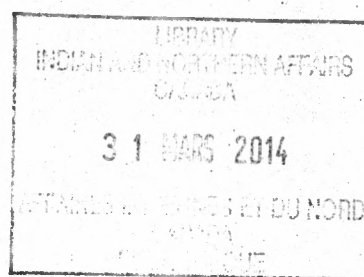


PHASE II REPORT  
EVALUATION OF RESERVES AND TRUSTS  
(INDIVIDUAL INDIAN INTERESTS)

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EVALUATION OF RESERVES AND TRUSTS  
(INDIVIDUAL INDIAN INTERESTS)



DPA CONSULTING LTD.  
OTTAWA

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## 1.0 INTRODUCTION

As indicated in the DPA proposal, the purpose of the Phase II report is <sup>①</sup>to record the development of the survey sample; <sup>②</sup>present the interview questionnaires to the Evaluation Advisory Committee and <sup>③</sup>to discuss data requirements.

In the work plan, included in the Phase I report, it was indicated that field visits and other data collection would commence June 2nd. Pre-testing has been completed, but extensive field visits will start only after presentation of this report.

The Interview Guides included in this report are initial drafts, in English only, and are presented for the information and comment of the Evaluation Advisory Committee members.

The survey sample has been developed in concert with officers of Reserves and Trusts. Because travel and other arrangements must be made (and in some cases arrangements have been tentatively confirmed) early reaction from the Steering Committee to any changes would be appreciated.

## 2.0 REPRESENTATIVE SAMPLE

The survey sample details are presented in Annex A.

Two factors should be noted relative to the selected sample.

All Regional offices are included in the sample, as indicated in our proposal for the evaluation.

The sampling of District offices and Indian Bands has been confined within financial and time limits under the contract. Every effort has been made, within the limited sample possible, to ensure that a cross section of concerns have been covered. District offices and Bands include those with and those without delegated R & T responsibilities. The advice of R & T staff in these selections has been invaluable.

Because the evaluation selected option focuses on individual Indian interests, the study team examined the need for and feasibility of interviewing a sampling of Indians from various locations.

*agreed*  
To obtain a statistically viable sampling would involve coverage of several hundred individuals, with a cross coverage of lands, estates and membership issues. Such coverage could realistically only be achieved by a mail-out survey of an even larger number of respondents to obtain a satisfactory response level. All advice, solicited from several sources including R & T staff, indicates that such an approach would be unsuccessful.

The possibility of personal interviews with a much smaller sample group was examined as an alternative. At best, this approach would provide the study team with some case study examples. The use of a biased, limited case study approach from which to draw inferences was considered to be a unreliable, risky approach.

To determine whether individual Indian interests are being affected, we have developed a full listing of all services, purported to be provided. These services have been related to the Directory of Services. For each service we are in the process of determining <sup>1</sup>its relationship to the limited directory of services; <sup>2</sup>its legal or other basis and <sup>3</sup>an initial assessment of what the impact/effect would be on the individual Indian client. The services and the assessment of their value will be compared with the reality of actual field delivery operations.

Despite the lack of a large, cross-section sample of individual Indians using or needing R & T service, we believe that the above approach should provide an adequate substitute for larger scale surveying.

### 3.0 SURVEY INSTRUMENTS

#### 3.1 Pre-testing

Members of the study team have pre-tested the interview guides with the London District office and Reserves and Trusts staff of the Walpole Island Band.

As a result of the pre-testing exercise the interview guides have been amended and the listing of services, mentioned in Section 2.0, is being developed as a check list to be used in future interviews.

#### 3.2 Interview Guides

Interview guides have been developed, pre-tested and are included in this report under Annex B.

Guides were prepared for use at the Regional Office; District Offices with delegated and non-delegated responsibilities; Band managers with devolved responsibilities and managers where R & T responsibilities are still under DINA; and finally guides where the Band Councils are to be interviewed.

The guides are used primarily to provide the study team with a check list of issues to be covered and neither the languages used nor the order of the questions necessarily reflects the way in which the interviews will be conducted.

#### 3.3 Processes

A combination of information from previous studies, NHQ interviews and field interviews is being used to inter-relate the processes for each service area and the impacts/effects, both in terms of staff/band management effort and in terms of individual Indian interests being served.

No specific guides or survey instruments are being used, except for questions contained within the standard guides in Annex B. Collection of data will

come from a variety of sources.

### 3.4 Resources

The relationship of resources utilized to services provided and the processes involved will be determined through data collection, following extensive field visits.

A initial examination of budget and resource utilization indicates that broad percentage allocations may have to be determined and used for specific services as current reporting of resource utilization is not detailed on a service by service basis. Again, however, some work in isolating costs exists from earlier improvement studies.

### 3.5 Workload

The interview guides contain questions related to workload. Pre-testing indicates they are sufficient to identify major areas of services. As in the case of resource costing, the study team will be using a variety of means to estimate or determine work load data and its impacts and effects on the client population.

## 4.0 EVALUATION CRITERIA

As indicated in the proposal and the Phase I report, evaluation criteria are designed to provide the study team and the Evaluation Advisory Committee members with an outline of the results anticipated from the evaluation.

A rough outline of evaluation criteria is contained in Annex C. Refinements will be made and comments of committee members would be appreciated.

## 5.0 SCHEDULING

To this point the study team have been able to meet the timing requirements

contained in the workplan.

The scheduling for interviews, as shown in Annex A, is predicated upon the time frames in the workplan.

At this point no significant scheduling problems are apparent.

## 6.0 SUMMARY

The Phase II report is intended as an up-date report and to provide DINA with the details on the survey instruments and representative sample population to be interviewed. .

It is not considered necessary to convene a meeting of the Evaluation Advisory Committee to consider the Phase II report. Comments and suggestions for improvement of any of the work products are invited and welcomed. Interviewing is either underway or imminent and an early reaction to the contents of the report would be appreciated.

ANNEX A

Interview Guides

R & T Evaluation Study

QUESTIONNAIRE: N.H.Q.

A. GENERAL

NAME : \_\_\_\_\_  
TITLE : \_\_\_\_\_  
DEPT. : \_\_\_\_\_  
SIZE OF STAFF: \_\_\_\_\_

- (Service to anyone or only band members)
1. Please enumerate the services provided by your unit?
  2. What are the approximate resources utilized for each service?
    - staff
    - percent of time spent
  3. What is the budget allocation for this fiscal year?
  4. What are the main steps followed in the administration of your area, starting with the role of Bands or District Offices, followed by Regional Office then NHQ. (ie. obtain a "flow chart" of activities)
  5. What volumes of transactions <sup>for each service provided</sup> are <sup>initiated and</sup> handled on a average monthly basis?  
By type.
  6. a) What are the main outputs <sup>for each service provided</sup> of your unit?  
To whom are they sent (eg. other DINA depts., other federal depts., provincial depts, other)  
b) What use is made of these outputs?  
Are there any types of statistical information/data not provided at present which you would find <sup>or feel to be</sup> useful?
  7. What legislative acts/regulations/guidelines do you operate under?
  8. Are there tasks carried out <sup>or services provided</sup> for which there is not an appropriate authority?  
Are you authorized to perform certain tasks which are not actually done?

9. Does current legislation/DINA rulings result in any problems in the carrying out of your duties?  
Can you recommend any changes in the legislation or policies?
10. Do you feel that proposed new legislation and the trend towards Indian self-government would have any impact on the rights of individual Indians?  
Explain. *or benefits*
11. Do you operate with procedural manuals? Do you find them sufficiently detailed? Can you suggest any improvements?
12. a) How would you rate the overall success to date of band self-administration of R + T responsibilities?  
- problems  
- benefits *more appropriately asked at the regional level*
- b) Is it working better in some areas than in others?
13. What do you see as the major impacts/changes resulting from band self-administration of R + T?
14. Do you foresee differences in the quality/quantity of services provided to individual Indians in cases where bands administer their own R + T? Does it differ by service area?
15. What do you feel are the major impediments to turning administration over to all bands  
- lack of ability/preparedness  
- costs  
- legal restraints  
- lack of desire on the part of the band  
- other
16. Is there a backlog in your area? *which services?*  
How serious is it (ie. in terms of time)?
17. What do you see as the causes of the backlog?

18. Do you have any suggestions for improvements in the system which would help reduce the backlog?
19. What do you see as the impacts of these delays on individual Indians? Specific cases?
20. Do you feel that liaison/communications between NHQ and the Regional/District Offices are adequate?
21. How quickly can you respond to requests for information/data from the field? By type of request.
22. Do you feel training of field personnel is adequate?  
What further training would be useful?
23. What is the *performance* monitoring process, if any, of your unit's activities?
24. Do you have any suggestions for changes in the current program design to improve administration in your area? (Areas of Control, Services Provided, Authority Levels, etc.)  
Have you made these suggestions?

QUESTIONNAIRE: REGIONAL OFFICE

Person Interviewed: \_\_\_\_\_

Title : \_\_\_\_\_

Location : \_\_\_\_\_

Number of Districts Administered: \_\_\_\_\_

Number of Bands in Region: self administered \_\_\_\_\_

DINA administered \_\_\_\_\_

1. Do you have responsibility for any administrative services in the areas of:

lands \_\_\_\_\_

estates \_\_\_\_\_

membership \_\_\_\_\_

2. What specific activities do you carry out in each area? (step by step process)

3. What volumes of transactions do you handle on a monthly average?

4. What resources are spent in each area?

- human (staff)

- financial (budget)

5. What are the roles of - bands

- district offices

- NHQ

---

6. IF BANDS ADMINISTER THEIR OWN R + T RESPONSIBILITIES:

What was the process involved in turning R + T responsibilities over to the bands? What were Regional Office's role/responsibilities?

- initiative
- criteria for hand over
- determination of costs
- financial arrangements
- timing
- training

How many bands are undergoing this process at present?

7. How would you rate the success of band self-administration?

What have been the - problems

- benefits

---

8. Are there any plans to (further) decentralize R + T administration to bands?

9. What do you feel are the major impediments/problems in turning administration of R + T over to the bands?

- lack of ability/preparedness
- costs
- legal restraints
- lack of band desire
- other

10. What would you see as the major changes/impacts of band administration of R + T.

11. Have you seen

Do you foresee major differences in the quality/quantity of services provided to individual Indians in cases where bands administer their own R + T? Examples of conflict between individual Indians, Band Councils.

12. Are you aware of any backlog at the NHQ level? Is it worse in one area than in others? What do you think are the causes?

Is the backlog more serious - in recent years

or since decentralization

Do you have suggestions for improvements?

13. What do you think the impacts of any resulting delays might be on individual Indians?

Are you aware of any cases where reserve residents have been affected by the backlog

- estates
- lands
- membership

Examples.

14. (a) What legislative acts/manuals/regulations do you operate under?

- lands
- estates
- membership

Are they concise/detailed/adequate?

- (b) Are there any tasks carried out for which there is not appropriate authority?

- (c) Are you authorized to carry out certain tasks which you do not actually carry out?

15. Have there been any cases where Band Council Resolutions conflicted with DINA authorities? Examples.

16. (a) Do you have any problems caused by current legislation or DINA rulings? Examples.

Are there any changes you would like to see? Examples.

- (b) Do you feel proposed new legislation and the trend towards Indian self-government has or will have any impact on the rights of individual Indians? Explain.

17. What data/information do you receive from NHQ? What use do you make of it? Is it timely? Are there any additional types of data you do not receive which you would find useful? Do you feel reserve residents have access to this information?
18. Do you feel liaison/communications with NHQ/District Office are adequate?
19. Are your activities monitored by NHQ? Do you have an annual plan which is reviewed and appraised?  
How are resource needs communicated to DINA?
20. Do you ever require any assistance from NHQ? What type? Is it forthcoming? How quickly?
21. What training has the Regional Office staff person who deals with R + T had? How long after starting the job did he/she receive training?  
Do you feel the training is adequate to do the job?  
What further training would be useful? What type of training have the responsible District Office staff had? Is it adequate in your  
Band  
opinion?
22. Do you have any suggestions for changes in the current system which may improve R + T administration or solve problems you have identified
- lands
  - estates
  - membership
23. Have you ever made any suggestions for change. What was the result?  
Examples.

QUESTIONNAIRE: DISTRICT OFFICE

A. GENERAL

1. Person Interviewed: \_\_\_\_\_
2. Location of D.O. : \_\_\_\_\_
3. Number of Reserves \_\_\_\_\_ self- \_\_\_\_\_ DINA  
Served: \_\_\_\_\_ administered \_\_\_\_\_ administered  
(since \_\_\_\_\_)
4. Date of Centralization: \_\_\_\_\_

B. PROGRAM RATIONALE

5. In administering R & T responsibilities, how many separate services do you provide? (Check against list).
6. (a) Does the accompanying diagram match the process followed in the administration of
  - lands
  - estates
  - membershipWould you make any changes?
- (b) What are the costs of administering R & T services on a monthly/annual basis? How are you compensated?
- (c) What volumes of transactions for each service provided do you handle monthly on average?

7. IF BANDS ADMINISTER THEIR OWN R & T RESPONSIBILITIES:

In the case of these bands, what is the role of

- District Office?
- Regional Office?
- NHQ ?

8. How were R & T responsibilities turned over to the bands?

- initiative
- criteria for hand over
- how were costs determined
- financial arrangements
- training

9. How would you rate the success of band self-administration?

What have been the - problems

- benefits

Examples

10. What would you see as the major impacts/changes/consequences to individual Indians of bands administering their own R & T?

12. Are there any plans to (further) decentralize R & T administration to bands? Timing?

13. What do you feel are the major impediments to turning administration over to all bands (by priority)

- lack of ability/preparedness of band
- costs
- legal restraints
- lack of desire on part of band
- other

Have you seen

Do you foresee major differences in the quality/quantity of services provided to individual Indians in cases where bands administer their own R & T? Examples of conflict between individual Indians, Band Council?

14. Are you aware of any backlog at the band/district or NHQ level?

Is it worse in one area than in others? What do you think are the causes? Is the backlog more serious - in recent years

or since decentralization

Do you have suggestions for improvements?

15. What do you think the impacts of these delays might be on individual Indians? Can you provide any examples of cases where reserve residents have been affected by the backlog
- estates
  - lands
  - membership
16. (a) What legislative acts/manuals/regulations do you operate under?
- lands
  - estates
  - membership
- Are they adequate/concise/detailed enough?
- (b) Are there any tasks carried out for which there is not specific legal authority?
- (c) Are you authorized to carry out certain tasks for which there is no demand or which are simply not being done?
17. Have there been any cases where Band Council Resolutions conflicted with DINA authorities? Examples.
18. (a) Do you have any problems caused by current legislation or DINA rulings? Examples.
- Are there any changes you would like to see? Examples.
- (b) Do you feel proposed new legislation and the trend towards Indian self-government would have any impact on the rights of individual Indians? Explain.
19. Are your activities monitored by DINA? Do you have an annual work plan which is reviewed and appraised at the end of each year?
- How are resource needs communicated to DINA?
20. What data/information do you receive from NHQ or Regional Office? What use do you make of it? Is it timely? Are there any additional types of data you do not receive which you would find useful? Do you feel reserve residents have access to this information?
21. Do you feel liaison/communications with NHQ/Regional Office are adequate?

22. Do you ever require any assistance from DINA? What type? Is it forthcoming? How quickly?
23. (a) What training has the R & T staff person received, if any? How long after starting the job did he/she receive training?  
Do you feel the training is adequate to do the job?  
What further training would be useful?
- (b) What training have reserve band managers who administer R & T areas received? Do you feel it is adequate?
- 

24. Do you have any suggestions for changes in the current system which would improve R & T administration or solve problems you have identified
- lands
  - estates
  - membership
25. Have you ever made any suggestions for change? What was the result?  
Examples.

QUESTIONNAIRE

BAND MANAGER

(Administered by DINA)

Name : \_\_\_\_\_ Reserve : \_\_\_\_\_

Location : \_\_\_\_\_ Population: \_\_\_\_\_

1. What is the current administration process in - estates  
- lands  
- membership

(ie. how do events/transactions get registered?)

2. What role if any is played by the band administor/Band Council in administration of R & T at present?

3. Are you basically satisfied with the situation as it stands?  
Does it differ between the 3 areas?

4. Are there any plans to take over administration of R & T?  
Timing?

5. What are the major reasons this has not yet happened?

6. If the band were to assume R & T responsibility who specifically might carry out the activities? What are his/her qualifications/experience? What training would you see as necessary?

- ✓ 7. What changes/impacts on the interests of individual Indians would you foresee if the band was to administer its own R & T matters? By area. Benefits?

- ✓ 8. Are you aware of any delays/backlog in - estates  
- membership  
- lands

at the NHQ (or other) level? Cause(s)?

- ✓ 9. Can you provide any examples of cases where reserve residents have been affected by delays? Are all needed services being provided to individual Indians on the reserve?
10. What information/data (eg. band lists) do you receive from DINA? Do you find it useful? How? Is it seriously out of date? Is there any type of information you do not receive at present which you would find useful?
11. Do you ever require any assistance from DINA? RHQ, or District Office? In what areas? Is it usually available? How quickly?
- ✓ 12. Do you have any suggestions for changes/improvements in the current system which might improve the administration of the relevant services?
- lands
  - estates
  - membership

Have you ever suggested improvements in the past? What happened? Examples.

BAND COUNCIL - DISCUSSION AREAS

1. Evolution of devolution.
2. Involvement of <sup>band</sup> B.C. <sup>council</sup> in the process.
3. Satisfaction with self-administration.
4. Benefits?  
Problems?
5. Instances of conflict between B.C., reserve residents.
6. Suggestions for changes in the - system  
- legislation

for DINA Administered Bands:

1. Planning/preparation for self-administration?
2. Projected role of B.C.?
3. Potential - benefits  
- problems
4. Suggestions for change in the - system  
- legislation
5. Have they been asked to take over?  
If yes - why didn't they?  
If no - why not?

Questionnaire

Band Manager - Self-Administering Bands

Name : \_\_\_\_\_  
Reserve : \_\_\_\_\_  
Location : \_\_\_\_\_  
Population : \_\_\_\_\_  
Date of  
Decentralization: \_\_\_\_\_

1. Is the band self-administering in

lands \_\_\_\_\_  
estates \_\_\_\_\_  
membership \_\_\_\_\_

What different types of services are you providing in each area? (check against list)

Can you estimate the approximate percentage of time spent on each?

2. (a) Does this diagram match approximately the steps you would follow in the administration of lands/estates/membership? Would you make any changes?  
(b) What volumes of transactions do you look after on a monthly average basis? By area.
3. (a) What is your staff? Is this adequate?  
(b) What is your R&T budget?

4. When and how did the decentralization come to take place? Was it a Band initiative or DINA? Was it a unanimous decision or did some reserve members not feel the band was ready? What financial arrangements were made?

5. What has been the level of overall satisfaction with the process of decentralization (if in recent years)? With the actual administration so far? Does it vary between the 3 service areas? Have any problems arisen
  - general
  - Band Council/residents
6. Have any broad impact/changes occurred as a result of taking over responsibility for administration of R & T? (eg. greater sense of control over the bands own affairs) What have been the benefits/disadvantages to individual Indians on the reserve. Are all needed services being provided to individual Indians?
7. Are you aware of a processing backlog at the band or NHQ level? Is it worse in one area than another? Has the backlog increased/decreased since decentralization took place? What do you think is the cause(s)? Do you have any suggestions for solutions?
8. Can you provide any examples of cases where reserve residents have been significantly affected by delays either at the band or NHQ level?  
By area?
9. What legislation/regulations/manuals do you operate under?  
(by area) Are they adequate, detailed, concise).
10. Are there any activities carried out for which there are not appropriate acts, regulations, manuals, etc.?
11. Are you authorized to carry out certain tasks which are not actually done?
12. Have there been any cases where Band Council Resolutions conflicted with DINA authorities? Examples
13. What problems if any arise from current legislation or DINA rulings?  
Can you provide examples of specific cases?

14. What changes/improvements in legislation or DINA rulings would you recommend?
15. Do you ever require any assistance from DINA? In what areas? It is usually available? How quickly?
16. What information/data do you receive from DINA? Do you find it useful? How? Out of date? Are there any additional types of information which you would find useful?
17. (a) Do you have any annual plan? How do you let DINA know if you need additional resources for next year or if you are unable to keep up with the workload?  
(b) Does DINA carry out any checks on your activities? Who, what, when? Do you receive any feedback from DINA on your activities?
18. What training, if any, have you received? Do you feel it has been adequate to do the job properly? What further training do you feel would be useful? Did you have any special experience/qualifications to do this job?
19. What role does the Band Council play in helping DINA assess and meet the services levels needed?
20. Do you have suggestions for changes in the current system which would improve administration/solve problems? By area?
21. Have you ever suggested changes/improvements? What happened? Give examples.

ANNEX B

Sample Distribution

R & T Evaluation Study

## Sample Distribution

### Reserves and Trusts Evaluation Study

#### Scope

16 Bands  
8 Districts  
7 Regional offices

#### Detail

#### Atlantic Region

Regional Offices - Amherst  
District Offices - None - as no District  
Offices have delegated  
responsibilities for R & T

Bands  
- Big Cove  
- Millbrook

#### Quebec Region

Regional Office - Quebec City  
District Office - Montreal  
Bands  
- Loretteville  
- Maniwaki

#### Ontario

Regional Office - Toronto  
District Offices - London  
- Sudbury  
Bands  
- Walpole Island  
- Six Nations  
- Whitefish Lake (Sudbury)  
- Nippesin (Sudbury)

#### Manitoba

Regional Office - Winnipeg  
District Office - None - no District  
Offices have delegated

R & T responsibilities

Bands - Originally Long Plain  
and Peguis suggested  
but choices will be made  
through Regional Office

Saskatchewan

Regional office - Regina

All other selections to be made in concert  
with Regional Office

Alberta

Regional Office - Edmonton

District Offices - Lethbridge

- Calgary

Bands - - Blood

- Sarcee, or

- Stoney

B.C.

Regional Office - Vancouver

District Office - Central

- Nanaimo

Bands - - Campbell River

- Okanagan

Provincial

Land Registry

Manitoba/Ontario

Vital Statistics

Estates

Administration

Federal Departments  
and other Users  
of Statistics or  
providers of  
Services

To be determined

ANNEX C

Evaluation Criteria

R & T Evaluation Study

Evaluation Criteria

Reserves and Trusts Study

1. Program Rational

- ~~III~~
- a. ✓ services listed authority bases:
- i. statutory
  - ii. regulatory
  - iii. DINA policies/guidelines
  - iv. other
- b. delegated outhority findings:
- i. limitations of authority
  - ii. extent of authority at each level
  - iii. authority needs at each level
- c. services listed by priority individual Indian interests:
- i. Essential - statutory
  - ii. Significant
  - iii. Moderate
  - iv. Other
- d. other jurisdictions/organizations dependence
- i. Essential

- ii. Significant
- iii. Moderate
- iv. Other

## 2. Impacts and Effects

- a. summary of intended/impacts/effects for each R & T service listed, on individual Indian interests
- b. summary of time flows for each R & T service listed
- c. summary of the actual impacts/effects for each R & T service listed on individual Indian interests and jurisdictions/organizations using R & T services
- d. extent of decentralization by each R & T service listed and its impact on:
  - i. authority levels
  - ii. process flows
  - iii. costs and
  - iv. recipients of services
- e. comparative centralized/decentralized response to a, b, c and d above.

## 3. Objectives Achievement

- a. extent of decentralization v.s. original intentions as stated by R & T

- 3
- b. extent of success in delivery in services under decentralization status:
    - i. at NHQ level
    - ii. at Regional level
    - iii. at District level, and
    - iv. at Band level
  - c. Structural, process, resource and authority factors detailed in relation to the level of objectives achievement attained
  - d. costs under the centralized/decentralized modes v.s. results obtained
  - e. impediments/strengths detailed by R & T services of current delivery of the program

#### 4. Alternatives

- a. findings from review of other jurisdictions providing similar services
- b. results of study, in recommendation form, for proposed changes to structures, processes, authority bases and resources

#### 5. Other Considerations

- a. relating all findings to the primary evaluation focus, individual Indian interests

- b. focusing (a) in terms of the program design and its ability to satisfy individual Indian interests
- c. using a limited sampling basis from which to draw program program inferences
- d. relate all findings *respecting IIT* to practical, realistic capacity of the program to adjust or improve.

