL OFFICE, THROUGH THE DISTRICT OFFICE

- | | | |
|----------------|---|-------------------------------|
| * TIMELINESS | - | IRREGULAR SUBMISSION |
| | - | LATE FORMS |
| * ACCURACY | - | FORMS NOT VERIFIED REGULARLY |
| | | BY DISTRICTS AND BANDS |
| * COMPLETENESS | - | FORMS MISPLACED |
| | - | EXPENDITURES BY BANDS WITHOUT |
| | | COMPLETION OF FORMS |

FINDINGS

OPERATIONAL ASSESSMENT

DATA RECORDING

- * REDUNDANT STEPS IN DATA PREPARATION
- * WEAK CONTROL OVER COMPLETENESS AND ACCURACY OF DATA ENTRY
- * CUMBERSOME CONTROL ON CANCELLATIONS
- * WEAK CONTROL ON PERMANENT RECORD RETENTION

FINDINGS

OPERATIONAL ASSESSMENT

COMPUTER REPORTS

NO REGULAR RECONCILIATION WITH SOURCE DOCUMENTS.

HAMPERED BY:

- * VERY CUMBERSOME RECONCILIATION PROCEDURES
- * LACK OF ADEQUATE TRAINING
- * APPARENT UNAVAILABILITY OF DOCUMENTED PROCEDURES

FINDINGS

OPERATIONAL ASSESSMENT

COMPUTER REPORTS

NO REGULAR RECONCILIATION WITH SOURCE DOCUMENTS.

HAMPERED BY:

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- * LACK OF ADEQUATE TRAINING
- * APPARENT UNAVAILABILITY OF DOCUMENTED PROCEDURES

FINDINGS

OPERATIONAL ASSESSMENT

INTERFACE WITH DSS

CHEQUES ISSUED BY DSS HAVE A HIGH PROBABILITY OF CONTAINING OUT-OF-DATE INFORMATION.

CAUSES:

- * HIGH FREQUENCY OF CHANGE OF RECIPIENT PAYMENT DETAILS
- * LONG LEAD TIME REQUIRED FOR DISTRICTS TO GET CHEQUES ISSUED BY DSS

OPPORTUNITIES FOR IMPROVEMENT

SHORT TERM

PROVIDE BETTER CONTROL OVER REIMBURSEMENTS TO BANDS AND MORE CREDIBLE DATA FOR USE IN OPERATIONS PLANNING AND CONTROL BY IMPROVING THE COMPLETENESS AND ACCURACY OF COMPUTER STORED INFORMATION.

REQUIRES:

- * DEVELOPMENT AND ENFORCEMENT OF ENHANCED CONTROL MECHANISMS ON THE FORMS HANDLING SURROUNDING THE COMPUTER OPERATION
- * DEVELOPMENT AND ENFORCEMENT OF REGULAR RECONCILIATION PROCEDURES TO VERIFY COMPUTER REPORTS WITH SOURCE DOCUMENTS
- * DEVELOPMENT AND CIRCULATION OF A BRIEF PROCEDURE MANUAL
- * TRAINING SESSION FOR EACH DISTRICT AND BAND WHICH ADMINISTERS THEIR OWN PROGRAM

LONG TERM

DEVELOPMENT OF MAJOR CHANGES TO THE REGIONAL SYSTEM SHOULD BE DONE WITHIN THE FRAMEWORK OF A NATIONAL INFORMATION SYSTEM. THIS WILL REQUIRE DEFINITION AND FORMALIZATION OF REPORTING STANDARDS AT BOTH NATIONAL AND REGIONAL LEVELS.

WITHIN THE NATIONAL FRAMEWORK, COMPREHENSIVE IMPROVEMENTS SHOULD BE UNDERTAKEN IN THE REGION EMPLOYING THE FOLLOWING OBJECTIVES;

- * SIMPLIFY THE COLLECTION, RECORDING AND RECONCILIATION OF SOCIAL ASSISTANCE DATA, THEREBY REDUCING THE LEVEL OF USER FRUSTRATION AND TOTAL MANPOWER REQUIREMENTS
- * ENHANCE MANAGEMENT INFORMATION FOR IMPROVED SUPPORT OF BUDGETING, MONITORING OF OPERATIONS AND GENERAL PROGRAM PLANNING
- * FACILITATE INTEGRATION WITH DEPARTMENTAL FINANCIAL SYSTEMS FOR IMPROVED DATA ACCURACY, E.G. BUDGETARY CONTROL AND EXPENDITURE ACCOUNTING SYSTEMS
- * IMPROVE EFFICIENCY OF INTERACTION WITH DSS FOR CHEQUE ISSUANCE, REDUCING THE TOTAL TURNAROUND TIME AND RELATED ADMINISTRATIVE PROBLEMS
- * FACILITATE INTEGRATION WITH OTHER POPULATION BASED SYSTEMS, E.G. MEMBERSHIP AND EDUCATION, FOR IMPROVED OPERATIONS MANAGEMENT INFORMATION
- * ENHANCE CONTROL OVER ACCESS TO COMPUTER STORED DATA TO ENSURE THAT THE RECIPIENTS RIGHT TO PRIVACY OF INFORMATION IS FULLY RESPECTED.

RECOMMENDATIONS

1. INITIATE SHORT TERM IMPROVEMENT OPPORTUNITIES
 - * SHOULD START IMMEDIATELY
 - * SHOULD USE A FORMAL SYSTEM LIFE CYCLE APPROACH
 - * RESPONSIBILITY CENTER SHOULD BE ESTABLISHED IN THE REGION
 - * RESOURCE ESTIMATE IS 3-4 MAN-MONTHS OVER A ONE YEAR PERIOD.
2. RESERVE ACTION ON LONG TERM IMPROVEMENT OPPORTUNITIES
 - * SUBJECT TO RESULTS OF THE NATIONAL ASSESSMENT OF INFORMATION SYSTEMS AND OTHER REVIEW COMPONENTS
TARGET COMPLETION DATE: END OF THE FISCAL YEAR.
 - * AT THAT TIME IMPROVEMENTS SHOULD BE INITIATED USING THE FORMAL SYSTEM LIFE CYCLE APPROACH. THIS WILL INVOLVE THE RE-ESTABLISHMENT OF PROJECT REVIEW COMMITTEE AS THE RESPONSIBILITY CENTER FOR THE SYSTEM TO RESOLVE ANY PROBLEMS WHICH ARISE AND TO ENSURE ADEQUATE REGIONAL INPUT.
 - * RESOURCE ESTIMATES WILL BE MADE AT THE COMPLETION OF THE NATIONAL REVIEW.

Alberta Region

**developmental applications
of social assistance funds**

Indian and Inuit Affairs Program
Department of Indian Affairs
and Northern Development

objective

**review the alternative uses
of social assistance funds
established to achieve more
developmental results than the
prevailing program arrangement**

results

- 1 identify alternative developmental programs**
- 2 review how they operate (intent vs. reality)**
- 3 the future:
social assistance implications
and proposed changes**

1 alternative developmental programs

- . work opportunity program (WOP)**
 - . band work process (BWP)**
 - . regional work incentive scheme (RWIS)**
-

**2 review how they operate:
intent vs. reality**

Work Opportunity Program (WOP),
intent

- **bands develop WOP projects**
- **bands participate in WOP projects**
- **department funds provide access to work projects**
- **meaningful employment**
- **community improvements and services**
- **individual self-sufficiency and community self management**

● WOP reality

- funding since 1972

— social assistance	\$ 1,906,303
— WOP grants	\$ 692,294
— total project funds	\$ 11,817,222

- 181 projects approved since 1972

- 83 projects in one district

- 30 bands participated

- social assistance funds relatively constant but a decreasing percentage of total funds

- WOP creating over 100 person-years of work annually

- houses and community improvements provided

- too short-term to influence self-management

● Band Work Process (BWP)

intent

- . **strengthen band planning process**
- . **improve coordination of available resources**
- . **develop more coordinated program delivery**
- . **establish development strategies**
- . **integrate training**
- . **create jobs**
- . **create long term employment**
- . **reduce dependence on social assistance**

● BWP reality

- funding since 1975
 - **social assistance funds** **\$ 119,495**
 - **BWP funds** **\$426,110**
- 11 bands participated:
 - planning purposes:** **4 bands**
 - strategy development:** **1 band**
 - integrated training:** **2 bands**
- seen as another source of funds rather than a planning and coordination fund
- few jobs created
- some long term employment created
- program delivery on one to one basis
- dependence on social assistance continues

Regional Work Incentive Scheme (RWIS)

intent

- **permit individuals to earn up to \$100/month for 6 months without a deduction from social assistance**
- **encourage individuals to be self-supporting**
- **encourage individuals to gain employment**

RWIS reality

- individuals are not sufficiently aware of RWIS
- jobs are limited/RWIS application is limited
- where jobs are available, income tends to exceed eligibility limits
- limited consolidated data on the use of the program
- 201 users of a potential population of 1900 (November/78)

3 the future:

**social assistance implications
and proposed changes**

the future

- **tie funding to band development**
- **establish a focal point in regional office**
- **develop regional policy and guidelines**
- **provide bands with funding information**
- **develop an improved system of implementation**

FEDERAL PROVINCIAL ARRANGEMENTS FOR SOCIAL
ASSISTANCE TO INDIANS - ALBERTA REGION

PROGRAM PLANNING CONSULTANTS

OCTOBER 1979

PURPOSE:

- TO DOCUMENT FEDERAL PROVINCIAL ARRANGEMENTS
IN PROVIDING AND FUNDING SOCIAL ASSISTANCE
FOR INDIANS
- TO PREPARE A NATIONAL REPORT, IDENTIFYING
VARIATIONS AMONG REGIONS
- TO IDENTIFY POLICY IMPLICATIONS

FEDERAL POLICY ON SOCIAL ASSISTANCE TO INDIANS

- FEDERAL JURISDICTION OVER INDIANS UNDER SECTION 91 OF THE BRITISH NORTH AMERICA ACT
- THIS JURISDICTION IS EXERCISED IN THE INDIAN ACT
- INDIAN ACT DOES NOT SPECIFICALLY MENTION SOCIAL SERVICES OR SOCIAL ASSISTANCE (ALTHOUGH UNDER SECTION 88 PROVINCIAL STATUTES REGULATING THE DELIVERY OF SERVICES APPLY TO INDIAN PEOPLE ON RESERVE)
- AUTHORITY FOR THE SOCIAL ASSISTANCE PROGRAM LIES IN THE ANNUAL APPROPRIATIONS ACT AND EXERCISE OF THIS AUTHORITY IS IN TREASURY BOARD MINUTE 627879.

FORMAL AGREEMENT WITH PROVINCE (1962)

- ALBERTA AND DINA REACHED AN AGREEMENT IN 1962 ON THE FEDERAL PROVINCIAL INTERFACE OF SOCIAL ASSISTANCE TO INDIANS.
- SINCE 1962 THE PROVINCE HAS UNILATERALLY DEVIATED FROM THE HUNTER - MOTHERWELL AGREEMENT. THE MAJOR DEVIATION IS THAT THE PROVINCE HAS APPLIED FURTHER RESTRICTIONS TO THE CATEGORIES OF OFF-RESERVE INDIANS THAT IT WILL PROVIDE ASSISTANCE TO.

ON-RESERVE SOCIAL ASSISTANCE

- ADMINISTERED BY BANDS OR DINA AND FUNDED BY DINA
- NON-INDIANS ALSO SERVED BY DINA PROGRAM WITH NO CHARGE-BACK TO PROVINCE.

OFF-RESERVE SOCIAL ASSISTANCE

- PROVINCE ADMINISTERS AND FUNDS SOCIAL ASSISTANCE TO OFF-RESERVE INDIANS "WHO ARE ENDEAVOURING TO ESTABLISH THEMSELVES AS SELF-SUPPORTING" AND "ARE MEMBERS OF ALBERTA BANDS."

- DINA PROVIDES AND FUNDS SOCIAL ASSISTANCE TO OFF-RESERVE INDIANS NOT ELIGIBLE FOR PROVINCIAL ASSISTANCE (CASES THAT CORRESPOND TO THE "HEALTH" AND "SOCIAL" CATEGORIES OF NEED),
- DINA REIMBURSES THE PROVINCE FOR SOCIAL ASSISTANCE PROVIDED TO OFF-RESERVE INDIANS WHO COME TO ALBERTA FROM ANOTHER PROVINCE OR WHO MOVE TO SOUTHERN ALBERTA UNDER THE SPONSORSHIP OF THE FEDERAL PROVINCIAL FARM LABOUR BOARD FOR THE PURPOSE OF TAKING EMPLOYMENT. THE PROVINCE ALSO SEEKS REIMBURSEMENT FOR OTHER OFF-RESERVE INDIAN SOCIAL ALLOWANCE CASES WHO ARE NOT COVERED UNDER PROVISIONAL REGULATIONS("HEALTH" AND "SOCIAL" CATEGORIES).
- PROVINCE HAS AN AGREEMENT WITH N.W.T. GOVERNMENT TO PROVIDE SOCIAL ASSISTANCE TO N.W.T. INDIANS IN ALBERTA AND TO BILL N.W.T. FOR FULL COST. VERY FEW CASES ARE COVERED BY THIS AGREEMENT.

TABLE II: DINA EXPENDITURES FOR OFF-RESERVE INDIANS

(1973-79)

Responsibility Centre	Total of Monthly Case Units	Expenditure
Blackfoot/Stoney/Sarcee	1,464	\$ 397,166
Blood/Peigan	1,931	618,993
Edmonton/Hobbema	4,261	1,509,564
Lesser Slave Lake	2,955	738,607
Total for Alberta Region	<u>10,611</u>	<u>\$3,264,330</u>

DINA REIMBURSEMENT TO PROVINCE OF ALBERTA FOR SOCIAL ASSISTANCE

EXPENDITURES FOR OFF-RESERVE INDIANS. (1978-79)

Responsibility Centre	Total of Monthly Case Units	Expenditure
Blackfoot/Stoney/Sarcee	1,834	\$ 620,084
Blood/Peigan	522	171,089
Edmonton/Hobbema	2,262	713,589
Fort Vermilion	4	1,490
Lesser Slave Lake	749	139,689
Saddle Lake/Athabasca	374	62,019
Total for Alberta Region	5,744	\$1,707,958

CASE STUDIES COMPONENT OF THE SOCIAL ASSISTANCE
REVIEW - ALBERTA REGION

PROGRAM PLANNING CONSULTANTS INC.

THE PURPOSE OF THE CASE STUDIES

- TO PROVIDE THE SOCIAL ASSISTANCE REVIEW WITH AN INSIGHT INTO THE CONTEXT OF THE SOCIAL ASSISTANCE PROGRAM AND THE PROBLEMS THE PROGRAM ADDRESSES.

- TO IDENTIFY SALIENT FACTORS AFFECTING THE LEVEL OF SOCIAL ASSISTANCE UTILIZATION IN SELECTED COMMUNITIES.

- TO IDENTIFY BARRIERS TO SOCIAL ASSISTANCE RECIPIENTS BECOMING MORE ECONOMICALLY INDEPENDENT.

- THE FINDINGS OF THE CASE STUDIES ARE NOT INTENDED TO BE GENERALIZED TO INDIAN COMMUNITIES ACROSS THE COUNTRY (OR EVEN ACROSS A REGION)

METHODOLOGY

• THE STUDY IS BASED ON DATA FROM INTERVIEWS AND
DOCUMENTS COLLECTED FROM THE FOLLOWING SOURCES:

BAND OFFICIALS

BAND MEMBERS

DINA DISTRICT OFFICE OFFICIALS

CEIC OFFICIALS

PROVINCIAL SOCIAL SERVICE OFFICIALS

OTHER INFORMED PEOPLE

• CASE FILES OF SOCIAL ASSISTANCE RECIPIENTS ARE
ALSO SAMPLED TO DEVELOP A PROFILE OF THE CHARACTERISTICS
OF SOCIAL ASSISTANCE RECIPIENTS.

CRITERIA FOR SELECTING BANDS FOR INCLUSION AS CASE STUDIES

- PROPORTION OF BAND USING SOCIAL ASSISTANCE
- SIGNIFICANT CHANGES IN THE PROPORTION OF BANDS USING
SOCIAL ASSISTANCE DURING THE LAST 4 YEARS
- BAND SIZE
- GEOGRAPHICAL SITUATION OF BAND
- METHOD OF SOCIAL ASSISTANCE DELIVERY (BAND, DINA, ETC.)

REPORTING OF THE CASE STUDIES

- FINDINGS REPORTED AS SEPARATE WORKING PAPERS.
- NATIONAL OVERVIEW REPORT TO PRESENT:
 - INSIGHTS GAINED
 - IMPLICATIONS FOR POLICY

THE PROPORTION OF THE POPULATION RELYING ON SOCIAL
ASSISTANCE WAS GENERALLY ABOUT 40%: THE RANGE WAS
15% TO 54% WHEN SEASONAL EXTREMES WERE CONSIDERED.

	BANDS			
	A	B	C	D
PERCENT ON SOCIAL ASSISTANCE:	40%	37-54%	49%	15-35%

THE PROPORTION OF HEADS OF HOUSEHOLD ON SOCIAL ASSISTANCE
FOR "ECONOMIC", "SOCIAL", AND "HEALTH" REASONS.

REASONS	BANDS			
	A	B	C	D
ECONOMIC	21	66	60	46
HEALTH	35	19	16	29
SOCIAL	44	15	24	25
TOTAL	100%	100%	100%	100%

RESERVE UNEMPLOYMENT LEVELS ARE VERY HIGH

	BANDS			
	A	B	C	D
PERCENT OF				
BAND LABOUR				
FORCE UNEM-				
PLOYED	90%	80%	65%	70%

THERE WERE FEW ON-RESERVE EMPLOYMENT OPPORTUNITIES,
PARTICULARLY IN THE PRIVATE SECTOR.

% OF RESERVE LABOUR FORCE EMPLOYED ON-RESERVE

SECTOR	BANDS			
	A	B	C	D
PRIVATE SECTOR	3%	3%	2%	11%
PUBLIC SECTOR	7%	16%	12%	8%
TOTAL	10%	19%	14%	19%

LEVELS OF OFF-RESERVE EMPLOYMENT FOR PEOPLE LIVING
ON-RESERVE WERE LOW.

	BANDS			
	A	B	C	D
PERCENT OF RESERVE LABOUR FORCE EMPLOYED OFF- RESERVE	0 ¹	1 ¹	23 ²	4-24 ³

1 : AT TIME OF STUDY

2 : DURING YEAR PRECEDING STUDY

3 : SEASONAL EXTREMES IN YEAR PRECEDING STUDYING

BARRIERS TO EMPLOYMENT - GENERAL

- LACKED WORK EXPERIENCE (IN RESERVE "B"

54% HAD NO RECENT EMPLOYMENT HISTORY)

- LACKED WORK SKILLS

- LACKED EDUCATION (THE PROPORTION WITH NO

SECONDARY SCHOOL EDUCATION VARIED BETWEEN

65% AND 78% AMONG THE 4 BANDS)

- LACKED MOBILITY

BARRIERS TO INDIANS FINDING OFF-RESERVE EMPLOYMENT.

- LACK OF TRANSPORTATION
- LACK OF APPROPRIATE WORK SKILLS AND WORK
EXPERIENCE
- OFF - RESERVE HOUSING COSTS
- SEPARATION FROM FAMILY, COMMUNITY AND CULTURE

JOB CREATION AND MANPOWER TRAINING PROGRAMS (WOP,
BWP, FLIP, LIP, CW, CMTP, YCW) HAVE A RELATIVELY
SMALL IMPACT - ACCOUNTING FOR ABOUT 10 MAN YEARS
EMPLOYMENT A YEAR FOR EACH BAND.

MOST BAND MEMBERS RELY ON GOVERNMENT PROGRAMS FOR
THEIR LIVELIHOODS, THROUGH INCOME MAINTENANCE BENEFITS
(UIC, OAS, SOCIAL ASSISTANCE, ETC) OR THROUGH
PUBLIC SECTOR EMPLOYMENT (BAND ADMINISTRATION, BAND
PROJECT, SCHOOLS, ETC.):

BAND A	BAND B	BAND C	BAND D
97%	95%	74%	70%

FOR BANDS C AND D, THE LOWER PERCENTAGES OF GOVERNMENT
LIVELIHOOD IS ACCOUNTED FOR BY OFF-RESERVE EMPLOYMENT.

BAND MEMBERS GENERALLY ACCEPT THE NECESSITY OF
EXTENSIVE RELIANCE ON SOCIAL ASSISTANCE (MINIMAL STIGMA
IS ASSOCIATED WITH THE RECEIPT OF ASSISTANCE)

APPENDIX A

PROPOSED TERMS OF REFERENCE FOR A NATIONAL REVIEW OF THE SOCIAL ASSISTANCE PROGRAM

Introduction

This document outlines the proposed basic terms of reference for a national review of the Social Assistance Program. The review will involve three components, each examining different dimensions of the program:

- i) An operational review
- ii) An examination of developmental applications social assistance funds
- iii) Case studies of social assistance in Indian communities.

The overall responsibility for the review is with the Program Evaluation Branch of the Policy, Research and Evaluation Group (Indian and Inuit Affairs). A management committee will be established with responsibility for the planning and management of the review components. All regions of the Department, except the Northwest Territories will be included in the review. It is expected that the Review will be concluded by the end of the 1979 calendar year.

This National Review of the Social Assistance Program will initially be implemented in the Alberta region on a pilot basis. This will provide the opportunity to test the various approaches outlined in this document before implementing them in other Regions, to achieve a national-scale study.

I OPERATIONAL REVIEW

a) Background The operational review component of the Social Assistance Review will involve an examination of the policy, management and delivery of the social assistance program. The output from this component will be a report which includes a presentation of observations and recommendations.

In proceeding with the operational review a number of issues, which are elaborated below, will be addressed. In dealing with these issues particular attention will be focused on how they are affected by the various alternative types of program delivery (Band, Departmental and Provincial delivery). In addition to field work required to address these issues, the review will also consider other studies, and task forces that have dealt with areas related to the administration of the Social Assistance Program. This work would include the Social Assistance Review (1973-74), the Alberta Social Assistance Task Force (1978), and the evaluation of the Social Assistance management information systems (1978) at National Office, (DIAND).

b) Review Issues The particular areas which have been identified for attention in the operation review are as follows:

i) FEDERAL-PROVINCIAL RESPONSIBILITIES IN PROVISION OF SOCIAL ASSISTANCE TO INDIAN PEOPLE

Issues - To what extent are there variations in provincial responsibilities for provision of social assistance to Indians?

- What are the variations in arrangements for provinces to charge the Department for social assistance they provide to Indians?

Methodology

- Interview with program managers in all regional offices.
- Interviews with program support staff at the national headquarters level.
- Review federal-provincial agreements and documentation of federal-provincial responsibilities for social assistance to Indians.
- This section on Federal-provincial responsibilities will only set out to document existing responsibilities. No recommendations will be attached.

ii) **DEPARTMENTAL CONTROLS TO ENSURE ACCOUNTABILITY IN TRANSFERRING SOCIAL ASSISTANCE FUNDS**

- Issues**
- What assurances are there of accountability in financial arrangements between different levels of the Department and BAnds?

Methodology

- Interviews with program managers in national headquarters, all regional offices, selected district offices in each region and selected Bands in each region.

iii) PROCEDURES AND REGULATIONS

- Issues**
- To what extent are the Departments' social assistance programs' procedures and regulations modelled on those of the provinces of respective regions?
 - What are the issues which arise from the Departments' adherence to provincial rates?

- Methodology**
- Interviews with managers at national headquarters all regional offices, selected district offices in each region and selected bands in each region.
 - Review Departmental and Provincial policy manuals in each region.

iv) OPERATIONAL CONTROLS

- Issues**
- What controls exist to ensure that there are no duplications of social assistance payments - within the Department and with other agencies?
 - Interview with managers in all regional offices, selected district offices in each region and selected Bands in each region.

- Reviewing documentation of operational control procedures and guidelines in each region.
- Review case files to identify any case control problems.

v) PROCEDURES TO DEAL WITH ABUSE

- Issues**
- What procedures are there to deal with cases of detected abuse of social assistance?
 - What issues arise from these procedures or from the absence of such procedures?

- Methodology**
- Interviews with program managers in all regional offices, selected district offices in each region and selected Bands in each region.
 - Review of documentation of abuse procedures followed by the Department and those followed by provinces.

vi) INTERNAL AUDIT AND QUALITY CONTROL PROCEDURES

- Issues**
- What internal audit and quality control procedures are used in the social assistance program?
 - How satisfactory are these procedures?

Methodology - Interview program managers in all regions and in selected district offices in each region.

- Survey of documentation of internal audit procedures follows.

vii) **MANAGEMENT INFORMATION SYSTEMS**

Issues - What management information systems for social assistance are in use in the department?

Methodology - Liaison with the evaluation of social assistance information systems.

c) **Responsibilities** The National Social Assistance Review Management Committee has responsibility for the planning and management of the operational review component. All tasks and major components will be carried out on contract although the Review Management Committee will maintain overall responsibility for managing and monitoring this work. The development of methodology for all components and their pilot testing will be conducted in Alberta Region.

d) **Scope of Factfinding** Factfinding will take place at the National office level and in all Regional Offices of Indian and Inuit Affairs. District offices and Bands will be covered in the field work. Appropriate criteria will be developed to ensure adequate representation of Bands and Districts for the operational review.

f) **Time-frame** Factfinding for the operational review will take place before the end of the 1979 calendar year in all Regions.

I EXAMINATION OF DEVELOPMENTAL APPLICATIONS OF SOCIAL ASSISTANCE FUNDS

A) **Background** This component of the Social Assistance Review will involve an examination of alternative uses of social assistance funds which have been established with a view to achieving more developmental results than the prevailing program arrangement. These developmental alternatives are the job creation programs, Band Work Process and Work Opportunities, as well as the work incentive scheme developed in the Maritime region.

This part of the review would represent a piece of formative research, intended to look at how the programs are intended to operate, assist in conceptualizing and operationalizing the program, identifying possible goals and effects and exploiting casual relationships between program operations and effects. It will assist in developing an understanding of program contexts. This component of the review will not be a piece of evaluation research intended to measure program effectiveness but rather an exercise which will assist in making the program more evaluable.

b) **Review Issues** This part of the review will address the following issues:

i) HISTORY OF PROGRAMS AND PROJECTS

- Why were these programs introduced?
- How did they evolve?
- What were the intended funding sources for programs and their projects?

ii) **PROGRAM AND PROJECT ACTIVITIES**

- What is the nature of the program activities?
- What is the nature of the project activities?
- What is the volume and extent of such activities (i.e., in the job creations programs: how many jobs were created?)

iii) **UTILIZATION**

- Who are the intended target populations?
- Who is actually served by the programs?
- What assurances are there that the intended target population are in fact served by the program?
- How are participants/clients involved in the programs projects?
- How long do people use the projects for?
- Why do people quit the projects and who do they do when they quit?

iv) **PROGRAM AND PROJECT EFFECTS**

- What are the intended effects of the programs?
- What are the intended effects of the projects?
- What the casual assumptions linking activities and effects?
- Are these assumptions plausible?
- What are the range of other plausible effects of the programs and projects?

v) **PROGRAM AND PROJECT CONTEXTS**

- What are the problems that the programs are intended to address?
- What are the problems that the projects are intended to address?
- What alternative programs exist?
- What alternative projects exist?