ASSESSMENT
OF THE
CULTURAL STATISTICS PROGRAM:
PHASE TWO REPORT
FINDINGS

DPA Consulting Ltd.
January, 1982

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① CULTURAL STATISTICS PROGRAM:
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ASSESSMENT OF THE CULTURAL STATISTICS PROGRAM: PHASE TWO REPORT

EXECUTIVE SUMMARY

I. Background and Scope of the Assessment

The assessment of the Cultural Statistics Program (CSP) began in September 1979 with an evaluation assessment. Alternative approaches to evaluation were then considered by the client, the Joint Co-ordinating Committee (J.C.C.), consisting of senior management representatives of STC and DOC.

The evaluation approach selected by the J.C.C. was focused on the identification of improvements to the design, management and conduct of the existing Program. The selected approach concentrated on a "program review", rather than on the evaluation of goals and objectives achievements. Thus, the project team was instructed to identify improvements to the existing Program, as opposed to the corporate-level question of whether or not the Program constituted an effective utilization of DOC and STC resources.

A two-phased study was then undertaken. Phase One, completed in July 1981, resulted in a more systematic definition of the goals and objectives for the CSP. Particular users and uses of cultural data were identified, and they became the basis for the program design.

The work in Phase Two then focused on the identification of improvements to the existing processes, products, services and management of the CSP. A final briefing was made to the J.C.C. in December 1981 at which the findings and recommendations were presented.

The final section of the Phase Two Report contains a revised model of the Program which synthesizes the results of Phases One and Two of this study.

This is the final report on the project, and contains the findings, conclusions and recommendations of the study team. Note that, at the request of the client, the recommendations have been submitted as a separate document.

II. Findings

The major findings of the study team are listed below under the three areas of research: the conduct of the CSP as a joint program, CSP processes, and CSP products and services.

a) Conduct of the CSP As A Joint Program

The CSP, during its five-year life, has made significant progress towards the establishment of a uniform set of time-series data on key aspects of culture in Canada. A substantial and heterogeneous body of users of the CSP data was identified in Phase One. Evidence exists of important policy uses of the data by the principal client, DOC (Arts and Culture) and other users. Recall, however, that the study team did not examine the question of the effectiveness or cost-effectiveness of the existing Program.

The commitment of the two sponsoring Departments (STC and DOC) to a useful, quality product was evident, and has been a major factor in the accomplishments to date.

However, working relationships between the two sponsoring Departments have been allowed to deteriorate to the point at which they are seriously jeopardizing the future continued success of this joint Program.

The major causes of the deteriorating relationships have been:

- lack of formal, detailed and timely specification by DOC of its data requirements;

- the managers from DOC and STC and the J.C.C. did not ensure that formal joint project teams were utilized to conduct the surveys;
- no precise working agreement has been reached on the role of DOC in the management of the CSP;
- an unacceptable degree of animosity has been allowed to develop between individual officers from DOC and the CSP;
- the two managers responsible for the program from the CSP and DOC have not been consistently forthright or aggressive in conveying and addressing their respective problems with the Program; and,
- the J.C.C. has not provided the leadership and direction required to jointly conduct the program.

b) Program Processes

Two series were examined: the Book Publishing (A) Survey, and the Performing Arts Servey (Theatre Companies). Three sets of findings resulted: those specific to each of the two surveys, and those applicable to the CSP as a whole.

Book Publishing

- Actual processes followed closely the model for the CSP.
- Planned schedules were maintained reasonably well, up to and including the production of a preliminary clean file. The Bulletin was released on February 10, 1981; the

planned release date was December 80/ January 81. However, the Publication has still not been released; targeted release was for the summer/fall of 1981.

- Person-day and dollar utilizations were 30% below the planned level in the Operations section. A major part of this under-utilization was due to the delay in releasing the Publication.

- Staff of both Departments exhibited a high degree of expertise in the subject matter area. Very little of this knowledge is documented.

- The definition by DOC representatives of their specific data needs of this survey, is in need of dramatic improvement.

- Central services of Statistics Canada responded to the CSP requirements within acceptable time limits.

Performing Arts (Theatre Companies)

- A substantial portion of the data for this survey comes from forms submitted to the Canada Council. Much manual work is involved in this transfer. As well, important judgements are required by CSP staff as they do not deal directly with the Canada Council applicants.

- Again, both Departmental groups exhibited considerable knowledge of the field. Little of this knowledge exists in a documented form.

- Planned schedules were maintained reasonably well, up to and including the issuance of the Bulletin in December 1980. The Publication, scheduled for release in July/August 1981 is now not expected to be released until February 1982.

- The DOC representatives had not yet submitted a formal, detailed statement of the DOC data requirements of the survey, but undertook to do so.
- Central services of Statistics Canada provided the required service within scheduled time frames.

CSP-Wide Findings

Management

- Program management, in terms of inital planning and conformance to STC requirements, meets all of the conditions of the STC Protocol for EDP projects (1976) and the more recent management review developments.
- The Operations Section is relatively well-managed, with regular internal time-use reports maintained on a project and section level. However, no formal PMS has been introduced.
- The Analysis Section is not achieving an acceptable level of section or project management. No reliable indicators of workload exist.
- The relative duties of the Assistant Director and the two Chiefs are in need of clarification, including the assignment of budgets and authority levels.
- The project team and management approach called for in the DOC/STC joint agreement, has not been implemented consistently or effectively.
- Project reviews are not held on a regular basis, upon completion of the clean file.

Analysis Section

- Staff turnover has been high, and is resulting in workload problems for the Chief of Analysis. Subject-matter issues are predominant, at the expense of management and control.

- The present definitions of the roles of the Chief, Analysis and the unit heads are in need of change, to emphasize the project management and control functions.

- Other analysts are not carrying the workload to be expected for their levels. This is exacerbating the workload pressures on the Senior Analysts and the Chief.

c) Program Products and Services

Products

Findings on the actual data collected by the CSP are contained in the report of Phase One of this study. This set of findings, then is concerned with ways of packaging and disseminating the data to users.

1. CSP products differ in content, timing, the extent to which they are customized to users requirements and status of the data, i.e. preliminary or final.

2. The publications (i.e. catalogues) consume relatively high levels of resources.

3. Three key features of the CSP clientele which are pertinent to the selection of the Program's products are:
   - DOC as the principal client

   - the heterogeneity of users in their

respective resources, skills and needs
for using statistics

- their concern for timeliness of the
published data

4. The DOC as principal client does not, except for special requests of individual officers, receive a customized set of products when the clean files are ready.

5. The heterogeneity of the clientele requires that the Program respond to this with a variety of products.

6. While users are heterogeneous, their actual subject matter (data) interests are similar.

7. Most users are concerned about the lateness of the data. "Lateness" is usually defined in terms of the dissemination dates of the publications.

8. Access to the data files can usually be achieved far in advance of the release of the publication but many users are not aware of this fact.

Services

As part of this study the project team was asked to examine the following services:

- Analysis

- User-education

- Co-ordination and clearinghouse roles

9. Findings on analysis are contained in the assessment of processes and the CSP as a joint program. However, we point out

that it is important that the analysis of DOC and CSP officials should be coordinated for consistency in interpretation and to avoid duplication.

10. User-education is an important service for CSP users and is provided informally through the consultation and special request processes. This service becomes more important if the use of special requests is encouraged and less emphasis placed on publications.

11. A Co-ordination/Clearinghouse Service to provide information on the many studies being conducted on Arts and Culture would be important to the Arts and Culture Community. However, other issues are more important than this to the future of the CSP.

III. Recommendations

The recommendations of the study team, provided separately, are also presented under the three major areas of research.

I BACKGROUND AND PURPOSE

The evaluation of the Cultural Statistics Program (CSP) began in late 1979, when the Department of Communications (previously Secretary of State) and Statistics Canada contracted for an evaluation assessment. The assessment revealed that the demand for a program of cultural statistics existed but users of the Program expressed concerns for improvements.

The Joint Coordinating Committee (J.C.C.) of the two departments reviewed the evaluation options presented in the assessment report and selected an approach that focused on improving the design, management and conduct of the CSP, as opposed to an evaluation of goals or objectives achievement of the program.

The actual evaluation of the Program began in late 1980. The study was conducted in two phases.

The purpose of phase one was to provide to the J.C.C. recommendations on fields of culture to be surveyed and alternative users and uses to be served by the C.S.P., in the context of changes which may have occured to the environment of the Program since it creation.

The phase one report was reviewed by the J.C.C. on June 26, 1981 and two sets of decisions were made. The first set was on the goals and objectives and clients of the Program (i.e. users, uses of data and fields to be surveyed). The phase one report contains these decisions. The second set of decisions was on the scope of phase two of the evaluation.

The purpose of phase two was to:

i. assess the individual statistics to be collected by two selected projects, Book Publishing and Theatre Companies;

ii. examine the products and services of the CSP to determine whether or not changes should be made to them;

iii. undertake an efficiency evaluation of the CSP processes and identify areas of potential resource savings;

iv. assess the current organization and management of the CSP as a joint program and develop and assess options for addressing problems associated with the conduct of the Program as a joint one; and

v. provide the J.C.C. with a revised program model by synthesizing the decisions of the J.C.C. on the goals, objectives and clients of the program and the recommendations of phase two on products and processes.

The priority areas for the phase two investigations were to be the assessment of the CSP processes and the management and organization of the CSP as a joint program.

The J.C.C. also instructed the study team to examine, if resources permitted, the following additional issues in phase two;

- timeliness/format of the various CSP products;
- disaggregation to be provided by the individual projects;
- analysis;
- coordination/clearing house role; and,
- consultation (with emphasis on output).

It is important to note that the phase two study was not intended to examine the relevancy to users of the data produced by the Program. This assessment was conducted in phase one of the study and the results, in general, confirmed the overall direction of the Program. Recommendations were contained in the phase one report on changes which could be made to the information collected by the Program.

II APPROACH AND METHOD

1.0 Introduction

The approach to phase two was influenced by two factors; the decisions of the J.C.C. following its review of the phase one report and the terms of reference for the entire study (May 1980).

The decisions of the J.C.C. were that the second phase would focus on a limited number of surveys in the review of individual statistics and of program processes, and that specific issues additional to the original terms of reference would be examined, if resources permitted. These issue were listed in the previous section. The terms of reference placed the priorities of phase two on the organization and management of the CSP as a joint program and on the evaluation of program processes. As well, the terms of reference specified that a revised model of the program would be developed by synthesizing the results and decisions of both phases one and two of this study.

The differences in the areas to be examined in phase two as well as the differing levels of importance given to them by senior management resulted in the use of a variety of methods by the study team.

2.0 Review of Individual Statistics to be Collected

It was agreed prior to the conduct of phase two that this review would be carried out by DOC and STC personnel, exclusively. This review, which is continuing, is being conducted on two projects, the Book Publishing Survey and the Actors Survey.

3.0 Assessment of Products and Services

The phase one report contained recommendations on the actual data (i.e. scope and perspective) of the program as a whole. The assessment of products of the program, then, focused on ways of packaging and disseminating information to users and not on the data themselves. The assessment and recommendations on services were made on user-education, coordination/clearinghouse and analysis services.

The method used in this brief review of products and services was to assess the existing products and services against the relevant salient features of the CSP clientele identified in phase one. That is, the DOC as the principal client, the heterogenity of the user groups and the concern among virtually all users for improved timeliness of the published data. Information on associated resource levels and timing of dissemination of the products was collected in the assessment of processes. Recommendations were then made on changes which could be made to the products and services offered by the program.

4.0 Assessment of Processes

The assessment of the CSP processes was of major concern to senior management and to DOC in particular. In this assessment, performance criteria were developed and applied to the major steps of the project processes. The information for this assessment was collected through observation and documentation of the two projects under review and through an analysis of records on a completed survey, the Actors Survey. Implications were drawn from the findings on these three surveys to the program as a whole. A detailed description of the method used is contained in section V.

5.0 Assessment of the CSP as a Jointly Sponsored Program

It was acknowledged by this study team and those responsible for the program, that joint programs are more difficult than others to conduct. In the initial planning for the Program this was acknowledged and formal vehicles were established to facilitate the joint conduct of the Program by DOC and STC.

The assessment of the CSP as a joint program was conducted by:

- Examining the formal vehicles established for jointly conducting the CSP;

- Assessing the extent to which these vehicles had been used by DOC and STC officials to jointly conduct the program;

- Identifying the weaknesses and problems associated with the actual conduct of the CSP as a joint program through these vehicles; and,

- determining the major factors which have contributed to the problems identified in the conduct of the program as a joint one.

It should be noted that this kind of assessment is largely judgemental. Information was collected through formal interviews and informal discussions with DOC and STC senior and program management officials and ongoing contact and discussions with program officers. As well, the study team's long association with the program contributed to this assessment.

As part of this assessment we developed options for the organization and management of the CSP as a joint program. These options were then assessed against their ability to resolve the problems identified in the assessment of the CSP functioning as a joint program.

During the course of phase two the problems identified by the project team concerning the joint conduct of the CSP were presented to the ACS Institutions and Agriculture Branch of STC and the ADM Arts and Culture Branch from DOC. A major decision was made by these two officials at this time. That was, that the two Departments would select only from the organization and management options in which the two Departments would continue to work together on Cultural Statistics.

III FORMAT OF THIS REPORT

Sections I and II of the report described the background and purpose and the approach and method for phase two of the program evaluation of CSP.

Section IV is an interim report on the review of individual statistics conducted by DOC and CSP officials.

Section V contains the findings of the assessment of the CSP program processes.

Section VI provides an assessment of CSP products and services.

Section VII contains an assessment of the CSP as a jointly sponsored program.

Section VII contains a revised model of the CSP.

Throughout the report references are made to Annexes which are provided in the back of the report.

As instructed by DOC and Statistics Canada officials, the recommendations emanating from the program evaluation are contained in a separate document.

IV PROJECT LEVEL REVIEWS

1.0 Introduction

As part of this study, the J.C.C. decided that the review to be conducted of individual statistics would be done on two projects only; the Book Publishing A survey and the Performing Arts Survey. These reviews are being conducted by DOC and CSP officials. A status report submitted to this consultant team by these officials is presented in this part of the report.

2.0 Status Report

TASK AREA A

A.1 Introduction and Purpose

In developing the work plan for Phase II, it was agreed that DOC and STC would conduct Task Area A which relates to the study of individual statistics to be collected and reported on for the two projects selected for in-depth review (book publishing and theatre companies).

A.2. Performing Arts (Theatre) Survey

A.2.1. Terms of Reference

The following terms of reference were established for the review of the theatre companies survey:

> "As part of Task Area A, the theatres project team of John Gordon, Iris Bradley and a representative(s) from the Canada Council (with the involvement as required of Yvon Ferland, Roch Bacon and John Thera) will

review the theatre companies survey from the following perspectives:

1. Content

- DOC and Canada Council information requirements and reasons for them

- information available from Canada Council forms

- information collected by provincial and territorial departments and arts council

- information collected by CBAC

- information currently collected on CSP questionnaire

- information available from other sources.

The objective of this review will be

1) to revise the CSP questionnaire (if needed)

2) to suggest future revisions to the Canada Council forms) if needed

3) to determine the extent to which existing provincial and territorial forms are compatible with each other and with the desired CSP data

4) to examine the feasibility of

collecting and publishing forecast (as opposed to actual) data

2. Survey Population

- determine the survey population to be covered and sources of population lists

- examine the census/sample issue and make a recommendation

3. Reliability of Data

- an examination of the quality of CBAC, Canada Council and CSP data

4. Process

- review the existing arrangements (timing) for receipt of the Canada Council data

5. Consultation

- develop a work plan for consultation with the provinces and territories and with the CBAC regarding the cooperative collection of data."

A.2.2 Progress to Date

The project team has met on a number of occasions and has made progress in each area. DOC information requirements have been specified in a document dated December 7, 1981. A project team report on all other items, including the relationship between these needs and the existing data base, has been promised for

December 18, 1981.

A.3. Book Publising Survey(s)

A.3.1. Terms of Reference

While detailed terms of reference were not set out in writing, it was agreed that a joint SC/DOC working team would review Questionnaire "A" on book publishers with a view to:

- examining the content of the questionnaire in relation to DOC information requirements
- reviewing the adequacy of the current survey being collected
- reviewing the quality and reliability of the data being collected
- developing a work plan for consultation with other federal departments, provincial governments and the publishing industry

Subsequently (at a November 5, 1981, meeting), it was decided that Questionnaire A could not be examined independently of Questionnaires B and C. Accordingly, the scope of the review was expanded to include all three questionnaires. It was also decided not to introduce any changes prior to the 1982 survey in order that an adequate review and consultation process could be undertaken.

A.3.2. Progress to Date

A number of meetings have been held to date to review definitions, survey coverage and response rates on a question by question basis. A statement of DOC data needs was provided to SC on November 24, 1981. In addition, the following timetable for consultation was established at the November 5 meeting:

January, 1982 - Completion of DOC review

February - March - Consultation with other federal departments

April - May - Consultation with provinces and industry associations

V ASSESSMENT OF PROGRAM PROCESSES

1.0 Introduction

1.1 Purpose

The purpose of this assessment is to determine the efficiency of existing processes and to identify potential resource savings within the CSP.

As limited time and resources were available for an assessment of the program processes, it was agreed by DOC/STC that two major projects,

Book Publishing A, and
Theatre Companies

would be studied in depth. It was agreed also that, in order to examine the complete spectrum of process steps, the completed Actors' project would be used, as necessary, to complement the above two projects in the processes study.

An additional requirement was included in the assessment of the processes study, whereby infomation relative to the assessment of products and services, for use in Task Area B.1., would be documented.

1.2 Terms of Reference

The basic terms of reference for the consultants were included in the Work Plan for Phase II, submitted to the Steering Committee on August 18th, 1981.

In addition, detailed terms of reference were developed for the CSP staff participation. The work tasks for CSP staff, to be conducted on a joint basis with the consultants, were:

a. to describe, in detail, each project process step from inception to final publication and dissemination;

b. to detail the resources, time utilization and scheduling, including planned v.s. actual; and

c. To provide other background information as required.

1.3 Work Plan

The Phase II Work Plan, referred to above, was amplified further into a detailed B.3 work plan, as per Annex A attached.

The work plan was used in conjunction with the terms of reference for CSP participation.

2.0 Method

2.1 Efficiency Criteria

As a basis for assessing the levels of efficiency within the processes, efficiency criteria were developed.

The initial set of criteria were developed to apply to both the CSP/DOC aspects of the processes and to the outside central services of Statistics Canada. (Annex B)

At the time of development of the efficiency criteria, it was not known if detailed records were maintained at all process levels for each of the criteria proposed. This aspect will be discussed later in the report.

2.2 Process Step Detail Approach

The approach used to assess the CSP processes was as follows:

a. the development of a process model (Exhibit I) reflecting nine major process areas and thirty five detailed steps, common to all CSP projects;

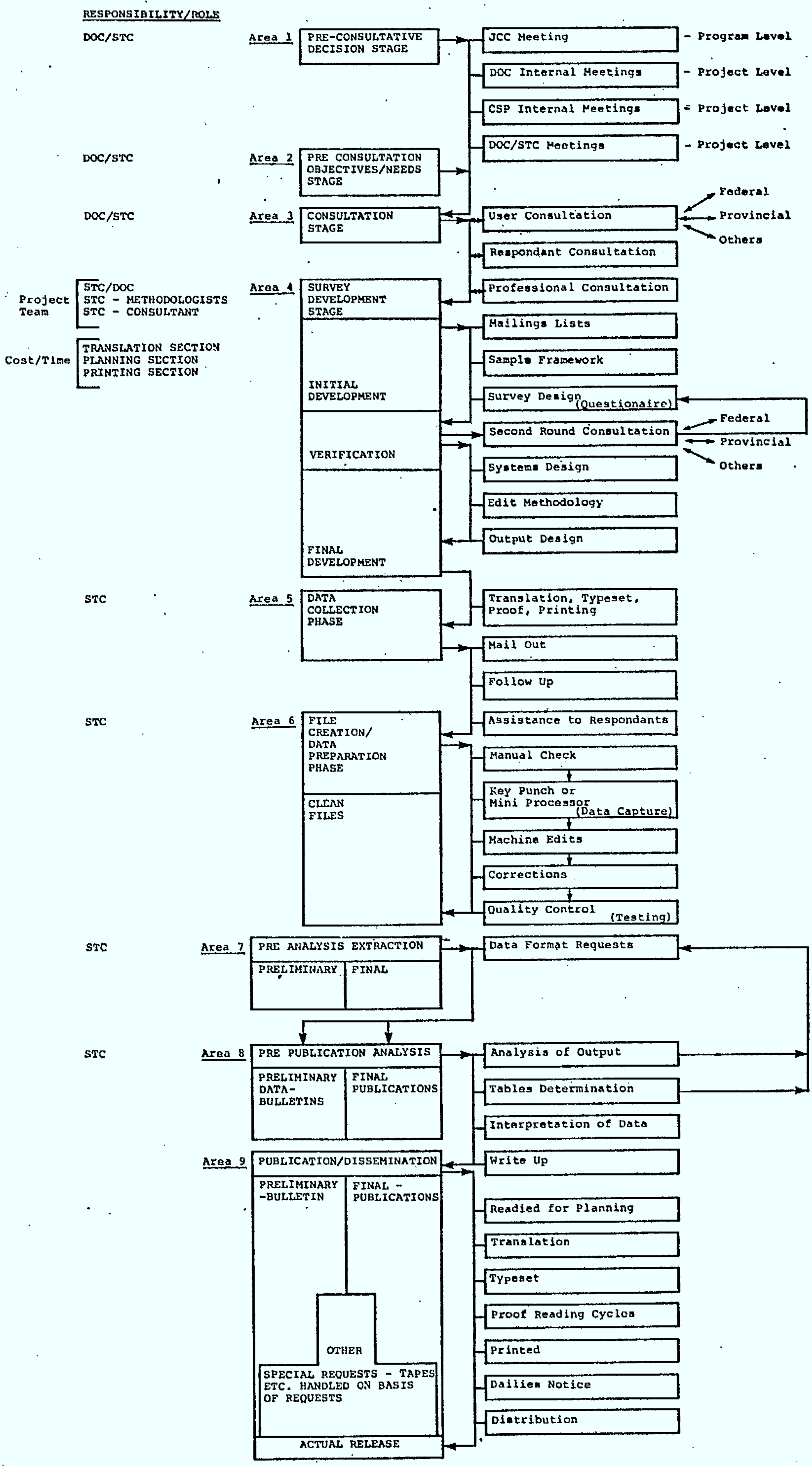
b. the detailing of activities or tasks within each detailed step, based on CSP descriptions;

c. development of a structured interview guide (Annex C) to determine the actions and events that occurred within each major process area for the selected surveys;

d. an examination of the resource utilization, the time scheduling and the products and services within the major areas; and

e. interviews were conducted with DOC staff to determine their views on key aspects of the CSP program

EXHIBIT 1: SCHEMATIC OF MAJOR FUNCTION AREAS CSP


RESPONSIBILITY/ROLE
DOC/STC
Area 1
PRE-CONSULTATIVE DECISION STAGE
JCC Meeting
- Program Level
DOC Internal Meetings
- Project Level
CSP Internal Meetings
- Project Level
DOC/STC Meetings
- Project Level
DOC/STC
Area 2
PRE CONSULTATION OBJECTIVES/NEEDS STAGE
DOC/STC
Area 3
CONSULTATION STAGE
User Consultation
Federal
Provincial
Others
Respondant Consultation
Project Team
STC/DOC
STC - METHODOLOGISTS
STC - CONSULTANT
Area 4
SURVEY DEVELOPMENT STAGE
Professional Consultation
Mailings Lists
Cost/Time
TRANSLATION SECTION
PLANNING SECTION
PRINTING SECTION
INITIAL DEVELOPMENT
Sample Framework
Survey Design (Questionaire)
VERIFICATION
Second Round Consultation
Federal
Provincial
Others
Systems Design
Edit Methodology
FINAL DEVELOPMENT
Output Design
STC
Area 5
DATA COLLECTION PHASE
Translation, Typeset, Proof, Printing
Mail Out
Follow Up
STC
Area 6
FILE CREATION/ DATA PREPARATION PHASE
Assistance to Respondants
CLEAN FILES
Manual Check
Key Punch or Mini Processor (Data Capture)
Machine Edits
Corrections
Quality Control (Testing)
STC
Area 7
PRE ANALYSIS EXTRACTION
PRELIMINARY
FINAL
Data Format Requests
STC
Area 8
PRE PUBLICATION ANALYSIS
PRELIMINARY DATA-BULLETINS
FINAL PUBLICATIONS
Analysis of Output
Tables Determination
Interpretation of Data
Area 9
PUBLICATION/DISSEMINATION
PRELIMINARY -BULLETIN
FINAL - PUBLICATIONS
Write Up
Readied for Planning
Translation
Typeset
Proof Reading Cycles
OTHER
SPECIAL REQUESTS - TAPES ETC. HANDLED ON BASIS OF REQUESTS
Printed
Dailies Notice
Distribution
ACTUAL RELEASE

procedures.

2.3 Comparative Program Assessment

A brief comparison was made between the CSP and the Post Secondary Section of Education, Science and Culture Division. Arrangements were made to obtain basic program data on the numbers of projects, staff and other resources and the use of central services.

In addition, information from the review of satellite operations was obtained as a further comparison with similar programs. This information was part of the DOC contribution under Task Area B.1.

2.4 Analysis of the Process Step Detail

The analysis of the process step detail was conducted at the following levels:

i. Comparative analysis of planned v.s. actual resource and time utilization for the two designated projects;

ii. Assessments of the practicability and relevancy of resource and time utilization, through interviews and file reviews;

iii. The recording of process management decision points against the "Protocol for EDP Projects within the Institutional and Public Finance Statistics Branch" dated December 7th, 1976 (see Annex D); and,

iv. Priority determination, responsiveness of outside services, inter-program relationships and other external factors such as the DOC and Canada Council participation were all tested against protocol/agreements and documentation.

3.0 Approach to the Report

There are six parts remaining in this section on program processes.

Part 4 discusses the general background comments on the limitations and other factors affecting the study.

Part 5 describes the step detail processes for the program as a whole.

Part 6 comments on the findings within the Book Publishing project.

Part 7 comments on the findings within the Performing Arts (Theatre Companies) project.

Part 8 contains the findings under a set of issues, on both a Program and Project basis.

Section 9 provides a summary of the assessment of the processes.

4.0 General Program Comments Affecting the Process Assessment

4.1 Resource Utilization

Although complete resource recording exists through the REMAP's at the Program level, and is even useful at the project level, it was not designed to capture step-detail costs.

Further, the time-usage figures are reported by staff classification levels only, on a program basis within each project and do not provide a split between the Analysis sub-section and Operations sub-section.

The result of these two limitations is that it was necessary to make several assumptions in order to determine the estimates of the costs and person-day utilization for each of the nine major process areas.

To determine program costs, the monthly REMAP statements have been reflected against the actual scheduling of actions that occurred. A one month delay in reflecting central services was adopted.

To obtain person-day utilization, an unofficial computer program maintained by the Chief of Operations was used. This program, for internal Operations control, shows the detail of each Operations staff member against each project. It was possible to subtract these from REMAP totals, thus approximating the analyst time usage but only in total project terms.

As special requests were also involved, a method had to be devised to allow for this activity. The costing for special requests was available for each month along with person-day utilization. Splitting this total between analysts and operations staff was not possible.

Finally, in order to capture data for the complete process step detail, 1980-81 figures reflecting the 1979 surveys were used. Thus, the estimates of costs are merely indicative and are not presented as totally accurate. The details of these cost/utilization projections are illustrated in Parts 6 and 7.

4.2 Projects Selection

The two projects selected, presented some significant assessment difficulties, detailed in 4.2.2. below.

It should be stated however that they were excellent choices for other reasons, reflected in 4.2.1.

4.2.1. Positive Factors in the Project Selections

Book Publishing A	Theatre Companies
- one of the oldest, best established surveys of CPS;	- also a well established project of CSP;
- selected by J.C.C. for in-depth review this year;	- involved a third party source for data through Canada Council;
- represented a project in the commercial area of private business; and	- represented a project in the non-profit area of cultural industries; and
- used significantly by DOC research and policy staff.	- of significance to DOC research staff.

4.2.2 Negative Factors in the Project Selections

Book Publishing A	Theatre Companies
- only one part of a three part project;	- inability to isolate Theatre Companies from the general Performing Arts project;

- Both represent the Industries side of the CSP, providing no access to the Institutions side of Analysis or Operations.

4.3 Program - Wide Implications

The assessment of processes was limited, by general client agreement, to two projects and access to a third project. Within this limited perspective, program- wide inferences have been drawn.

Care has been taken to try and determine where significant differences may exist between the projects selected and other projects within the program.

5.0 Program Process Step Detail

5.1 Introduction

Exhibit 1, portrayed earlier presents a model of the program-wide step detail processes. The model was developed from a paper entitled "The Responsibilities of Statistics Canada Respective to Any Project," prepared by CSP in January, 1977 (see Annex E). CSP staff assisted in reviewing the model and ensured its accurate reflection of program activities.

Each of the nine major process areas is described in the following sub-parts.

5.2 Process Step Detail

5.2.1 Area 1 Pre-consultative Decision Stage - (STC #1)*

In this area, both DOC and STC discuss, through the J.C.C., which projects within the Cultural Statistics Model, will be developed, modified and undertaken within specified time frames. These time frames are normally expressed in start up date terms. At this stage completion dates are not established. The rationale for priorities is discussed in terms of DOC needs, broad needs for information, the publics to be surveyed and serviced and the abilities of the Program in terms of resource utilization.

* The reference to STC #'s relates to Annex E - The Responsibilies of Statistics Canada - Respective to any Project, January 1977.

5.2.2 The Pre-Consultation Project Objectives/Stage Needs (STC #2)

Once the start-up dates and basic concepts have been established, each survey project is defined as to general content to be met and the objectives of the project. DOC, at this point is the key client in identifying the broad needs to be served. The objectives to be met are framed by both DOC/STC. The population of users and respondents, to be consulted, is determined and preparations for consultation meetings are completed.

5.2.3 The Consultation Stage (STC #3,4,5 and part of 6)

The Consultation Stage is aimed at two target groups - users and respondents; and has two major phases - initial consultation and final consultation. It should be noted that frequently users and respondents equate, as both suppliers of and users of the project data.

The purpose of the initial phase is to determine detailed and supplementary needs, beyond the DOC/STC initial identification, and the population in order to develop the General Statement of Requirements and resource estimates. It is also used to determine the respondents ability and willingness to provide data, leading to survey design. Both DOC and STC staff participate in the consultative process.

After STC has developed a preliminary survey instrument, a second round of consultation frequently occurs to confirm or revise the survey instrument with respondents and to discuss the expected level of data output to users.

In the case of on-going, regularly run projects, the above two phases are used to refine or augment an existing survey instrument.

5.2.4 Survey Development (STC Part of 6, 7, 8, 12, 13)

Based on all the preceding phases, the survey instrument is completed and the computer program for outputs and edit programs are developed which include:

- creation of mailing lists;
- the sample design;
- the methodology for editing;
- the computer systems design;
- definition of data outputs (tables); and,
- typesetting, translation, proofing, and printing completed for for the questionnaire.

5.2.5 Data Collection (STC #14, 15)

This aspect involves mail outs, follow up, receipt of all survey instruments, including assistance to respondents if needed.

5.2.6 File Creation/Data Preparation (STC 11, 16, 17, 18, 19, 20, 21, 22)

This phase covers the initial manual check, key punching, machine edit, corrections, resulting in two products, an initial preliminary clean file and, when all available survey data is received, a final clean file. By "preliminary clean file" we mean the file that exists at the time when the analysts judge that a sufficient number of responses have been received to permit release of data and to prepare a Bulletin.

5.2.7 Pre-Analysis Extraction (STC 23, 24)

The analysts request data outputs, based on original survey design work and definition of data output needs. Operations produces data output and conducts quality/accuracy checks before passing data to analysts.

5.2.8 Pre-Publication Analysis (STC 25)

The analysts conduct two levels of analysis - the determination of the utility of the data for CSP use and the interpretation of the data for user needs. The analysis is also conducted in two phases - for early release in acceptable format and later release with written commentary reflecting analytical conclusions.

5.2.9 Publication/Dissemination (STC 26, 34)

The publication/dissemination is a multi-facet phase:

I Preparation - involving translation, designing, typesetting, printing, proofing and final printing; and,

II Release - involving notification, distribution, and special requests:

- for Bulletins
- for Publications
- for Special Runs
- for tapes, or
- for other modes.

In addition, CSP staff must respond to user requests for interpretation, supplementary information, critical comments and a variety of specialized user needs.

5.3 Relationship to Specific Projects

While minor variations may occur within selected projects, or levels of effort may vary, the above descriptions have application for all CSP conducted projects.

6.0 Book Publishing A

6.1 Process Step Detail

No major variations were noted in the detailed process steps for Book Publishing A.

It should be noted that under Area 5, Data Collection, the operations staff provide a high level of assistance to the respondents, frequently pointing out errors and in some cases providing direct assistance in the completion of survey forms.

Similarily in Area 6, File Creation, the operations staff conduct a detailed manual check of each cell and its relationship to other cells. Initially this extensive manual check was questioned, on the grounds that machine edits were also used. It was determined, however, through checks with industry and government representatives, that where hard financial data with a high level of inter-relationships between cells exists, it is generally accepted that careful manual checks should be made at the preliminary data input stage. Failure to conduct careful manual checks can result in a failure to achieve a clean file status.

Evidence existed of a close relationship between the analysts and operations, particularily at the clean file close out stage for preliminary and final data, though the primary initiative came from operations staff.

The high level of in-depth personal knowledge of the book publishing community and its operations by both operations staff and the analysts represented both a strength and a weakness within the step detail process.

In terms of strengths, the operations staff and senior level analysts are so familiar with the respondent community that judgments on levels of assistance and relative importance of companies, in terms of preliminary data needs, are made without documentation. The operations files on individual companies are exhaustive and up to date.

The weakness observed is that, both on the senior analysts and operations side, the personnel have been on the project since its inception. Changes of staff are forecast in the next year or so and accumulated knowledge will be required as a transition record.

The roles of the analysts, in Book Publishing A are discussed in more detail under Part 8.2.1 Analysis Management

6.2 Resource Utilization

Exhibit 2 presents an indicative estimate of both dollar and person day utilization by process step detail.

As portrayed, in the project totals, utilization was significantly below the planned levels in the operations section. A major part of this under-utilization was identified as being due to the delays in developing a publication for the 1979 survey.

This under-utilization was used for other workload demands, such as the Actors project and other stated workloads. The Chief of Operations regularily adjusts staff efforts to meet special or unusual demands. The exact changes in operations levels for Book Publishing could not be determined, but as indicated in Sub-Part 6.3 Scheduling, the major step-detail schedules were maintained by operations staff.

EXHIBIT 2

BOOK PUBLISHING (1979)* - BREAKDOWN OF COSTS AND PERSON DAYS

	$ (000's)	%	PERSON DAYS ANALYSIS	 OPS.	 TOTAL
Steps 1,2,3 Consultation	12.2	8.7			105.0
Step 4 Survey Development	25.3	18.7			224.4
Step 5 Data Collection	11.0	7.8			93.6
Step 6 File Creation	25.8	18.3			220.0
Step 7 Pre-Analysis Extraction	9.0	6.4			75.2
Step 8 Pre-Publication Analysis	8.9	6.3			76.5
Step 9 Publish/ Dissemination	17.7	12.5			150.0
& Special Requests	30.7	21.3			255.7
	140.6	100.0	678.0	522.4 **	1200.4

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* 1980/81 Expenditures

** Planned Person Days 769 - underutilized (246.6)

The cost breakdowns indicate the following major areas of effort;

(i)	Consultation and Survey Development	27% *
(ii)	Data Collection and Extraction	32%
(iii)	Analysis and Publishing	19%
(iv)	Special Requests	21%

* About 11% devoted to following year survey, 16% relates to 1979 survey.

6.3 Scheduling

The planned Book Publishing schedules were maintained within reasonable tolerances, up to and including the production of a preliminary clean file. The scheduled time frame for mid-November was exceeded by only two weeks.

The Bulletin on Book Publishing 1979 was released on February 10th, 1981 instead of the planned late December/early January release.

The Publication, while not scheduled in precise terms, was mentioned in the Bulletin for late Summer/early Fall 1981 release. As of the time of the assessment, the draft copy had not been received by operations staff for initial review.

A number of factors contributed to the scheduling problem for both the Bulletin and the Publication. These factors are dealt with under Part 8.2.2, Program Management and Part 8.2.1.1., Staff Turnover.

In general assessment terms the consultation, developmental and file creation stages were within planned scheduling parameters. The final production stages for Bulletins and Publications were not met within planned time limits.

6.4 DOC/CSP Inputs

During the course of the assessment, consultation between DOC/CSP was underway for the 1981 survey.

A consultation session was observed, dealing with revisions to the survey sample population.

Both CSP and DOC were well prepared for the sessions. DOC indicated initial concerns on certain respondents within Associations who are included on the mailing lists. CSP staff had developed computer listings by appropriate cell identifications which enabled the group to discuss revenue levels, numbers and types of publications and other pertinent data for review.

Two factors seemed of significance. Both the senior CSP and senior DOC representatives were so familiar with the subject matter and the sample population that decisions on inclusions or exclusions were made more on personal knowledge than reliance on the basic criteria for the project. While this appeared to result in meaningful decisions the heavy reliance on such personal knowledge indicates a need for careful documentation of the rationale for decisions. At the time of assessment, only very minimal recording of the decisions was evident.

The second factor noted was the question of continuity of participation and scheduling of meetings. Due to uncertainty surrounding the tenure of the Chief, Analysis Section, and the subsequent loss of the CSP analyst, a second senior analyst was required to fill the gap. At the time of the assessment, it was uncertain how future consultation was to be handled or what the implications might be.

It should be noted that joint DOC/CSP inputs for Book Publishing 1981, extended to the J.C.C. level. It was decided that, as the project had operated for five years, a major review should be undertaken this year. The significance of the CSP changes are, therefore, more important than in a period of normal project review.

Discussions with a DOC representative involved, indicated that the consultative process, to date, has been worthwhile and productive.

DOC involvement in other parts of the process, such as definitive work on development of the questionnaire, team participation, etc., were not observed as these stages were not active. File research however indicates only minimum activity occurred, during the 1979 survey period.

Finally, as requested by J.C.C., DOC agreed to identify their needs by November 20th. An initial DOC letter was received the week of November 23rd.

The question of DOC defining its data output needs for the project is a critical one. We believe that the performance of DOC in specifying its output data needs requires dramatic improvement.

6.5 Other Non-Program Sources

The assessment of processes did not include a survey of respondents. Reaction of users to the project was obtained in the Phase I interviews with respondents.

Special mention should be made, however, of the Content and Analysis Branch representative of Statistics Canada who provides 40% of his time to Cultural Statistics and provides a valuable level of consulting services, reviewing draft survey documents, ensuring use of standard coding and using edit specifications for directions to the programmers. He also performs a liaison role between the Program and central computing services. His services are of importance to CSP and are specified in the Protocol detail.

The Program, for Book Publishing, uses the central main frame computer. Survey instruments, after extensive manual checking, are batched and sent to central services for key punching and input into the main frame computer. The program has three on-site terminals and the common use terminals adjacent to the program are available for requesting output and edit programs in overload situations.

Corrections from the edit programs are received from Central Services as corrections listings. Operations staff, and sometimes analysts, complete the corrections manually, which are then returned and entered by the central sevices.

Neither the program staff, nor the Branch consultant, had evidence of undue delay or significant problems with central computing services.

The allocations of computer time are negotiated at the beginning of each year on a program basis, by projects. The program has never been denied its allocation and on a program basis the allocations are sufficient and can be transferred between projects.

Translation services are judged to be slow and forms design modifications to the Book Publishing questionnaire were drafted within the Program, and merely reviewed by Central Forms Production, to avoid delays. Scheduled, major projects dates are determined for both in and out times by central services. These dates, we observed are normally met.

In final production of the Bulletin, a revised date was established and the Bulletin produced in three weeks.

For Book Publishing, the Publication pre-determined date had passed and a new priority with central services will have to be negotiated.

A review of the Bulletins and Publications indicated various forms of graphics presentation. The program, however, is subject to STC standards which are detailed and have rigidities of type, margin sizes, use of colour etc. prescribed.

In summary, with the exception of Translation Services, which tend to be traditionally slow, the central services of Statistics Canada respond within acceptable time limits, but considerable pressure is placed on the Program to meet pre-determined scheduling dates.

7.0 Performing Arts - Theatre Companies

7.1 Introduction

The Theatre Companies project is part of a larger Performing Arts survey, conducted each year. The same analysts and operations staff handle all of the component parts of the Performing Arts, so it was not possible to isolate costs or other factors for Theatre Companies alone.

A second factor that made the Theatre Companies project unusual is the arrangement, whereby Canada Council survey forms are transferred to CSP for processing. As these forms have some commonality, but in fact are different to the CSP forms, this poses some unique problems discussed later in this part.

7.2 Process Step Detail

An examination of the process step detail for Performing Arts revealed two significant differences from Book Publishing.

At the early consultation stages, not only were DOC staff involved, but also Canada Council Staff. This meshing of needs and requirements for the project with both DOC and Canada Council makes initial consultation more complex.

At the data collection and file preparation stages there are again unusual circumstances. The Canada Council survey forms are used to collect information relative to the granting of funds. However, not all performing companies apply for Canada Council funding and these companies are surveyed through CSP forms.

Secondly, the Canada Council forms, while containing detail in excess of CSP needs are not completely compatible, and do not permit machine transfer of information. The result is an inordinate level of manual transferring of information.

From a data reliability aspect, the more serious finding is that program staff judgments are made frequently, in transferring the information, as the program staff cannot deal directly with the Canada Council respondents.

In the step process analysis it was noted that the theatre and other performing arts companies, apply for grants at different times and have different year- end periods which extend the survey data collection over virtually a twelve month period.

Again, as in Book Publishing, the detailed knowledge of the community is invaluable in determining when preliminary data imput can be used for bulletin purposes and release of preliminary data, but little documentation of this knowledge exists.

7.3 Resource Utilization

As in Book Publishing the resource utilization for step detail purposes has been developed as indicative information only. The detail is portrayed in Exhibit 3. Utilization of person days in operations was below the planned levels. As in the case of Book Publishing, Operations resources were spread to other projects but it was not possible to identify precisely where the resoures were applied.

7.4 Scheduling

The only major scheduling variance, up to the publishing and dissemination stage, related to the length of time the file was kept open to obtain a maximum number of respondents. The evidence suggests relatively low levels of response were added over a two month open period. It must be stated however that a close liaison between Operations and Analysis was evidenced, with regular respondent-level checks to achieve a relatively close-to-schedule close out date for the preliminary clean file data.

EXHIBIT 3

PERFORMING ARTS (1979)* - BREAKDOWN OF COSTS AND PERSON DAYS

	$ (000's)	%	PERSON DAYS ANALYSIS	 OPS.	 TOTAL
Steps 1,2,3 Consultation	6.6	10.2			48.8
Step 4 Survey Development	12.2	18.8			98.1
Step 5 Data Collection	7.8	12.1			56.8
Step 6 File Creation	10.8	16.7			78.3
Step 7 Pre-Analysis Extraction	5.5	8.5			40.0
Step 8 Pre-Publication Analysis	4.3	6.6			32.0
Step 9 Publish/ Dissemination	9.9	15.3			72.0
& Special Requests	7.3	11.8			53.0
	57.9	100.0	214.2	254.8 **	469.0

* 1980/81 Expenditures

** Operations Person Days Planned 316 - underutilized (61.2)

The Bulletin was produced by December 1980, within the scheduled time frame.

The Bulletin stated that a Publication could be expected by July/August. At the time of this report (December 81) the Publication has only just cleared the Program to go into production and is expected to be ready for distribution in six weeks.

7.5 DOC/CSP Inputs

During the assessment period a consultation meeting between DOC/CSP was witnessed. The CSP representative had samples of the various provincial survey forms used to collect data on performing arts. The exercise entailed seeking compatability between CSP and provincial survey forms. At the time of the meeting only a cursory analysis had been undertaken.

In discussion with DOC it was pointed out that the provincial compatability exercise had been requested some three years ago and was only now emerging.

The DOC representative had not submitted to CSP a detailed statement of the DOC data requirements for the survey, but promised to do so. Again we point out the need for DOC to define its output data requirements and in accord with the schedules set out for the project.

Both DOC and CSP engaged in early joint consultation with Canada Council on Performing Arts, at the request of DOC, but no opportunity occurred to witness these negotiations.

Finally, it was agreed, as part of the DOC/STC evaluation work in Task Area A, that an in-depth look at Theatre Companies would be undertaken, along with the normal range of Performing Arts survey development issues. An initial letter was received the week of the 23rd of November.

7.6 Other Non-Program Sources

As detailed in 6.5 the central services in computing and production, provided service levels promptly and within scheduled times.

The Bulletin was processed and released within the December time frame.

Even the Publication which was submitted outside the scheduled dates, has been promised for production within six weeks, the normal time for full production. In the case of the Publication, it was three weeks within Translation, which is about the normal time span for a Publication of its size, even though this time frame seems inordinately long.

8.0 ISSUES

8.1 Introduction

The previous two parts have dealt with the specific projects selected for the assessment. In part 8 we use this analysis for major issues relevant to the program.

It should be stated that the lack of performance measurement specific data was a major impediment to a proper analysis and has resulted in findings of a more general nature than was originally anticipated by the study team. Included in these general findings, and reinforced in part 9, is the need for the Program to develop more specific program performance measures.

8.2 Program-wide Issues

8.2.1 Analysis Management

Three major factors were evidenced, which have had significant impact on the efficiency of the analysis function in the Book Publishing project but which have program-wide implications as well. They are Turnover, Chief of Analysis Role and Analysis Workload.

8.2.1.1 Turnover

Factor one has been the high level of turnover with four analysts in Book Publishing over the past five years and the position only recently vacated once again.

To understand the significance of this on the analysis function it is necessary to realize that the unit head in charge of Industries analysis covers a wide field of cultural industry surveys and depends heavily on analysts to become experts in the subject matter area assigned and to play the lead role in the preparation of bulletins and publications. Any failing on the part of analysts in identifying issues, themes and/or the ability to conduct veritable analysis and writing places a heavy revision, reorientation load on the unit head.

Senior Statistics Canada personnel reported that a minimum of one year is needed to gain a basic familiarity with a subject matter area. The turnover at eighteen month intervals of analysts means they are leaving at the time of first significant contribution.

While not directly related to the analyst turnover, the vacancy for nearly two years of the unit head responsible for the Institutions analysis, had a direct effect on the Book Publishing project, as the unit head for Cultural Industries was required also to assist the Chief, Analysis Section, in providing assistance to the analysts on the Institutions side, as well as coping with the Industries analysis workload. Steps have now been taken to fill the vacant analysts and unit head positions.

8.2.1.2 Chief of Analysis Role

The second factor within Analysis Management relates to the role played by the Chief, Analysis Section.

The Chief has responsibility for the direction and management of the Analysis Section, but also, through the unit heads, is responsible for management of all CSP projects. Additionally the Chief has been delegated responsibility for the ongoing administration of the program funds for both the Operations and Analysis functions.

Several other developments have intruded into the responsibilities of this position. The present Chief has a long association with Book Publishing and, as a result, is the chief negotiator in the consultative process for Book Publishing. He also participates actively at times in other Industry project consultations.

In addition, a classification decision several years ago and only very recently changed, made the Chief responsible for the training and development and overall supervision of analysts, on a direct reporting basis.

The results from these workload pressures have been significant:

a. the personal workload has been excessive and too diverse;

b. because of the excessive workload, analysts have not had access to or direction from the Chief and have been given little development assistance;

c. the priority role of managing and monitoring, through his unit heads has not been fulfilled adequately; and

d. the one unit head for Industries, has been under-utilized in the prime role he should play because of the Chief's involvement in Book Publishing and over-utilized in assisting outside his proper role, because of the absence of a unit head for Institutions analysis.

Reference was made earlier to the delegated responsibility placed on the Chief, Analysis Section, for the ongoing administration of program funds.

The Assistant Director is deeply involved at the initial, annual program planning stages and at the year end review of program results. His duties include, however, a high level of responsibility to represent the program in Canada and internationally at a variety of meetings and forums. A great deal of development work is occurring provincially and on the international scene.

It is natural, therefore, that some delegation of responsibilities should occur. The evidence, suggests however, that the delegation has created an onerous workload for the Chief, Analysis Section and the proper division of responsibilities between the Analysis Section and the Operations Section may not have either been achieved or defined.

8.2.1.3 Analysis Workload

Despite every effort to find clear, reliable data on the workloads of the analysts connected with Book Publishing and Performing Arts, such proof of workload does not exist in specific, measurable terms.

What was undertaken was a series of interviews, with cross-check interviews at both DOC and within the Program.

The following issues were revealed:

a. For Book Publishing, three analysts were involved. As mentioned in 8.2.1.2 both the Chief, Analysis Section and the unit head, Industries were deeply involved in a wide range of other duties;

b. Because the analyst for Book Publishing lacked a depth of understanding and was provided minimum guidance, the Bulletin had to be re-developed by the unit head;

c. With the analyst position again vacant, the Publication for Book Publishing 1979 is still under preparation; and

d. The analysts, currently, are carrying a variety of responsibilities as detailed below:

i. DOC/CSP consultation
ii. User/Respondent consultation

iii. Survey development
iv. Output specifications
v. Analysis for bulletins
vi. Analysis for publications
vii. Analysis for special requests
viii. Analysis for monograms, special papers
ix. completion of other-jurisdiction surveys (UNESCO on culture) and
x. Liaison with Operations.

The unit head involved in Book Publishing has all Industry surveys except Performing Arts and Radio/TV which are handled exclusively by an ES4 analyst.

It is obvious that, if the analyst positions were filled with knowledgable staff, retained over three to four years and properly supervised in the developmental stage, the unit heads would have time to provide a more meaningful management role, resulting in savings over a longer period.

It is our judgement that the analysts are not carrying the load envisaged for their level.

8.2.2 Program Management

Program management, in terms of initial planning and conformance to Statistics Canada requirements, has met all of the conditions of the Protocal for EDP Projects of 1976 and the more recent developments for Management Review and Corporate Statistics Canada initiatives.

Regular expenditure statements (REMAPS) are received and distributed to the appropriate Program personnel.

End-of-year reviews are held at the ACS level and reports to J.C.C. are prepared as required.

Priorities are established at the beginning of the year and allocations of funds, person years and other central service allocations are developed on a project/program basis.

There is, however, little evidence that on-going project management is defined or monitored significantly over the operating year. As an example, the REMAPS do not show levels of expenditures or staff utilization between Analysis and Operations.

The Operations Section is relatively well-managed with regular internal time-use reports and scheduling reports maintained both at a project and section level. During the current fiscal year, for example, Operations staff are contributing significantly to the Time Use study and the Post Office book import study. Neither of these studies were foreseen at the levels of effort which have emerged. It is important to note, however, PMS data have not been introduced, nor is it possible to relate the current data to step detail parts of the process.

The Analysis section, for the reasons cited earlier in Part 8.2.1 is not achieving an acceptable level of sub-section or program management. As noted earlier, no PMS or pertinent operating data exist that can be used to monitor levels of effort or progress on a step detail basis.

In general terms, most products are produced as planned, or relatively within planned targets, but this is due more to individual dedication than to control and management at the Program level.

8.2.3 Project Management *

The Analysis Section is envisaged, in the Protocol, as playing the prime role in providing leadership and control for each project. In this way the consultation process, questionnaire development, edit and output programs and and final analysis and dissemination stages are all integrated and quality checked by the analysis section staff.

While some efforts toward project management were recorded, no clear, delegated responsibility for each project was evident. In, Performing Arts, the ES4 analyst was responsible, but in other areas the accountability was less clear. Some aspects, such as documentation of the actual versus planned scheduling was undertaken by the Chief, Operations Section. Project books, where they existed, were also developed in Operations.

At a broader level the DOC participation in project management terms, was also there, but to a lesser degree than was anticipated by the consultants in such areas as definition of output needs.

The DOC/Stats Canada Agreement stresses the need for a project team approach for each project. Apart from consultation, there is little evidence that DOC staff have involved themselves in the step detail process. It is understood that DOC are considering changes to the present liason roles.

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* The protocol of 1976, referred to earlier, stresses the requirement for project management.

8.2.4 Authority Levels/Budgets

The Assistant Director has argued that because the Program is not a large program, a single budget allocation is sufficient.

The Program is unique, however, in Statistics Canada terms as the Operations and Analysis functions have been split on a program-wide basis.

A generally accepted management principle relating to budget and signing authority is that where a manager is accountable he/she must have a commensurate budget and signing authority must follow.

The Chief of Operations must assign operational priorities, obtain additional services and determine the need for overtime or term staff. Despite input by the Chief of Operations into original planning for resource levels, the real control rests with the Chief, Analysis Section, who, for example, controls the budgets and authorizes all overtime.

The assessment revealed that no one in the program was able to provide the breakdown of expended resources between the Analysis and Operations sub-sections on a step detail basis. If under or over-expenditures occur it is impossible at the program/project level to isolate whether Analysis or Operations have incurred the surplus or shortage. The independent, self initiated, breakdown of staff utilization for the Operations Section, while unofficial, is at least a step in the right direction.

8.2.5 Documentation of Knowledge Base

Earlier references were made to the high level of knowledge possessed by certain staff members on individual projects.

Evidence was found of documentation of some of the Operations knowledge base. Descriptions of functions and special conditions relating to projects were recorded for several projects containing operations knowledge.

Documentation of this type for all aspects of the work would enable the program to maintain continuity from person to person for each responsibility. Given the program history of junior analyst turnover and the impending possible changes at senior program levels, the documentation requirement assumes significant importance or program resources, currently available, could be lost or wasted.

8.2.6 Project Review

No evidence was found within the program that close-out reviews are held following the completion of the final clean file testing.

There was evidence of broad program management review, on an annual, end-of-year basis. At the project level however no evidence could be found that a comparable exercise is undertaken.

The Actors project, as an example, encountered a wide variety of problems at almost every process step. None of these problems were insurmountable, but many could occur on other new or once-off surveys.

No evidence existed that final close out reviews were conducted covering all aspects of Program Projects.

8.2.7 Computer Use and Central Services

8.2.7.1 Computer Use

The program has some projects on central main frame computer and some on mini computers.

The two projects surveyed were on the main frame computer and therefore actual use of the mini computer was not studied in detail.

Two basic differences between the method of operations were noted:

i. Input for the main frame computer can be achieved by sending survey forms, in batches, for key punching and input by central services, or by mini computer programs developed within CSP and transferred to the main frame computer. The main frame provides both input and output capacity.

ii. The mini computer inputs data without the need for key punching, but requires direct CSP staff utilization. The present mini computer system cannot provide hard copy output.

The mini computer has several advantages from an Operations staff point of view. Edit programs are designed without the central services costs and corrections can be made on the spot using video presentation of data. This exercise, compared to receiving printouts of corrections, to be manually recorded and returned, is far more challenging and stimulating for CSP staff.

The accessibility and response of the mini computer is an attractive and productive aspect.

There are however other facets that were considered. Budgeting for main frame use is built into the historical planning process. Enough flexibility in computer time and costs exists to permit operational adjustments without any apparent hardship on budgets. Mini computer use, in comparison, involves direct utilization of CSP staff, often requiring internal Operations staff adjustments.

Detailed costing comparisons were not possible. Currently the program tends to balance the use of each data processing alternative on staff use terms only. Until such time as a detailed costing analysis and the implications of possible staff increases are examined, no firm recommendations are possible. The data do not currently exist for analysis purposes.

No evidence was found of delays or other problems in the use of central main frame services.

8.2.7.2 Central Services

As alluded to earlier in the report, no significant problems emerged concerning central services. The rigidities of Statistics Canada formats and use of logos, colour etc. would have to be weighed, in the event of any move toward a different location for the Program. Equally however, a detailed cost analysis would be needed for each variable considered, to ensure that movement toward a more varied format, colour use, etc., did not incur costs in excess of benefits or budgets.

Evidence exists that methods of disseminating printed information need not be merely Bulletins and/or Publications. The possibility of newsletter type of dissemination was indicated as a possible alternative. A preliminary indication of potential resource savings was revealed from the assessment of Book Publishing and Performing Arts, where a large measure of the costs were attributed to Publications.

8.2.8 Comparison with other Statistics Canada Program

8.2.8.1 Introduction

The Education Sub-Division of Science and Culture Division was selected as a program for comparison review. The education statistics program is roughly comparable in size, totalling 46 PY's compared to 33 in the Cultural Statistics program.

8.2.8.2 Size and Scope of the Program

The Education Sub-Division puts out fourteen annual publications per year and surveys a population with over 5,000 individual respondents and over a million records.

All schools, universities and colleges are included in the population and surveys are conducted on a universe, rather than a sample basis, annually.

The program has 16 analysts, 15 SI's and 14 clerks and operates on a combined analysis/operations mode, with sub-sections by subject matter content identification.

The program operates on an annual budget of $1,650,000. divided between Post Secondary Education, Elementary Secondary Education, Projections and Special Studies, and Education Finance.

While the scope of the program is larger than the Cultural Statistics Program, with many more respondents and records, there are significant differences in the types of population surveyed and the response capacity of the respondents.

These differences are summarized in the following sub-section.

8.2.8.3 Differences between the programs

8.2.8.3.1 Years in Operation

The Education Sub-Divison conducts surveys, many of which have been in existence for over forty years. The respondent populations have long experience in providing data, and in some cases are Provincial Departments of Education with significant resources as support.

8.2.8.3.2 Population Characteristics

As indicated above, the population being surveyed has long association with the Program and in some cases develops the data base required as standard information needed within their establishments. Many of the respondents are provincial or municipal sources with administrative and technical support for the provision of data.

8.2.8.3.3 Survey Data Collection

The survey data is frequently provided in the form of computer tapes and can be entered into the Program data base. The level of uniformity and reliability of most of the data collected is high.

8.2.8.3.4 Analysis

While some interpretive analysis is sometines done, and special monographs and theme projects are undertaken, most of the data is produced, through the annual publications which combine analytical comment and statistical tables. A large number of special requests are received and responded to, requiring analysis output.

8.2.8.4 Conclusions

The two programs have significant differences. The volume loads are much heavier for the Education Program, but the reliability, uniformity and consistency of respondents' data makes file creation and editing relatively easy.

The Cultural Statistics Program, on the other hand, copes with a much smaller volume of respondents, but the population has little experience in providing data and little support capacity to assist in preparation of survey forms.

The Education Sub-Division, while having need to promote and explain its program, does not require the same level of promotion effort as does the Cultural Program because of the relative newness of the latter.

No strong conclusions emerged from a comparison of the two programs.

Details on the Post Secondary Program are shown in Annex F.

9.0 SUMMARY

9.1 Program Management

All CSP staff were cooperative in providing the maximum information available. However, a serious difficulty encountered was the lack of PMS data and the resulting inability to determine the separate utilization and costs between the Analysis and Operations sections.

The general scheduling and total resource utilization and the general level of products planned and produced were within the broad parameters planned. The major failure was in the production within planned schedules of final Publications for the two projects studied.

The basic processes are sound and in conformance with Statistic Canada's requirements. The desire of both CSP and DOC staff to produce a quality product was evident throughout the study.

The recommendations of the study team, issued separately were developed to overcome deficiencies in the program that are recognized by the management and supervisory levels of CSP and DOC.

9.2 Project Management

Earlier in the report findings were detailed that indicated a need to strengthen the project management approach for the control and delivery of products, within the CSP processes.

No Project Reviews are conducted involving an end-of-project analysis of all elements affecting the project processes and products.

VI ASSESSMENT OF CSP PRODUCTS AND SERVICES

The purpose of this part of the report is to assess the products, related marketing efforts and services of the CSP. An abridged version of the original work plan was followed due to the increased level of attention by the study team to the assessments of the program processes and the CSP as a joint program. However, the recommendations support the overall thrust of this report. It should be noted that the phase one report made recommendations on the content (data) provided to users. This part then focuses only on the ways of packaging and disseminating data.

1. CSP Products and Marketing

The following section comments on the products of the CSP and marketing of the program.

1.1 Current Products of the CSP

This section describes the products used by the CSP to disseminate information to users. The CSP products differ in the amount of data and interpretation contained, and in the extent to which they are tailored to the needs of individual users. As well as those described below, the Statistics Canada "Daily" is also used to announce that data can be accessed.

(i) The Service Bulletin

The major purpose of the service bulletin is to get information to users as quickly as possible. The service bulletin is supposed to be released approximately 4-6 weeks after a preliminary clean file is prepared. In the case of the two projects examined in detail in this study, the actual timing of the release of the bulletin was as follows:

a. Book Publishing (1979), began consultation in September 1979, a preliminary clean file was ready in December

1980 and the service bulletin was available in early February 1981.

b. Performing Arts Survey, (1979), began consultation in September 1979, the preliminary clean file was ready in mid October, 1980, and the service bulletin was available by December 1980.

The service bulletin contains limited information and is based upon fewer reponses than the publication. However, in releasing the service bulletin the judgement is made by CSP officers that the trends indicated in the bulletin will not change with the final clean file.

(ii) The Publication

The publication is based upon the final clean file for the project and contains more information and narrative than the service bulletin. The major issue associated with the publications is that of timeliness, i.e., neither the publication for the Performing Arts (1979) nor the Book Publishing "A" (1979) surveys have, as yet, been released (December 1981). The difference between the publication and the service bulletin is not in the intended users but in the status of the data (i.e. preliminary results versus clean file results) and the extent of detailed information and interpretation contained.

(iii) The Special Requests

The purpose of the special request is to provide to users, specific information of interest to them, in the format that they desire. The nature of the special requests vary and therefore so does the turn around time. Some special requests can be filled by reference to a particular publication while others require the running of special tabultions. The extent to which tabulations can be disaggregated is subject to STC regulations on confidentiality.

(iv) Access to Data Tapes

Under certain conditions, users can gain direct access to the data tapes. However, users who are granted access to the tapes are subject to the same STC regulations on confidentiality as are STC employees. Thus, individual data can only be released upon agreement, in writing by the individual respondents.

Access to the tapes is made available under articles 10 and 11 of the Statistics Canada Act. In particular, agreements can be made with:

a. Provincial statistical·agencies which have the statutory authority to collect information that is intended to be exchanged or transmitted. Here, respondents must agree to the information exchange between STC and the particular provincial agency. In this case the provincial agency is subject to the same rules of disclosure as are STC officials. Under these agreements STC must, when collecting the information, advise the respondents of the agencies with which this agreement has been reached; and,

b. Any Department or municipal or other corporation for the exchange of jointly collected information. The respondent must be informed that the information is being jointly collected and the agreement does not apply in respect of any respondent who gives written notice to STC that she/he objects to the sharing of the information.

Individuals can be sworn in under the STC Act, providing them with the same access as STC employees to the data. The individual is subject to the same rules on the use and disclosure of the information as are employees of STC.

(v) Monographs, Articles, etc.

These are prepared on special topics and often, on request by organizations who are, for instance, sponsoring a conference.

1.2 Assessment of Program Products

The CSP products should be designed to respond to the key features of its users which are pertinent to their uses of statistics. We consider that the following features of the CSP users are those which should be acknowledged in the selection of products for the program.

(i) DOC as Principle Client

The DOC Arts and Culture branch is the principle client of the CSP. It is essential therefore, that the DOC needs be met by the program. At present the DOC does not receive a custom set of products for its use, with the exception of special requests made by individual DOC officers.

ii) Heterogeneity of CSP Users

As we noted in Phase One, CSP users are heterogenous with respect to their uses of data as well as their skills and resources to conduct statistical analysis. The variety in the user population requires that the CSP respond with a variety of products. Results of phase one did not lead to a clear concensus on a total package of CSP products which could meet the needs of this varied clientele. Senior and other officials of DOC suggested that the clean file be treated as the major CSP product in order to meet specific needs of individual users.

iii) Timeliness of Data Dissemination

A major concern of all users, especially the DOC, is that the publications of the CSP are not very up-to-date. Many users measure timeliness in terms of the issuance of publications, not realizing that in fact, data were frequently available long before the release of the official publication. For example, the publication for the Book Publishing A Survey of 1979 is not yet out. However the data were available long before the writing of this report, (Dec. 1981). Some users are unaware that access to the data is possible, usually far in advance of the publication release date.

Another important factor to be considered regarding CSP Products is the STC strategic thrust towards the use of new technologies for data dissemination. This is acknowledged in the recommendations on Products and Services.

1.3 Marketing of the CSP

It was found in Phase One that many users were unaware of the variety of ways in which they could access CSP data. Others interviewed were not aware of the CSP at all. Requests were made by many individuals surveyed for more information on how the program could serve them. Requests were made for information both on the data collected and the means of accessing the data.

An important consideration by the J.C.C. and CSP staff would be the use it could make of the new STC efforts towards marketing. This is noted in the recommendations report.

2. CSP Services

The J.C.C. directed the project team at the end of phase one, to consider, if resources permitted, three services for the program:

i. Analysis

ii. User-education

iii. Coordination/clearinghouse role

The user-education services and coordination/clearinghouse role were relatively low priorities for the J.C.C.

2.1 Analysis

The assessment of analysis is dealt with in the efficiency evaluation and in the assessment of the roles and relationships of DOC and STC for the program (Sections V and VII, respectively). We note however, that there should be attention payed to coordinating the analysis conducted by DOC and CSP officers.

2.2 User-Education

CSP officials provide user-education services by assisting individuals to define their data needs for special requests and in the consultation process. In our view user-education is important to assisting users in defining their data needs and on how they can use the CSP, in particular, the special requests.

2.3 Coordination/Clearinghouse

Such a service would be useful to the Arts and Culture community. Of particular interest would be a clearing house to record and distribute to interested parties, information on Arts and Culture in Canada. However, other issues concerning the CSP are much more important than developing such a service.

VII ASSESSMENT OF THE CSP AS A JOINTLY-SPONSORED PROGRAM

1.0 Introduction and Purpose

The purpose of this section is to assess the CSP as a jointly-sponsored program, and to develop and assess alternatives to the current arrangements between DOC and STC. This section consists of four main parts. Recommendations for changes are contained in a separate report. The main parts of this part are:

2. - which describes the existing vehicles for the conduct of the CSP as a jointly sponsored program;

3. - which presents the views of DOC and STC officials on the use of these vehicles;

4. - which contains an assessment by this study team of the major factors which have contributed to problems with the CSP functioning as a joint-program; and,

5. - which presents and assesses sets of alternatives to the existing arrangements between STC and DOC for Cultural Statistics.

It will be seen in the following parts that a number of difficulties have been experienced with the CSP as a joint program. These comments should be put in the proper context. In the past five years a program of Cultural Statistics which is used widely across the country has been developed. The program corresponds closely to the initial plan set for it in the original 1976 agreement between DOC and STC.

1.1 Approach and Method

Joint programs are more difficult to run than those for which only one department is reponsible. The agreement signed in 1976 between the two Departments established two distinct formal vehicles for dealing with this situation. In this assessment we examined how effectively these vehicles have been used in conducting the CSP as a joint program. The information was gathered through the following:

i. Formal responses by the managers from STC and DOC who are responsible for the program (i.e. Director, DOC Arts and Culture, Research and Statistics; and the manager of the CSP in STC) to a set of questions on joint management and operations of the CSP;

ii. Discussions with the respective ADM's from DOC and STC;

iii. A series of ongoing and informal discussions with the officers, managers and senior management officials from both Departments over our two year association with this program; and,

iv. Ongoing discussions between members of this study team.

2.0 Existing Vehicles for Implementation of the CSP as a Jointly Sponsored Program

The formal 1976 agreement between Statistics Canada and the Secretary of State (Arts and Culture Branch), (now DOC) identified three vehicles for the joint development, implementation, and participation in the CSP. These were:

a. The Joint Committee (referred to as the J.C.C.);

b. The Project teams; and,

c. The Consultation steps, (not discussed seperately as it is part of the total survey process).

These are the formal means through which the DOC, in particular, can affect decisions on the Cultural Statistics Program.

The following describes the responsibilities of the Joint Committee and the Project Teams. The third vehicle referred to in the 1976 agreement, consultation, is not described separately because it is an integral part of the total survey process. Exhibit Four then summarizes the views of SOC and STC program and senior management officials on the strengths and weaknesses, in practice, of the J.C.C. and the project teams.

2.1 The Joint Committee

The responsibilities of the Joint Committee were to be:

i. to direct the implementation of the CSP and monitor its progress and development;

ii. to prepare an annual report to the Chief Statistician and the (then) Under Secretary of State (now DOC) on the development of the program;

iii. to review annually and amend as necessary the five year plan (Annex A of Agreement) for the CSP in advance of Statistics Canada's timetable for program forecast preparation;

iv. to review program forecasts and other budgetary submissions related to the program in draft form and to support these submissions as required before Statistics Canada and Treasury Board officials;

v. to establish project teams and any other committees deemed necessary;

vi. to review the progress of the various project teams and to revise and/or decide upon matters referred to them by the project teams;

vii. to consider any other matters deemed relevant to the successful development and administration of the program and to engage outside expertise or advise if required; and,

viii. to submit its recommendations for approval to the (then) Secretary of State and the Chief Statistician.

Membership in the Joint Committee was to consist of representatives from both STC and the Arts and Culture Branch of the (then) Secretary of State. Specifically, membership in the J.C.C. to consist of:

From Statistics Canada

- Director General, Institutions Branch.
- Director, Education, Science and Culture Division.
- Assistant Director, Culture Sub-division (i.e. program manager).
- any other person whom the Chief Statistician might appoint.

From the (then) Secretary of State

- Director General, Policy Development, Arts and Culture Program.
- Director Research and Statistics, Arts and Culture Program.
- Director Program Coodination and analysis of Arts and Culture Program.
- Any other person whom the Under Secretary might appoint.

Over time, the senior level involvement in the J.C.C. has been assumed by the respective ADM's of both Departments and not by Directors General as a result of staffing issues in their respective Departments.

2.2 The Project Teams

The second vehicle for joint participation in the Cultural Statistics Program was to be the joint working level groups which function at the project level. The responsibilities of the project teams were to be:

i. to determine in detail or revise for the approval of the Joint Committee, the objectives of each survey assigned to the project team;

ii. to specify the data to be collected and the methodology to be used in order to achieve these objectives;

iii. to establish the population to be surveyed and, if needed, the sample to be drawn or to re-examine the population or sample;

iv. to agree upon such as technical aspects as questionnaire design, the best means of storing and disseminating the data, to specify methodological analysis to be undertaken and to determine what descriptive and statistical analysis should be done and tables produced for the purpose of publication;

v. to consult with users and respondents

vi. to bring to the attention of the Joint Commitee any problems which the project team deems necessary or where the team is unable to reach agreement

vii. to report to the Joint Committee on a regular basis to be specified by the Committee.

viii. to undertake whatever additional action the project team or Joint Committee deem necessary for the successful implementation of the program.

3.0 Views of DOC and STC officials on the Performance of the J.C.C. and the Project Teams

Exhibit 4 presents the views of DOC and STC program and management on the use of the J.C.C. and the joint project teams for conducting the Program. Specific points are discussed in greater detail below.

3.1 Performance of The Joint Coordinating Committee (J.C.C.)

The J.C.C. is the formal and highest level body for ensuring that the CSP is conducted to the satisfaction of both the STC and the DOC.

Participation in the J.C.C. by senior officials, especially of DOC, has been sporadic, and in the views of members, inadequate to make informed decisions on the program. Difficulties have been experienced in scheduling meetings due to pressures on the time of senior officials. In part, this is due to the evolution in membership up to the ADM level.

Officials of both Departments consider that the J.C.C. should be the final authority for making decisions on the program, such as: budget and resource allocation, performance monitoring, planning and priority-setting. As well, the program managers of both Departments consider that the J.C.C. should be the forum through which concerns of both Departments are raised and addressed. To-date it has not been used for this purpose and has not performed as planned.

Examples of the poor performance and use of the J.C.C. are:

i. Lack of formal project reporting to the J.C.C. by the project teams.

ii. Infrequent meetings.

iii. Not used by DOC and CSP program management to voice their concerns about the program.

iv. J.C.C. has not yet reviewed the 5 year plan for the program.

v. Severe difficulties have been experienced in scheduling meetings. This has resulted in inadequate direction to the program managers, from DOC and the CSP when required.

Recommendations for change expressed by the two program managers are:

i. Hold more frequent meetings.

ii. Detailed material be provided to J.C.C. members in order to make informed judgements on the program such as reports on resources consumed, performance in survey development, and progress on surveys.

iii. Specify even more clearly, the J.C.C. responsibilities and the actions to be taken by it within defined time limits

iv. Assign the position of Secretary of the J.C.C. to someone other than Program Manager.

v. Members should be both of sufficiently high level to provide clout for the program in each Department, and seriously interested and committed to the cultural area.

3.2 Performance of the Project Teams

The project team is the vehicle for actually conducting the CSP as a joint program at the level of the survey.

The role of the DOC officers, at the project level is two-fold. One role is to participate actively as team members. The second role is that of client in which the primary responsibility of DOC officers is to define their specific data requirements.

Highlights of the views of STC and DOC officials on the project team as a method for jointly conducting the program are listed below.

i. No significant problems were identified by DOC and STC officials with respect to their joint roles in consulting with other users, and establishing the project objectives, sample or population. However representatives from both Departments consider that the joint involvement in later steps of the projects has not been consistent and has often lacked DOC involvement.

ii. Difficulties have been experienced by CSP officials when revising a survey in acquiring from DOC, as principal client, specific formal statements on data needs.

iii. DOC officials have expressed, throughout this study, a desire to have much greater input into decisions on the final outputs and not just the front-end steps of the projects. Of particular concern to them is their direct involvement in the development of the edit specifications.

iv. Both DOC and STC officials agreed that the required formal progress reporting to the J.C.C. by the project teams has not occurred except in the very early stages of the program. The program manager from DOC does not recall being informed or consulted on the decision to stop this practice.

v. Officials of both DOC and STC were concerned about the lack of clean definitions of their respective roles in analyzing the CSP data. It is our view that this is primarily an indication of the fact that frank discussions and agreement between the program managers on their roles and expectations have not occurred.

On the following page we present the views of DOC and STC officials on how the roles in the projects should be distributed between them. (Exhibit 5.)

In our view, the joint project teams have not been implemented in a consistent or formal way. We identify three major issues concerning joint participation in the program through the project teams:

i. Program and Senior Management officials of both Departments agree that there should be much greater efforts for involvement of both Departments in the project teams. Any differences of opinions would lie in the views on the method for DOC involvement, i.e. through consultation or through direct and active participation in particular steps (See Exhibit 5.)

ii. Both DOC and STC officials agree that there should be a more formal approach taken to the project teams.

iii. Open discussion and agreement on the specific project roles of each Department is required. This agreement must be implemented at the project level by officers from each Department.

EXHIBIT 5

DOC AND STC VIEWS ON THE DISTRIBUTION OF RESPONSIBILITIES FOR PROJECTS

ROLE RESPONSIBILITY	DOC VIEWS	STC VIEWS
DOC only	. policy analysis	. statistical analysis for DOC policy - related activities
STC only	. mail out and follow-up data capture, publications (although publication could be joint) . status reports should be provided to DOC on all of these aspects . dissemination, publication	. all operational steps to specification of editing of programme including imputation, decision tables, relationship between var programme and testing of program but allowing for extensive consultation with DOC on all of these operational steps (eg. mechanical edit rules, specs for manuscripts) . consultation with users and assisting users to define needs and special requests . consultation with respondents
TC/DOC ointly or shared	. survey design, questionnaire design, edit specs . statistical analysis jointly or shared but with agreement between DOC & STC . agreement on publication content (more input) . more DOC input on outputs and consultation (not follow-up) with respondents	. necessary preparation for development or modification of survey instrument . consultation on population and methodology for operations when both Departments consider this necessary . all other responsibilities as specified in original agreement (see section on project teams).

3.3 Other Issues and Concerns Regarding DOC and STC Roles in the overall Direction and Management Responsibilities for CSP

During the course of this investigation we requested DOC and STC officials to identify other areas of significant concern to them regarding management responsibilities for the program.

One particular issue which was raised has the staffing of CSP positions. At a seminar for members of the J.C.C., held in August 1981 this issue was discussed and it was agreed between members of both Departments that they would both be involved in important Staffing actions.

Currently an example exists in which this agreement is being tested. Efforts are being made to staff an ES-4 position. It is reported that CSP officials have requested that the DOC appoint an official to be on the selection committee for this position. Apparently this official has been appointed but progress on the matter has been very slow. DOC reports that this is due to the heavy workload of the official appointed.

The issue of staffing is particularly critical to the CSP right now due to a number of changes which are anticipated over the next 6-18 months. Changes which will likely occur are:

i. The chief of the operations section is scheduled for retirement early in 1982;

ii. The tenure of the current program manager is uncertain. His anticipated retirement date is early in 1982

iii. The Director of the Education Science and Cultural Division has been seconded to work full-time on the development of the recently proposed new Marketing and Information Services Branch.

It can be expected that the level of continuity in the CSP will be seriously reduced planning for if staff changes are not undertaken immediately.

4.0 Assessment of the CSP as a Joint Program

In our view the Cultural Statistics Program has not functioned as a joint program. The J.C.C. has not functioned as intended; neither have joint project teams been utilized consistently. Serious deterioration in working relationships between individual officers of the two Departments have been allowed to develop, unchecked.

Six key factors have led to this situation:

i. The lack of formal, detailed and timely specification, by DOC of its data requirements. We refer here to both outputs to be provided on a regular basis as soon as a clean file is ready, and to the DOC revisions to individual projects;

ii. Program managers from both Departments and the J.C.C. did not ensure that formal joint project teams were created and worked as initially intended;

iii. No precise working agreement has been reached on the expectations and role of DOC for the management of the CSP;

iv. All of the above factors have led to an unacceptable degree of animosity to develop between some individual program officers of DOC and CSP;

v. An important factor, in our view, which has contributed this situation is that the two managers responsible for the CSP (i.e. from DOC and STC), have not been consistently forthright or aggressive in conveying and addressing their respective problems with the program; and

vi. The J.C.C. has not provided the leadership and direction required to conduct the CSP as a joint program. This is, in part, due to the evolution of its membership to the ADM level.

5.0 Alternatives to the Existing Arrangement Between DOC and STC

As part of this study we were requested to develop and assess options for both Departments with respect to their future activities in Cultural Statistics. Two broad sets of options were developed by the team and assessed against their ability to deal with the factors identified in Part 4. The options consisted of:

a. those based upon the decision by senior management of DOC and STC to continue with a joint program; and

b. those based upon the decision of senior management of the two Departments to discontinue their joint activities in the field of cultural statistics.

Two decisions for the J.C.C. would affect the option selected. They were:

i. Should the DOC and STC continue or discontinue their joint activities in cultural statistics?

ii. Which specific option should be selected on the basis of the above decision?

Decision #1 Continue or discontinue joint activities in Cultural Statistics?

The decision to continue joint activities in cultural statistics should be based upon the beliefs by senior officials of both

Departments that:

i. Both Departments are committed to the continuing development of an historical data base on culture; and,

ii. The problems identified in Part 4 are not insurmountable and mutually satisfying working relationships could be developed between DOC and STC. As well, process-related issues identified in Section V could be dealt with.

The decision to discontinue joint activities in cultural statistics should be based upon the beliefs by senior officials of the two Departments that:

i. Working relationships between DOC and STC officials cannot be improved; and,

ii. For the DOC, that the levels of effectiveness and efficiency of the CSP could not justify continued expenditures by their Department in the program.

The benefits of deciding to continue to work together are that there would be no disruption to the continuity of the data base and that the potentially high costs of change would not be incurred. The risk involved is that there is no guarantee that problems between the two Departments will be resolved.

The decision to discontinue joint activities would cause disruption to the continuity of the data base and could result in its loss for other users. The major benefit would be that DOC could use its resources currently allocated to the program to conduct studies for its specific policy concerns.

The ADM of the DOC Arts and Culture Branch and the ACS of Institutions and Agriculture in STC have assessed the decision on continuing or discontinuing joint activities in cultural statistics. They have both stated firmly that they are committed to the continuing development of an historical data base on culture. They agreed that the continuation of a joint program was the best way of providing this data base. Both are committed to making the CSP work as a joint program.

Due to this decision by the two ADM's to continue with a joint program, the actual options presented below are those which would support this decision. Options which were developed if the two Departments decided to discontinue their joint efforts are presented in Annex G.

The actual options for implementing the decision to continue with joint activities are:

1. Modify the Existing Arrangement beteen STC and DOC by addressing major problem areas but do not institute major organizational changes;

2. Create a Cultural Statistics Satellite;

3. Establish a DOC User-Pay Arrangement; and,

4. Establish together a Joint Program outside of Statistics Canada.

5.1 Modify the Existing Arrangement Between the DOC and the STC

The following is the set of major characteristics of this option:

a. The program would continue to be located in STC;

b. The membership and role of the J.C.C. would be redefined to include the respective ADM's from each Department and would be responsible for setting priorities and strategies for the CSP;

c. An executive committee of the JCC would be created to assume an active role in the direction of the program;

d. Priority would be given to developing a product line tailor-made for DOC;

e. DOC would remain as principle but not sole client of the CSP. Both Departments would agree that consultations with users other than DOC would continue to be conducted. Through project teams the limits of this consultation could be specified;

f. A much more business-like approach would be taken to the DOC/STC relationship;

g. Both Departments would make a real commitment to the formation of active interdepartmental project teams whose responsibilities would be agreed to between the two Departments;

h. Modification would be made to program operations including those related to efficiency;

i. The project team operations would be monitored carefully to ensure that both Departments are living up to their responsibilities and to identify, immediately, problems arising so that quick action can be taken to resolve them. An officer from each Department would be appointed for each survey as the individual who could be called upon at any time by program management or the JCC executive committee to report on project status.

The cost of this option is that it involves a certain amount of risk. If a mutually satisfying and business-like relationship is not developed, then time will have been lost in resolving problems. The benefit in pursuing this option is that it would not incur the substantial costs associated with instituting organizational changes.

5.2 Create a Cultural Statistics Satellite

There are two possibilities here: having a satellite in DOC or having one in STC. A satellite located in STC would essentially be the same as the previous option. A satellite located in DOC, however, would see the co-location of officers of both Departments.

In the satellite option the program remains one for which STC is ultimately accountable and common services of STC are still available to it. The program, therefore, would also be subject to regulations of the STC and its Act. The permutations and combinations of satellite options are numerous (see Annex H) and thus, so are the arrangements that could be made with respect to the meeting of client needs, formal user advisory inputs, resourcing, physical space, computer facilities, publications.

The view of the DOC and others involved in satellite with STC is that they can lead to improved working relationships in which the statistical group becomes more familiar with the subject matter area and the statistical needs of the client; and, the client group increases its understanding of the statistical process. However, this option, on its own would not address the problems identified in Section 4 and would incur costs of disruption and necessary re-organization.

5.3 Establish DOC User-Pay Arrangement with Statistics Canada

In this option the DOC would have a contract relationship with STC in which DOC would specify a set of specific data and tabulations to be provided by STC each year. The benefits of this option are that DOC would be required to specify, formally their data needs within certain time limits, and that DOC could ascertain the specific costs of meeting their own needs. However, the program of statistics, itself, would be subject to fluctuations caused by changing requirements and policy priorities of DOC. This could lead to serious fluctuations in the operation of the CSP, causing disruption in the continuity of the data base for the many other users and uncertainty in the future of the program.

5.4 Establish Together a Cultural Statistics Program Outside of STC

This arrangement would be aimed at resolving any limitations to the CSP caused by its being a program of Statistics Canada. In this option the DOC and STC would transfer their funds currently allocated for cultural statistics to a separate non-STC program. In our view this option would not address existing problems between the two Departments. As well, it would incur high costs in money and time required to develop a data base as new arrangements were struck. Finally, we believe that the problems, identified would be carried over into a new program.

VIII A REVISED MODEL OF THE CSP

As part of this study we were requested to prepare a revised model of the CSP. A program model is a statement of the goals/objectives/activities hierarchy for a program, along with a description of the causal linkages between the elements of this hierarchy and the context within which the program is operating (i.e. those aspects of the environment of concern to the program).

A model of the CSP was prepared during the evaluation assessment conducted on the program in 1979. We now present a revised model of the program based upon results of phases one and two of this study and the first five years of experience of the program. The purpose in preparing this model is two-fold:

i. to provide a reference point for senior CSP management in considering strategic issues on the program which may arise over the next few years; and

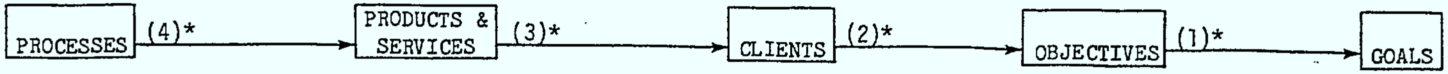
ii. to facilitate future evaluation of the CSP.

This revised model highlights the major changes recommended to the CSP by this study team.

Five major elements of the program were described in the program model contained in the evaluation assessment report: processes, products, clients, objectives and goals. The goals for the program refer to the expected effects of the program on the context within which it operates. While the details of the program's context have changed somewhat since 1979 (see Phase One report on environment of the CSP), the intended effects and the underlying hypothesis linking the goals and objectives of the CSP remain the same. They are portrayed in the revised model.

The two key features of the earlier program model were the "client" and the "objectives" and it was pointed out in the evaluation assesment that both had been defined only very generally. The work of phase one of this study led to a more specific definition of clients and objectives by identifying clearly both users and uses of data that were to be the targets of the CSP. These are presented in the following revised model.

EXHIBIT 6 : REVISED MODEL OF THE CULTURAL STATISTICS PROGRAM



- revised J.C.C. with executive sub-committee
- formal joint project teams on all surveys
- project management approach within STC
- project reviews on completion of clean file
- use of new technologies for information collection.

PRODUCTS(in decreasing priority)

1. Clean data file
2. DOC pre-determined tabulations
3. Pre-determined tabulations for other major clients
4. Special requests
5. Special arrangements for access to data tapes
6. Service Bulletin
7. Capitalize on STC thrust towards the use of new technologies, e.g. Telidon Field Trials
8. Articles, Monographs, etc.

ON (i.e. data):

- Appendix A, DOC/STC agreement, 1976
- Phase one report on scope and perspective of surveys

SERVICES

- coordinated analysis between DOC and STC
- User-education

MARKETING

- priority use of any resource savings achieved
- use of seminars, etc.
- capitalize on STC marketing thrust.

- principle clients: DOC Arts & Culture
- other major clients: Federal and Provincial Departments and Agencies; Arts & Culture Service Organizations
- other users, e.g. public-at-large, researchers, industry reps, etc.

- to meet specific data and info. needs of clients
- emphasis on policy, research, lobbying, uses vs. uses for day-to-day operational activities (See Phase 1 Report)

(1) to contribute to an orderly development of culture-related policies
(2) to contribute to a more rational allocation of resources in the cultural field

ASSUMED CAUSAL LINKAGES *

1. Meeting of the data needs of particular clients for the following uses will:
   i) contribute to the orderly development of cultural policies; and,
   ii) contribute to a more rational allocation of resources in the culture field.

2. The selection of the following groups as the principle and major clients of the CSP will most likely lead to the achievement of the program goals; and to meeting the data needs of other users.

3. These products and services will most effectively repond to the needs of the CSP clients by responding to the salient features of this group, i.e. the DOC as the principle client; the heterogeneity of the user population; and, the concern of most users for the timeliness of the published data.

[redacted] 4[redacted]e co[redacted] of [redacted]SP [redacted]gh t[redacted]proc[redacted]s wi[redacted]ad t[redacted]e ef[redacted]ve c[redacted]t [redacted] [redacted] [redacted] [redacted] [redacted] [redacted] [redacted] [redacted]
of the CSP as a jointly-sponsored program and the most efficient use of resources

EXHIBIT 4 cont'd

VEHICLES FOR IMPLEMENTATION OF JOINTLY SPONSORED PROGRAM	DOC VIEWS ON			STC VIEWS ON		
	PERFORMANCE-TO-DATE	CHANGES/PREFERREO ROLES	COMMENTS	PERFORMANCE-TO-DATE	CHANGES/PREFERRED RATES	OTHER COMMENTS
2. JOINT PROJECT TEAMS (to achieve participation of DOC in carrying out cultural statistics activity by implementing CSP in a coordinated fashion at the survey level by:		Overall distribution of Major Project Roles. . survey design: jointly . questionnaire design: jointly . edit specs: jointly . status reports and consultation on mailout, following problems, verification, clean file cut-of-dates . statistical analysis jointly or shared but with agreement between DOC and STC on content . agreement on publication content but dissemination, publication, etc, STC only . policy analysis, DOC only	In general the project team terms of reference should be obliged to consult with each other on operations activities, e.g. should be consultation and status reports to DOC team members on mailout, follow-up, verification, cut-off dates problems with follow-up should be identified etc.		Overall Distribution of Roles DOC only: - analyze statistics for their own policy-related activities Joint DOC/STC: - conduct necessary preparation for development or modification of survey instrument - consult on population to be surveyed and methodology of operations when both Depts deem it necessary - conduct all responsibilities as specified in original agreement	Statistical publications prepared by one or other of the STC or DOC should be submitted to the other in profit but should not be obligatory.
i) determining in detail or revising objectives for survey	functional quite well			no problems here		
ii) specify data to be collected and methodology	functioned quite well, no major problems			no problems here		
iii) establish population on sample	functioning quite well			performance adequate		
iv) agreeing on technical aspects like survey design, storage of primary data, method of analysis, statistical analysis to be done and tables in publications	. little input on method of dissemination, no detailed discussions between DOC and STC . very little efforts to get DOC involved . in certain cases however recently this has improved (e.g. recording survey) but after the draft is considered confidential and not made available to DOC	. should be detailed discussion due to DOC's desire to influence output to both itself and other users . want more input on contents of publications		not entirely for specific projects performed adequatly in general	STC only: all operational steps up to #11 (edit specifications) but allowing for extensive consultation with DOC on any of these steps (e.g. mechanical edit rules, specifications for manuscripts) - consultation with users in assisting them to define their data needs and special requests - consultation with respondents on abilities to respond and on follow-up	
v) Consultation with users and respondents	. depends on context, would prefer more involvement with respondent consultation but not on follow-up	. more involvement with respondent consultation to determine ability to respond and to provide assistance but not on follow-up activities after responses received.				
vi) bring attention to JCC problems deemed necessary by team or on issues where team cannot reach agreement	. this occurred earlier on in program but has not in recent years			Did not occur but not sure if this is due to lack of problems or lack of reporting	Other Comments - review terms of reference for project teams (as per 1976 agreement) - revision should include DOC specification of data needs and expected outputs - regular meetings of project teams should be held with formal minutes recorded and a schedule of meetings established - in general, project meetings did not take place after projects were launched - project team meetings have been irregular in some cases and frequent in other (i.e. no standard) most frequently occured of consultation/design stage but usually no formal meetings. These should be made obligatory. - questionnaire should be submitted to team before final decisions. - edit specifications should be approved by the team. - problems with follow-up should be brought to attention of team.	
vii) to report to Joint Committee on a regular basis to be specified by JCC	. has not occurred, worked for about 6 months, then discontinued	. this should be obligatory . in general should be clearly defined joint working team at project level and extensive DOC participation.	. possibly more consultation and coordination on analysis . possible need for liason person at DOC responsible for dealing solely with CSP	Did not occur but with no great impacts on program		
viii) To undertake whatever additional action that the project team or JCC deem necessary for the successful implementation of a project				In general: often project team did not meet after project was launched.		

EXHIBIT 4

VEHICLES FOR JOINT SPONSORSHIP IMPLEMENTATION	DOC VIEWS ON			STC VIEWS ON		
	PERFORMANCE-TO-DATE	PREFERRED ROLES/CHANGES	OTHER COMMENTS ON MGT AND OVERALL DIRECTION	PERFORMANCE-TO-DATE	PREFERRED ROLES/CHANGES	OTHER COMMENTS ON MGT AND OVERALL DIRECTION
1. Joint Coordinating Committee (to be one vehicle for active participation of DOC in development and implementation of CSP)						
Responsible (1976 Agreement)						
. directing implementation of CSP and monitoring CSC development and programs	JCC has lacked detailed information on resource allocation and expenditures by project to make informed judgements and decisions	. priority setting should be a major responsibility of JCC but . DOC should have prime voice in determining topics to be surveyed and level of priority to be allocated to individual surveys (as co-funder and principal client)	. DOC and STC should jointly establish priorities and overall direction but DOC should have prime voice in determining topics to be surveyed and priorities between surveys then to JCC for decision, STC to provide input in resource constraints	JCC not taken seriously by members resulting in postponed meetings at which important issues (e.g. budget) were to be discussed	. DOC & STC to jointly prepare priorities for CSP then to JCC for changes and approval . topics to be surveyed (if not specified in plan) should be determined by DOC & STC with consultation from others	. JCC should be and act as board of directors
. preparing annual reports to chief statistician and under-secretary of state				5 year mid-term plan has not been reviewed	. need for new mid-term plan (3-5 years)	. Problem between definition of cultural industries and institutions between DOC and STC e.g. Performing Arts called industry at STC but not at DOC
. review annual program forecasts and other budget submissions	. need for annual meeting devoted to planning and resource allocation in time to influence government planning/budgeting cycle		. consider advisory board of key agency and provincial representatives	Proposed budget not presented at JCC primarily due to delays in JCC meetings		
. establishing project teams and other committees as necessary			. Director of CSP to report to JCC and not to assume other non-CSP responsibilities	CSP did not pursue why DOC had not used on an annual basis the agreed upon $180,000 for the survey of cultural activities	. allocation of resources by project and year should be prepared by officers of DOC and STC and submitted to ICC for review and final approval	
. reviewing progress of project teams and deciding upon matters referred by project teams	. lack of formal progress reporting system	. need reports in previous years resource utilization by project and activity and resource estimates for new proposals	. Director to report directly to JCC on planning priorities budgetting and progress and to STC in administrative and operational matters		. exact responsibilities of JCC should be specified including decisions to be made and time frames for action	
. considering other matters deemed relevant to implementation and development for CSP	. DOC and STC officials have not raised key issues at JCC	. need provision of regular reports on progress by project and activity for JCC to make informed decisions and to monitor progress against plans	. Program managers not to be secretary	DOC and STC did not present important issues of concern to them e.g. DOC not specifying data needs, other concerns of DOC	. two seniors (preferably ADM) should be on JCC to provide necessary senior support to each Dept. Members must be interested	
. to meet every three months or as necessary	. too infrequent meetings . too much of a "social club" atmosphere at JCC	. more frequent meetings . ADM level too high to provide required consistent input		Irregular meetings with poor attendance resulting in lack of direction/monitoring of Manager's decisions, could not wait to make important decisions until a meeting was rescheduled	. at least one member from outside each Department	Program manager not to be secretary

ANNEXES

ANNEX A

TASK B3 WORK PLAN

ASSESSMENT OF PROGRAM PROCESSES

Work Plan for Task B.3
# of Phase II of the Evaluation
# of the Cultural Statistics Program

Task B.3.1: Development of Process Detail Steps

B.3.1.1 - Develop Terms of Reference and chart outlines for CSP staff to detail the current process steps for Book Publishing and the Performing Arts - Theatre Companies projects to capture for each step:

- time frames estimated initially
- time frames actual
- intended products
- actual products
- estimated resources required CSP
- actual resources utilized CSP
- estimated resources required DOC
- actual resources utilized DOO
- outside involvement anticipated
  # of organizations
  criteria for use of organizations
- actual involvement achieved
  # of organizations .5 day
  of criteria used

Task B.3.1.2: Development of Efficiency Criteria

- Draft criteria for measurement of efficiency of process steps for Book Publishing and Theatre Companies of process steps for projects.

- Discuss criteria with staff of CSP/DOC

- Revise criteria for use in B.3.3 and B.3.4 1 day

B.3.1.3 - Work with CSP Staff in developing process charts for Book Publishing and Theatre Companies by:

5 days
SP Staff

- providing advice/clarification
- editing work produced
- general assistance 3 days

B.3.1.4 - Analysis/Verification of Draft Process Charts by:

- file verification of data by sample checks.
- discussion of charts with CSP/DOC officers.
- review of previous projects' surveys to determine:
  - estimated/actual times and costs
  - changes from former to current surveys
  - listing of issues for B.3.2 and B.3.3 examination 2 days

Task B.3.2: Examination of On-Going Process Activities

B.3.2.1 - Observe on-going process activities in Book Publishing and Theatre Companies projects against process charting and efficiency criteria

ays
SP Staff

B.3.2.2 - Analyze findings on on-going process activities

B.3.2.3 - Discuss findings with CSP/DOC staff 6 days

Task B.3.3: File/Discussion Examination of Completed Process Activities

B.3.3.1 - Conduct file research on completed process activities for other selected projects.
(NOTE - It may be necessary to conduct examinations of other projects for process steps if selected projects are incomplete)

ays
P Staff

B.3.3.2 - Analyze findings on completed process activities.

B.3.3.3 - Discuss findings with CSP/DOC staff 5 days

Task B.3.4: Develop Efficiency Performance Assessment

B.3.4.1 - Synthesize findings from B.3.2 and B.3.3.

B.3.4.2 - Relate findings to existing process models.

B.3.4.3 - Develop recommendations for improvements to existing process steps

B.3.4.4 - Prepare draft efficiency assessment report

B.3.4.5 - Discuss draft report with CSP/DOC staff 2 days

Task B.3.5: Develop Input on Processes for Task Area D - Revised Program Model, Based on B.3 Findings

- Process changes within the Program Model;
- Methods for periodic program and project reviews .5 day

ANNEX B

PERFORMANCE CRITERIA

ASSESSMENT OF PROGRAM PROCESSES

13:008
14 Sept 81

Phase II - Work Plan
CSP Evaluation

PERFORMANCE CRITERIA

- Estimated Resources v.s. Actual Resources Expended*
- Estimated Time Schedules v.s. Actual Time Frames Achieved
- Estimated Outside Production Costs v.s. Actual Outside Costs
- Estimated Computer Availability v.s. Actual Computer Availability
- STC Data Quality Requirements v.s. Actual Data Quality Achieved
- CSP Time Frames/Resources v.s. Comparable STC programs
- First Run Survey Costs/Timing/ v.s. Second/Subsequent Survey Costs/Timing
- Targetted Level of Response v.s. Actual Response Level
- Estimated DOC participation v.s. Actual DOC participation
- Estimated CSP participation v.s. Actual CSP participation
- Estimated Consultation Target Population v.s. Actual Consultation Population
- Planned Format Content v.s. Actual Format Content
    - Bulletin
    - Publications

In addition or complementary to the formal efficiency criteria, the process study of the two selected projects will include consideration of Task area B1.1 concerns, namely:

" - intended uses
- target market
- level of disaggregation provided as available
- format
- data quality reporting
- status of data (preliminary or not)
- resources consumed in production
- other associated production costs
- dates for accessing data
- time required to produce
- processes involved in production from survey design
- effects of current and planned STC policies and procedures on above."

ANNEX C

INTERVIEW GUIDE

ASSESSMENT OF PROGRAM PROCESSES

13:008

13 Oct. 81

CULTURAL STATICTICS PROGRAM
PROJECTS PROCESS SURVEY

1) Pre-Consultative

- Did JCC provide decisions on this survey
- Based on what information
- Were resources available discussed
- Were priorities between surveys discussed
- What were the reasons given for decision
    - primary
    - secondary

2) Pre-Consultative - Objectives/Needs Stage (DOC/StatsC)

- To what extent were both involved
- How were objectives set
- Were resources available discussed
- What preparation work was done
    - by Stats Can
    - by DOC
- were other parties involved at this stage
- What special problems were encountered
- How were they resolved
- Were criteria/parameters established
- Is there documentation of meetings
- What time was involved (estimates)
    - by Stats Can
    - by DOC

3) Consultation Stage

- Were both DOC and Stats Can involved
- Was any thord party involved on team
- To what extent for each
- What time periods were involved
- What resource utilization was involved
- Did objectives/criteria/parameters change
- What significant results were achieved
- what specific problems were encountered

- How were they resolved
- Were other than direct target groups involved (e.g. accountants, professionals)
- What level of cooperation/resistance was encountered
- Did consultation affect planned schedules or use of resources
- How many rounds of consultation were involved
- What preparation work was undertaken
- Was is adequate to meet needs

4) Survey Development Stage

(a) Preliminary

- How was initial mailing list
    - obtained
    - modified
    - finalized
- Were there written/recorded guidelines

Mailing List

- How was adequacy of mailing lists determined
- Who decided
- Were both DOC/STC involved
- Any other participants
- How was the survey sample decided

Survey Sample

- Who participated
- Who decided
- How were broad subject areas developed
- Who was involved

Questionnaire

- Who approved concept
- How were specific questions developed
- Was a previous or other instrument used as a model

(b) Verification

- How were questions reviewed
- What contribution did consultation make
- Who approved final draft - was DOC involved
- What problems were identified
- How were they resolved
- Did final draft encompass all STC/DOC concerns

(c) Final Development

- Who had responsibility for computer systems design
- Was other help obtained, if so from whom
- Were formal instructions/criteria developed as guide
- Was any previous or other systems design used as guide
- What problems were encountered
- How were they resolved
- Was a main frame/mini decision made
    - by whom
    - on what basis
- Is edit methodology standard in all surveys -- if not, what was unique
- Who has responsibility to develop it
- Were any problems encountered
- How were they resolced
- Who approved final methodology
- How did it work when used
- How were output tables decided - by whom
- Did they relate to survey detail
- Were any problems encountered
- How were they resolved
- Were supplementary tables needed after first run of data
- Why?

5) Data Collection Phase

- Were interval resources used in design - why
- Did Planning have a priority for survey instrument
    - was it honoured
    - was the time frame acceptable
- Did the instrument need translation
    - was priority given
    - was it honoured
    - was time frame acceptable

- Who cleared final instrument
- Were any subsequent errors found - how were they handled
- Did the printing get completed as agreed - if not, why not
- Did all mailing list respondents receive copies - if not, why not

6) File Creation/Data Preparation Phase

- were pre-determined time and % return cut offs established
- Were they adhered to - if not, why not
    - who authorized extension
- How many follow ups occured
- By what methods were follow ups made
    - by whom
- Was overtime involved
- Did respondents require assistance in completing surveys
    - waht percentage
    - in what areas
- Were problems encountered
- How were they resolved

Clean Files

- Who determines extent of manual check
- What average time did it take per survey
- Was material key punched
    - if so, did it have priority
    - was priority honoured
    - if not, how was it done
- Did machine edits indicate survey design faults
    - if so, how were they handled
- Did machine edits reveal system design faults
    - if so, how were they handled

- Were time frames for edits established
    - if so, were they honoured
- Were corrections percentages
    - as anticipated
    - higher
    - lower
- Were any problems encountered in adjusting errors
    - if so, how were they handled
- What quality control was exercised
    - who decided
    - how extensive
    - what was result

7) Pre Analysis Extraction

- Were output tables requested
- In what format
- Were they feasible to produce
- Were they sufficient
    - of not, what additional outputs were needed
    - who decided
- Were different output tables requested for preliminary and firal products
- Who verified accuracy of tables as produced
- Were problems encountered
- How were they resolved
- Were time frames as planned and acceptable

8) Pre Publication Analysis

(a) Preliminary - Bulletin

- Who determined level of analysis
- Was it adhered to
- Who determined time frames
- Were they adhered to
- Who reviewed bulletin
    - for proofing
    - for content
    - for accuracy

(b) Final - Publication

(see (a))

(c) Special Requests

- How are they received
- How are they channeled internally
- Who decides on:
  - if they are to be undertaken
  - to what depth
  - at what cost
- Are time limits accepted and met
- Who determined sale/release of tapes etc.

ANNEX D

PROTOCOL FOR EDP PROJECTS WITHIN THE INSTITUTIONAL AND PUBLIC FINANCE STATISTICS BRANCH

Statistics Canada Statistique Canada

File reference No.
N/réf.

MEMORANDUM – *NOTE DE SERVICE*

Date December 7, 1976.

To – *À* Distribution

From – *De* M. Wisenthal, Director General, I&PFS Branch

Subject – *Objet* Protocol for EDP projects within the Institutional and Public Finance Statistics Branch

The attached Protocol, designed by the Institutional and Public Finance Statistics Branch and SDD, for the development of EDP projects is to be used for all EDP development projects in the I&PFS Branch effective immediately. Strict adherence to the Protocol will ensure better and less costly systems, and help to improve inter-personal relations between project team members because of the more clearly defined responsibility roles specified in the documentation.

It is important to stress the need for strong, positive, and responsible project management not only in the EDP development projects but in all projects. It is intended to initiate activities which will strengthen the role of the project managers and provide an environment and the training needed to enable project managers to develop their capacity to manage. In light of recent statements by the Chief Statistician related to project management and accountability, it is imperative that we take the necessary steps, as a Branch, to meet these objectives.

Since each of you have participated in the elaboration of this policy, it would seem appropriate for you to introduce it to your employees with any explanations or additions you deem appropriate.

An Evaluation and Review Committee, chaired by Marcel Prêfontaine, will assemble in early June 1977 to deal with suggestions and recommendations which emerge from the application of this policy.

The due date for the General Statement of Requirements (Item 1.3) for EDP projects for 77/78 may be extended from January 1, 1977 to February 1, 1977 considering the time remaining before January 1, 1977.

Attch.

Distribution		c.c.
J.B. Smith		L.E. Rowebottom
J. Hauser		J. Charlton
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E. Doucet, SDD		

PROTOCOL BETWEEN I&PF
AND S.D.D. FOR DEVELOPMENT
OF EDP PROJECTS

NOVEMBER, 1976

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1. General Statement of Requirements (GSR)
2. Project Initiation
3. Detailed Statement of Requirements (DSR)
4. System Proposal
5. Implementation

APPENDICES

A - GSR with Project Budget Sheet
B - DSR
C - Computer System Proposal
D - Acceptance Testing
E - Sign-off Report - Checklist
F - Overview of Responsibilities

— DEVELOPMENT OF EDP PROJECTS —

1. GENERAL STATEMENT OF REQUIREMENTS (GSR)

1.1 In order to utilize resources efficiently, a list of approved projects should be available at the beginning of each fiscal year. The preparation of this 'list' normally begins at Main Estimate time when Chiefs provide, to their Director, an indication of the projects they wish to develop in their respective areas. Well in advance of the beginning of the fiscal year, the Director will call for his Subject-Matter Specialists to prepare GSR's for projects selected (Appendix A).

1.2 The preparation of the GSR is the responsibility of the Subject-Matter Specialist, (i.e. Programme Manager or Chief). He may delegate the work and he may request the assistance of SDD and/or I & SC but the responsibility remains his alone. The completed GSR's are forwarded to the Director for review and approval.

1.3 The Director will assign priorities to the individual GSR's for his division and make the entire 'package' available to the SDD User Representative, and to the I & SC Representative by January 1st for the following fiscal year.

1.4 The SDD User Representative will allocate SDD resources based on the priorities identified by the Director.

1.5 It is recommended that large projects be carefully examined with a view to parcelling them into two or more smaller projects. Projects have a greater chance for success if they are short (less than eight months of elapsed time) and can be started and finished within the same fiscal year. For projects which must overlap two fiscal years, the GSR should state clearly the targets for the first fiscal year, and a revised GSR will be required for the second fiscal year.

1.6 The budget-sheet, which is attached to the GSR, is initially a rough estimate of project costs. As it becomes possible to refine these estimates, revised budget sheets should be prepared and approved by the Director. The form provides for the date and revision number to be entered on each 'generation' of the project budget sheet.

2. PROJECT INITIATION

2.1 To initiate an approved project, the Director will appoint a PROJECT MANAGER. The Project Manager will notify the service areas of the project start date.

2.2 The Project Manager is the key figure from this point on. He ensures that the special skills of the service areas are represented on the project team and that all team members operate efficiently and effectively. It is important that the Project Manager assume a strong leadership role.

2.3 The following points are generally accepted as principles of effective team operation:

- The team should meet to assign and co-ordinate work but never for the purpose of doing the work.
- The Project Manager should be free to meet individually with team members to discuss specific points which do not concern the team as a whole.
- The size of the team should not be allowed to grow beyond manageable size.
- Meetings should not become 'institutional' gatherings. The Project Manager should call meetings for a purpose and should insist that attendees stick to the agenda.

3. DETAILED STATEMENT OF REQUIREMENTS (DSR)

3.1 The first responsibility of the Project Manager is to develop a DSR with the help of the team (Appendix B), for the approval of the Subject-Matter Specialist or Divisional Chief. Normally, the completion of the DSR will require the first revision of the budget sheet to be issued.

4. SYSTEM PROPOSAL

4.1 Based on the DSR, the SDD Analyst will prepare a System Proposal (Appendix C). The proposal is for the joint approval of the Project Manager and the I & SC Representative. The

Project Manager approves it from the standpoint that it meets subject-matter requirements and the I & SC Representative approves it from a technical and integrative standpoint.

4.2 Formal go-ahead for execution of the proposal is via an 'Engagement Memorandum' which is the last item in the System Proposal document. (Appendix C, Exhibit 1). At this time, the User Representative will ensure the allocation of the necessary SDD resources.

5. IMPLEMENTATION

5.1 The Computer System proposal is normally only part of an overall strategy. Therefore, the Project Manager will incorporate the Computer System proposal, into his overall plan. The planning system used will be an ordered activities network as described in Appendix C, Section 5.

5.2 As work is done and project tasks are completed, the Project Manager will keep the team members informed of the progress against the plan.

5.3 The Project Manager also reports on progress to his own line management.

5.4 The overall plan includes provision for a user acceptance component. (Appendix D).

5.5 User acceptance is formally acknowledged via an official sign-off memorandum. (Appendix E).

5.6 After the project has been operational for a designated period of time, it should be reviewed to determine possible problem areas and to recommend corrective action and/or enhancements.

APPENDIX A

GENERAL STATEMENT OF REQUIREMENTS (GSR)

The GSR should identify the project and provide sufficient information for the Director to determine divisional priorities. It consists of a one-page form with an attached budget sheet. The following is a list of questions which may be referenced by individuals who are having trouble filling the form:

OBJECTIVE(S)

What am I trying to achieve with this project?

JUSTIFICATION

What benefits will be gained from this project?
What are the consequence of not proceeding?
Will this project result in clerical savings?
Will this project result in D.P.D. savings?
What are the alternatives to this project?
What are the important background items which might help justify this project?

CONSIDERATIONS & CONSTRAINTS

What will be the impact of this project on other programmes?
What is the importance of this project to ongoing programmes?
Are there existing contractual agreements with outside agencies and governments?
Will such agreements have to be negotiated?
Are there timing constraints of any kind?

GENERAL STATEMENT OF REQUIREMENTS (GSR)

1 Identification:

Project Name ____________________

FRACAS ____________ FRC ____________

Project Manager (expected) ____________________

Programme Manager or Subject Matter Specialist

____

2 Objectives:

3 Justification:

4 Considerations & Constraints:

REV. #

PROJECT BUDGET-SHEET

PROJECT NAME ______________________________

PRACAS __________

ERC __________

SUBJECT-MATTER DIRECT COSTS:

	19__		19__		
	m-d	$	m-d	$	
GR					
SI					
ES					
OTHER					
TOTAL DIRECT					(A)

INDIRECT COSTS:

SDD					
I&ASM					
DPD					
OTHER					
TOTAL INDIRECT					(B)

TOTAL DIRECT + INDIRECT			(A+B)
BRANCH - I&SC:			(C)
PROJECT TOTAL			(A+B+

CHIEF ______________________________ DIRECTOR ______________________________

DATE ______________________________ DATE ______________________________

DETAILED STATEMENT OF REQUIREMENTS

The detailed statement of requirements is a written statement of the objectives and parameters for the system. It is the formal statement of what the subject-matter user expects of the system to be developed. It must be comprehensive and detailed enough to allow the systems specialists to design a working system. This documentation should contain the following sections and should be amended as required such that it is always current. It is the project manager's responsibility to see that this is done as a first activity of the project team.

1. Identification

1.1 Project Name
1.2 Project Manager
1.3 SDD Analyst
1.4 Effective Date
1.5 Divisional Priority

2. Design Objectives

All general and specific objectives to be accomplished by the systems development work should be described (e.g. reduce the processing cycle from two weeks to four days; or change the emphasis from the analysis of historical information to the analysis of current information). It should be obvious what the project team is trying to accomplish. Priorities should be assigned to the objectives as they are often contradictory (e.g. flexibility vs efficiency).

3. Constraints

All known constraints should be documented and understood by everyone involved (e.g. the monthly report must be issued within ten days after the month end; or the information collected will remain constant for 6 years). The constraints should be planned for, as they may determine the final design.

4. Outputs

All expected outputs should be described in terms of function, distribution, content, sequence and expected volume. Everything the user expects to be produced by the system should be described in order that the system developers can allow for it in the design. From this, the system designer will design actual outputs for the user's approval.

5. Inputs

All inputs which will be expected should be described in terms of source, format, content, frequency, expected volume and processing sequence. This provides the system developers with the information required to optimally design the required data collection methods.

6. Processing

All processing required should be described. This includes editing, data updating, calculations, report compilation and controls required. This information should be provided in enough detail to ensure that there is no misunderstanding as to what is to be done.

7. Preparation of the SDD Proposal

The SDD project analyst should provide work plan of how the systems proposal will be prepared, how much it will cost to prepare it and when it will be completed.

8. Approval

This is a signed approval by the divisional chief and the programme manager which authorizes SDD to prepare the systems proposal based on the detailed statement of requirements.

COMPUTER SYSTEM PROPOSAL

The computer system proposal is drafted by SDD in consultation with the user and addresses a detailed statement of requirements. It should include the following:

1. Summary of Administrative Information

This is basic information required for smooth operation of the administration aspects of a project:

1.1 Pracas Code, Phase Code
1.2 Financial Responsibility Code
1.3 Project Name
1.4 Project Manager
1.5 SDD Analyst
1.6 Date Proposal Completed
1.7 Cost of Proposal

2. Background

This should be a brief summary of any pertinent historical information which may be relevant to project initiation. This section will be of particular benefit to the reader who is unfamiliar with the project and needs to view the proposal 'in context'.

3. Cost-Benefit Analysis

This should describe briefly, various alternative approaches considered and the rationale (in terms of cost and benefit) for elimination of various alternatives.

4. Description of Proposed System

This should contain an overview of the proposed development work with particular emphasis on how it satisfied the statement of requirements. It will normally contain information on the following topics:

4.1 Macro-level flowchart.

4.2 Program narratives describing the major functions of each program.

4.3 File descriptions including organization, probable contents and expected volumes.

4.4 Output descriptions including sequence, frequency, estimated volume and contents.

4.5 A description of the run cycles and expected processing schedules.

4.6 A description of the hardware/software requirements.

4.7 A description of the back-up/recovery system and controls to be used.

4.8 Interfaces with other systems.

4.9 User support requirements for development and expected operations.

4.10 Estimated operational cost.

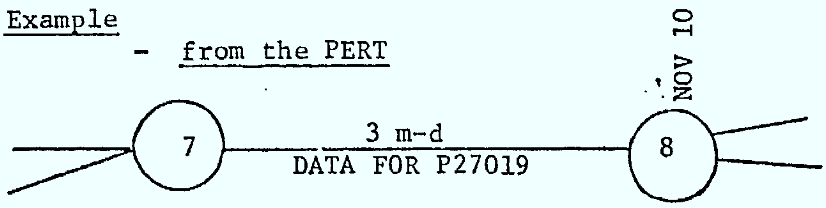
4.11 Plans for conversion of existing systems or components.

5. Plan

This should be entirely represented in graphic form on a network diagram where all activities can be represented, labelled and estimated in a format which becomes the standard for project reporting. Scheduled dates should be clearly noted at appropriate nodes and all nodes should be numbered for easy reference.

Example

- from the PERT



Accompanying the network diagram should be an activity list which describes each activity fully and assigns responsibility for it.

Example

- from the list of activities

(7 - 8) Prepare test data for edit module P27019

Responsibility - John Smith
Schedule Date - November 10, 1976

Provide data in card format with documentation of expected results.

The SDD Analyst will update the network diagram and accompanying activity list and will record completion of events, issuing updated versions to all parties, at reporting intervals.

Note, that each activity implies a physical output as proof of completion.

Example

program design - a program spec.
investigation - a brief report
testing - computer printouts
design operating instr. - a manual

6. Engagement Memorandum

This is a one-page item containing approval signatures for system design by the project manager and the branch representative; authorization signature from the programme manager.

If the proposal exceeds the remaining budget allocated for this project additional authorization by the division's director is required if the project is to continue. (See EXHIBIT 1).

EXHIBIT 1

ENGAGEMENT MEMORANDUM

This acknowledges that the undersigned approve the attached systems proposal and agree that its execution may proceed as planned.

Project Manager ____________________ Date ____________

Branch
Integration & Systems
Representative ____________________ Date ____________

This acknowledges that the undersigned authorize the execution of the systems proposal.

Programme Manager ____________________ Date ____________

Since the proposal requires monies in excess of budget the signature below authorizes the additional expenditure of
$ __________.

Director ____________________ Date ____________

ACCEPTANCE TESTING

When the systems developers are ready to implement the new system the programme manager should prepare and run his own tests to ensure that the new system performs in accordance with his expectations. This testing must be based on the detailed statement of requirements from which the system was developed.

1. Objectives

1.1 To ensure that the system provides for processing correctly any and all combinations of accurate data and that all reasonable controls are exercised to detect and reject inaccurate data for correction by resubmission into the system.

1.2 To ensure that processing cycles are logically sequenced and that systems or data sequencing problems can be detected by the system.

1.3 To ensure that the volumes anticipated can be handled by the system in the time frames and with the resources anticipated.

1.4 To evaluate the sensitivity of the systems to expected volumes and error rates.

1.5 To ensure that the data and file controls operate correctly and that they reflect the current and cumulative status through understandable control reports.

1.6 To ensure that the user's manual provides procedures in sufficient detail to allow the user to operate without repeated intervention by the developers of the system.

1.7 To ensure that the documentation is complete and consistent for all parts of the system.

2. Composition of Test Data

The user tests should include the following:

2.1 Data structured to verify the logic of transaction processing. This includes the simpler aspects of editing, updating, data control and report production for accurate and inaccurate data.

2.2 Data structured to verify all processing which involves data sequencing, data combination conditions, complex processing and re-entrant data such as corrected errors and files previously produced by the system.

2.3 Data structured in proportion and volume to simulate actual operating conditions.

The tests should be structured so that corrected errors and output files from a test are used as inputs to the next test run. It is important that this series of tests be prepared by the user; run by the user and evaluated by the user.

3. Preparation of an Acceptance Test

A number of tasks are required to prepare for, organize and carry out acceptance tests. In addition, controls and approval procedures have to be set up to insure the orderly elimination and correction of problems encountered. These tasks include:

3.1 Gather the following documentation:

3.1.1 Detailed statement of requirements from which the system was developed;

3.1.2 Complete systems flow chart for references and communication;

3.1.3 Production schedules including data flow and work flow. These should include cut-off dates, last minute change procedures, correction procedures and cycles, and any by-pass operations and their subsequent integration into the system.

3.2 Develop the procedures for the production and checking of test data.

3.3 Develop the procedures to be used to test, review and document test results.

3.4 Develop the procedures to effect systems changes based on the results of the test.

3.5 Develop procedures to maintain the test package in parallel with any future changes made to the system.

3.6 Prepare test data and expected results.

The user should maintain an up-to-date acceptance test package and the expected results. The test should be re-run after any system modification and the test itself should be modified to account for any future systems enhancements.

APPENDIX E

SIGN-OFF REPORT

1. Status of Project
2. Documentation
3. Test Package
4. Evaluation
5. Date and procedures for post-project evaluation

October, 1976

OVERVIEW OF RESPONSIBILITIES

MAJOR COMPONENTS	SUBJECT MATTER				BRANCH REPRESENTATIVE FROM I. & S. C.	S.D.D. USER REPRESENTATIVE	S.D.D. ANALYS
	SUBJECT MATTER SPECIALIST	PROJECT MANAGER	DIVISIONAL CHIEF	DIVISIONAL DIRECTOR			
GENERAL STATEMENT OF REQUIREMENTS	Responsible		Approval	Approval	Review and Comment	Review and Comment	
DETAILED STATEMENT OF REQUIREMENTS	Approval	Responsible	Approval		Assist		Assist
COMPUTER SYSTEMS PROPOSAL	Assist	Approval	Assist		Approval	Assist	Responsibl
PROJECT PLAN	Assist	Responsible	Approval				
IMPLEMENTATION OF THE PROJECT PLAN	Assist	Responsible	Assist	Assist	Assist	Assist	Assist
ACCEPTANCE OF IMPLEMENTATION	Responsible	Responsible			Assist		
SIGN-OFF REPORT		Responsible	Approval				
POST-PROJECT EVALUATION	Responsible				Assist	Assist	

December 1976

ANNEX E

THE RESPONSIBILITIES OF STATISTICS CANADA RESPECTIVE TO ANY PROJECT

(JANUARY 15, 1977)

THE RESPONSIBILITIES OF STATISTICS CANADA RESPECTIVE TO ANY PROJECT

JANUARY 15, 1977

A - THE DUTIES OF STATISTICS CANADA ACCORDING TO THE ACT ASSENTED TO FEBRUARY 11TH, 1971:

3. THERE SHALL CONTINUE TO BE A STATISTICS BUREAU UNDER THE MINISTER, TO BE KNOWN AS STATISTICS CANADA, THE DUTIES OF WHICH ARE

(A) TO COLLECT, COMPILE, ANALYSE, ABSTRACT AND PUBLISH STATISTICAL INFORMATION RELATING TO THE COMMERCIAL, INDUSTRIAL, FINANCIAL, SOCIAL, ECONOMIC AND GENERAL ACTIVITIES AND CONDITION OF THE PEOPLE;

(B) TO COLLABORATE WITH DEPARTMENTS OF GOVERNMENT IN THE COLLECTION, COMPILATION AND PUBLICATION OF STATISTICAL INFORMATION, INCLUDING STATISTICS DERIVED FROM THE ACTIVITIES OF THOSE DEPARTMENTS;

(C) TO TAKE THE CENSUS OF POPULATION OF CANADA AND THE CENSUS OF AGRICULTURE OF CANADA AS PROVIDED IN THIS ACT;

(D) TO PROMOTE THE AVOIDANCE OF DUPLICATION IN THE INFORMATION COLLECTED BY DEPARTMENTS OF GOVERNMENT; AND

(E) GENERALLY, TO PROMOTE AND DEVELOP INTEGRATED SOCIAL AND ECONOMIC STATISTICS PERTAINING TO THE WHOLE OF CANADA AND TO EACH OF THE PROVINCES THEREOF AND TO COORDINATE PLANS FOR THE INTEGRATION OF SUCH STATISTICS.

B - STEPS FOR A NEW SURVEY OR FOR A MAJOR MODIFICATION TO AN EXISTING SURVEY:

1. BASIC RESEARCH
    (A) GENERAL IDEA OF THE SUBJECT.
    (B) IDENTIFICATION OF THE MAIN ISSUES AND PROBLEMS WITHIN THE SUBJECT.
    (C) IDENTIFICATION OF THE SUBJECT IMPACT ON PROBLEMS AND ISSUES OF THE CANADIAN CULTURAL LIFE.
    (D) IDENTIFICATION OF POLICY ALTERNATIVES TO BE EVALUATED ON THE BASIS OF STATISTICAL INFORMATION.
    (E) INVENTORY OF THE AVAILABLE INFORMATION AND IDENTIFICATION OF SOURCES OF INFORMATION.

2. TO DETERMINE WITH PRECISION THE PROJECT CONTENT AND OPERATIONAL OBJECTIVES.

3. TO DETERMINE THE NEEDS AND OBJECTIVES OF ALL USERS INCLUDING THE NEED FOR INFORMING THE PUBLIC.

4. TO DETERMINE WHAT DATA WILL BE NEEDED IN ORDER TO SATISFY THE NEEDS MENTIONED ABOVE.

5. GIVEN THE NECESSARY CONSTRAINTS, TO SELECT THE NEEDS AND OBJECTIVES WHICH WILL BE SATISFIED.

6. TO IDENTIFY THE UNIVERSE TO BE SURVEYED OR ABOUT WHICH DOCUMENTS WILL BE ANALYSED.

7. TO DEFINE METHODOLOGY, TAKING INTO CONSIDERATION THE BURDEN POSSIBLY IMPOSED ON THE RESPONDENTS AND THE DESIRED MARGIN OF ACCURACY.

8. To prepare the necessary survey instruments, such as questionnaires, sample if needed, etc.

9. To prepare at least a schema of the analysis which will be made when the data will be received.

10. To evaluate respondents' capability to supply data and to make sure that they are willing to do so.

11. Specification of editing programme including imputation, decision tables, relationship between variables programmes and testing of these programmes.

12. Printing of the questionnaire.

13. Mailing out of the questionnaire.

14. Determination of the procedure for follow-up and follow-up.

15. To assist respondents in completing questionnaires.

16. Manual editing and completion of questionnaires, through contact with the respondents if needed.

17. Coding the documents, when needed.

18. Data capture and key punching.

19. Mechanical editing.

20. Data correction, including contacting the respondents back if needed.

21. CREATION OF A CLEAN MASTER TAPE.

22. IF MICRO DATA TAPE IS TO BE GIVEN, REPORT TO THE MICRO DATA COMMITTEE, APPROVAL BY THE COMMITTEE AND PREPARATION OF THE MICRO DATA TAPE.

23. PREPARATION OF THE EXTRACTION PROGRAMME.

24. EXTRACTION OF SOME TABLES.

25. ANALYSIS OF DATA FOR DISSEMINATION PURPOSES.

26. PUBLICATION OF PRELIMINARY REPORT AND OF THE DATA AVAILABILITY.

27. FURTHER ANALYSIS OF DATA, INCLUDING SOME STATISTICAL CHARACTERISTICS, SUCH AS PERCENTAGES, CENTRAL VALUES, RELIABILITY MEASURES, ETC.

28. MANUAL PREPARATION OF TABLES, IF NEEDED.

29. PREPARATION OF THE MANUSCRIPTS FOR VARIOUS TYPES OF PUBLICATIONS.

30. EDITING OF THE MANUSCRIPTS.

31. TRANSLATION.

32. TYPE-SETTING.

33. PROOF-READING.

34. PRINTING AND DISTRIBUTION.

35. Responses to specific requests.

36. Preparation of monographs and articles, if deemed necessary.

C - STEPS FOR EXISTING SURVEY:

1. DISCUSSION WITH THE USERS, TO ASSESS THE FULFILMENT OF THEIR NEEDS AND TO REDEFINE THEIR OBJECTIVES AND NEEDS.

2. TO REVIEW WITH THE RESPONDENTS THE BURDEN IMPOSED ON THEM AND TO EXAMINE WITH THEM THE POSSIBLE SIMPLIFICATIONS WHICH COULD ALLEVIATE THIS BURDEN WITHOUT LOSING NEEDED INFORMATION.

3. TO RE-EXAMINE THE METHODOLOGY.

4. TO MODIFY AS NEEDED THE COLLECTION INSTRUMENTS.

5. TO COMPLETE AND MODIFY THE LIST OF RESPONDENTS.

AND THEN, NUMBER 11 TO 36 OF NEW SURVEYS WILL STILL BE NECESSARY, TO A MORE OR LESS GREAT EXTENT.

ANNEX F

DETAILS ON THE EDUCATION
SUB-SECTION DIVISION OF THE EDUCATION
SCIENCE AND CULTURE DIVISION
STATISTICS CANADA

Education Sub-Division Program

2. Main Estimates 81-82 (PY's)

	Level	Main Estimates 81-82 (PY's)	Utilization 81/82 (Py's)
ES	7	1	1
	6	2	1
	5	5	3.98
	4	1	1
	3	6	4.47
	2	2	2
	1	-	3
SI	5	-	-
	4	1	1
	3	4	3.95
	2	7	9.38
	1	3	3
CR	5	1	1
	4	4	5.99
	3	9	8
	2	-	-
Total		46	40.5

5. Costs (000's)

Costs (000's)			Project Name & Number	Resp.	Records
1,650,	2631		EDUCATION		
560	2632		POSTSECONDARY EDUCATION		
		S	0518 University Teachers	105	32,500
		S	0565 College Teachers	120	16,500
		S	2633 University Enrolment	70	600,000
		S	2634 University Degrees	70	115,000
		S	2635 College Enrolment	135	250,000
		S	2657 Tuition & Living Accomm.	70	70
350	2638		ELEMENTARY SECONDARY EDUCATION		
		S	0196 Teachers	1,200	195,000
			2797 Publications		
			2796 Requests		
		S	0508 Students	1,200	1,200
			2762 Publications on Enrolment		
			2761 Requests on Enrolment		
			2768 Publications on Minority Language		
			2767 Requests on Minority Language		
260	2639		PROJECTIONS & SPECIAL STUDIES		

Costs				Resp.	Records
300 thou.		2642	EDUCATION FINANCE		
	S	2645	Government Expenditures	40	40
	S	2646	School Board Expenditures	13	13
	S	2647	University Expenditures	65	400
175"		2835	PROGRAM EVALUATION & ADMIN.		

S - All surveys are annual
All surveys are UNIVERSE as opposed to sample.

EDUCATION SUB-DIVISION

PUBLICATIONS AND BULLETINS

81-002	Education statistics Service Belletin (10-12 issues)
81-202	Salaries and Qualifications of Teachers in Public Elementary and Secondary Schools (Estimated page # 64) Annual
81-204	Universities: Enrolment and Degrees (Estimated page # 70) Annual
81-208	Financial Statistics of Education (Estimated page # 100) Annual
81-210	Elementary-Secondary School Enrolment (Estimated page # 37) Annual
81-219	Tuition and Living Accommodation Costs at Canadian Universities (Estimated page # 30) Annual
81-220	Advance Statistics of Education (Estimated page # 32) Annual
81-222	Enrolment in Community Colleges (Estimated page # 40) Annual
81-229	Education in Canada (Estimated page #185) Annual
81-241	Teachers in Universities (Estimated page # 85) Annual
81-254	Educational Staff of Community Colleges and Vocational Schools (Estimated page # 85) Annual
81-257	Minority and Second Language Education, Elementary and Secondary Levels (Estimated page # 42) Annual
81-258P	Salaries and Salary Scales of Full-Time Teaching Staff at Canadian Univerisites, Preliminary (Estimated page # 70) Annual
81-258S	Salaries and Salary Scales of Full-Time Teaching Staff at Canadian Universities, Supplementary (Estimated page # 32) Annual
81-258A	Salaries and Salary Scales of Full-Time Teaching Staff at Canadian Universities (Estimated page # 100) Annual
81-572	Job Market Reality for Postsecondary Graduates (Estimated page #E - 510) Occasional F - 510

NON-CATALOGUED

The Education Sub-Divisions publishes a number of non catalogued publication and paper. The number varies from year to year.

ANNEX G

OPTIONS DEVELOPED IF DOC AND STC DISCONTINUE JOINT ACTIVITIES

ANNEX G

Options Developed if DOC and STC Discontinue Joint Activities

This set of options should be considered by the two Departments only if their respective views are that the working relationship between the two Departments cannot be improved and/or for the DOC, that the levels of effectiveness and/or efficiency of the CSP are so poor that it could no longer justify expenditures on the program. Options are set out below for each Department if it is decided that future joint efforts in cultural statistics could not be feasibly pursued.

1. Options for the DOC on its Own

Three options are proposed for DOC if the decision to discontinue joint DOC/STC efforts is made. They are:

i. Contract with another outside agency to meet their requirements for time-series data on culture.

ii. Set up with other organizations, a reseach institute on culture.

iii. Have DOC officers collect the data themselves.

DOC Option #1: Contract with another outside Agency

In this option DOC would arrange with another agency to collect their required statistics on culture. Again, given that a certain part of the Arts and Culture budget is for the purpose of developing time series data on culture, the DOC would want to select an agency or institute which would have the subject matter knowledge, proven technical capability and track record proving capability to conduct large surveys; as well as a profile which would lend credibility to the statistics.

DOC Option #2: Set Up with Others, A Culture Research Institute

In this option the DOC would use its funds currently used for the CSP to establish, with other organizations, a research institute on Culture. A demand for such an institute has come from the Arts and Culture Community. Evidence of this demand is contained in the recent (Nov, 1981) document by the Canadian Conference of the Arts (CCA) which calls for such an institute. (See "More Strategy for Culture"). refers to the fact that such an institute should draw upon and not duplicate the work of such groups as STC. It is the opinion of the consultants that such an institute would work only with the support of the surveyed population and its representative bodies, i.e. the Arts and Culture Community. The views of these groups towards the DOC role in such an Institute would likely be similar to those reflected in the recent C.C.A. document which considers that the DOC should have an arms-length relationship with such an Institute.

This study team doubts that representatives of the Arts and Culture community would participate in such a body if they considered that the DOC had more authority over the direction of the research than they had.

While, in many ways this is an attractive option, it could also be pursued along side the STC program. The STC would provide statistics and the Institute could conduct research and analysis using STC data. However, if this option is selected over continuing jointly with STC, then the role of the Institute would be to conduct surveys as well as research and analysis. In assessing this option consideration should be given to the costs of setting up such an institute, the time it would take to establish the institute as a credible source, and, the reactions of respondents who would not be legally bound to answer the questionnaires of such an institute.

DOC OPTION #3: DOC Officers Create Own Data Base

In this option DOC officials themselves would be responsible for establishing a continuing data base on culture. While the benefits of this option are that DOC needs might be readily met, consideration should be given to increased person year costs, the computer costs and the ability to establish credibility in the Arts and Culture community if the data base is to serve DOC officials as well as other groups. Also, consideration should be given to the potential impact on response rates given the relatively neutral view ascribed to STC in comparison to DOC. As well, the STC's legal leverage with respect to respondents would be lost if DOC selected this option.

2. Options for Statistics Canada

Three options are available to STC for use on Culture of their portion of the budget for CSP. They are:

i. Conduct the program on a limited basis;

ii. Add parts of the CSP surveys on to another program; or,

iii. Cancel any statistical activities on culture.

STC OPTION #1:
Add Parts of the CSP Surveys to Another STC Program

Again, those surveys of most importance to major users would be conducted as part of another program in the Social Statistics field, of STC e.g. education.

STC OPTION #2:
Conduct the Program on A Limited Basis

In this option STC officials would determine with major users, those surveys of most importance to them. The costs associated with conducting these surveys would be identified and those surveys of most importance to major users would be continued.

STC OPTION #3:

Cancel Activities on Cultural Statistics

This option would be selected if major users and STC officials considered that the limited surveys that could be conducted with remaining resources would be of little benefit to the major users.

ANNEX H:

Description of Satellite Statistical Program and User-Pay Arrangements

1. Canadian Government Office of Tourism
2. Aviation Statistics Centre
3. Centre for Justice Statistics

User Pay Arrangement Between The Canadian Government Office of Tourism and STC

Introduction and Background

The Canadian Government office of Tourism (CGOT) conducts with Statistics Canada The Canadian Travel Survey. The data is collected by STC through its labour force survey but is disseminated, primarily through the CGOT (STC does produce some publications, bulletins and direct special requests). "The need for an improved tourism data base was one of the recommendations emanating from an internal review of CGOT operations, one of four priority recommendations of The Tourist Industry Consultative Task Force and...endorsed by the Federal Provincial Conference of Tourism Ministers."1

The CGOT was charged with the responsibility for examining options for developing this data base. Options examined included:

- developing a joint program similar to the CSP of DOC and STC;

- conduct the work in a way similar to the past on a 5/6 sample basis; or

- use the labour force survey of STC as a vehicle with a 1/6 sample but at about one-half the cost of the above option.

It was considered by those responsible for looking at options that last option should be selected due to its favourable cost implications.

1 Bulletin on Travel survey

Serious consideration was not given to cntracting with the private sector due to the view that there would be no organization which could compare to the STC in terms of skills, ability to achieve satisfactory response rates; as well as, the back up pool of staff at STC.

Organization and Management Responsibilities for Survey

The CGOT has a contract relationship with STC to collect the data as part of the STC labour force survey. In this arrangement the CGOT specifies for STC, within specific time limits, the information which it wants collected and the cross tabulations it wishes prepared when the clean file is ready.

Two committees operate to implement the agreement between STC and DOC. They are the "Policy Content Committee" and the "Technical Committee". The Policy Content Committee consists of the direct managers from STC and CGOT, responsible for the program, a representative from the System Development Division of STC, and a representative from the Ministry of Transport. No Changes are made to the surveys unless total agreement is reached by the members of this committee on the issues which arise. The technical committee consists of representatives from the same organization as the content committee, but at the working level. This committee looks at proposed changes to the questionnaire and determines what is feasible and can be changed.

There is no active and direct involvement in the Tourism Survey at the ADM level from CGOT, however, in 1982 a report is to be prepared and submitted to the ADM on progress-to-date on the survey.

The CGOT is the client for the survey and pays, with a signed contract. The CGOT can cancel the survey whenever they desire. The budget/funding for the survey is negotiated quarterly but the survey is conducted every two years and not annually.

Survey Outputs

Based on an agreement between CGOT and Statistics Canada, CGOT receives three regular types of output for each travel survey conducted by Statistics Canada: rapid rquest, standard output tables and micro-data tape. Except for the first three surveys (3rd Quarter 1978; 4th Quarter 1978 and 1st Quarter 1979) and the 1st Quarter 1981 survey, the following is an estimate of the elapsed time (in terms of months) between the interview period and the transmission of these outputs by Statistics Canada to CGOT;

Rapid Request: 3 months
Standard Output: 4 months
Micro-data Tape: 4-5 months

The following publications are also produced.

Widely Distributed

1. Quarterly Research Bulletins (9 available)
2. Quarterly Travel Trends (5 Available)
3. The Canadian Travel Market - 1980
4. Canadian Travel Survey - Canadians Travelling in Canada - Quarterly - (2 Available - Statistics Canada)
5. Canadian Travel Survey - Canadians Travelling in Canada - Occasional (In Process - Statistics Canada)
6. Travel, Tourism and Outdoor Recreation - A Statistical Digest - Catalogue 87-401 (Statistics Canada)
7. Summer Travel by Canadians - 1978 (Transport Canada)

8. Travel by Canadians - 1977-1980 (Transport Canada)

Available Upon Request

1. Summary Reports (Twelve Month Periods) (5 Available)

2. Analysis of Summer 1978 Travel Market

As well, users other than CGOT (e.g. Provincial) can make special requests to either CGOT or STC.

Performance-to-Date

The CGOT examined the DOC/STC option for the CSP but considered that this arrangement would not provide them with adequate subject matter control. It was decided that the contract arrangement would provide for this control by CGOT. CGOT officials consider their progress in this area is far in advance of other countries. The CGOT considers that if it pays on a survey by survey basis their needs will be met.

It was stressed, however, that the effectiveness of this arrangement is dependent on the CGOT work on defining its needs. Attached is an example of the CGOT work on needs definition.

Date: 1978
Spring.
c̄ manuscript document

QUARTERLY TABLES FROM CTS

PERSON-TRIPS

C.G.O.T.

1	DESTINATION (TOURIST REGIONS)
2	PROVINCE OF ORIGIN X TRIP PURPOSE X DESTINATION (PROVINCE, U.S.A., OTHER COUNTRIES) X MAIN MODE OF TRANSPORTATION
4	PROVINCE OF ORIGIN X TRIP PURPOSE X DURATION (3 NIGHTS OR LESS/ 4 NIGHTS OR MORE) - FOR ALL TRIPS WITHIN CANADA
5I	PROVINCE OF ORIGIN X TRIP PURPOSE X DURATION (3 NIGHTS OR LESS/ 4 NIGHTS OR MORE) X AGE X SEX - FOR ALL TRIPS WITHIN CANADA
5II	PROVINCE OF ORIGIN X TRIP PURPOSE X DURATION (3 NIGHTS OR LESS/ 4 NIGHTS OR MORE) X MARITAL STATUS - FOR ALL TRIPS WITHIN CANADA
5III	PROVINCE OF ORIGIN X TRIP PURPOSE X DURATION (3 NIGHTS OR LESS/ 4 NIGHTS OR MORE) X OCCUPATION - FOR ALL TRIPS WITHIN CANADA
5IV	PROVINCE OF ORIGIN X TRIP PURPOSE X DURATION (3 NIGHTS OR LESS/ 4 NIGHTS OR MORE) X EDUCATION - FOR ALL TRIPS WITHIN CANADA
5V	PROVINCE OF ORIGIN X TRIP PURPOSE X DURATION (3 NIGHTS OR LESS/ 4 NIGHTS OR MORE) X HOUSEHOLD INCOME - FOR ALL TRIPS WITHIN CANADA
6I	PROVINCE OF ORIGIN X DESTINATION (PROVINCE, U.S.A., OTHER COUNTRIES) X TRIP PURPOSE X AGE X SEX
6II	PROVINCE OF ORIGIN X DESTINATION (PROVINCE, U.S.A., OTHER COUNTRIES) X TRIP PURPOSE X HOUSEHOLD INCOME
7	DESTINATION (PROVINCE, U.S.A., OTHER COUNTRIES) X BUSINESS/ NON-BUSINESS X DURATION (3 NIGHTS OR LESS/4 NIGHTS OR MORE)

TRANSPORT CANADA (dropped off in revisions)

2	MAIN MODE OF TRANSPORTATION X TRIP PURPOSE X HOUSEHOLD INCOME X AGE X SEX
5	MAIN AND SECONDARY MODE OF TRANSPORTATION X TRIP PURPOSE X DISTANCE

LAST TWO TABLES RELATE TO ALL TRIPS REGARDLESS OF DESTINATION

TRIPS

C.G.O.T.

1 TRIP PURPOSE X DESTINATION (PROVINCE, U.S.A., OTHER COUNTRIES) X PARTY SIZE

2 TRIP PURPOSE X DESTINATION (PROVINCE, U.S.A., OTHER COUNTRIES) X DURATION

TRANSPORT CANADA

1 MAIN MODE OF TRANSPORTATION X TRIP PURPOSE X DISTANCE X PARTY SIZE - FOR ALL TRIPS REGARDLESS OF DESTINATION

PERSON-NIGHTS

C.G.O.T.

1 PROVINCE OF ORIGIN X TRIP PURPOSE X PLACE OF OVERNIGHT STAY (PROVINCE, U.S.A., OTHER COUNTRIES)

2 DESTINATION (PROVINCE, U.S.A., OTHER COUNTRIES) X TRIP PURPOSE X ACCOMMODATION

PERSONS

TRANSPORT CANADA

1 PROVINCE OF ORIGIN X AGE X SEX X EDUCATION X FREQUENCY OF TRAVEL

4 HOUSEHOLD INCOME X EDUCATION X OCCUPATION X FREQUENCY OF TRAVEL

LAST TWO TABLES RELATE TO ALL TRIPS REGARDLESS OF DESTINATION

NOTES ON THE AVIATION STATISTICS CENTRE

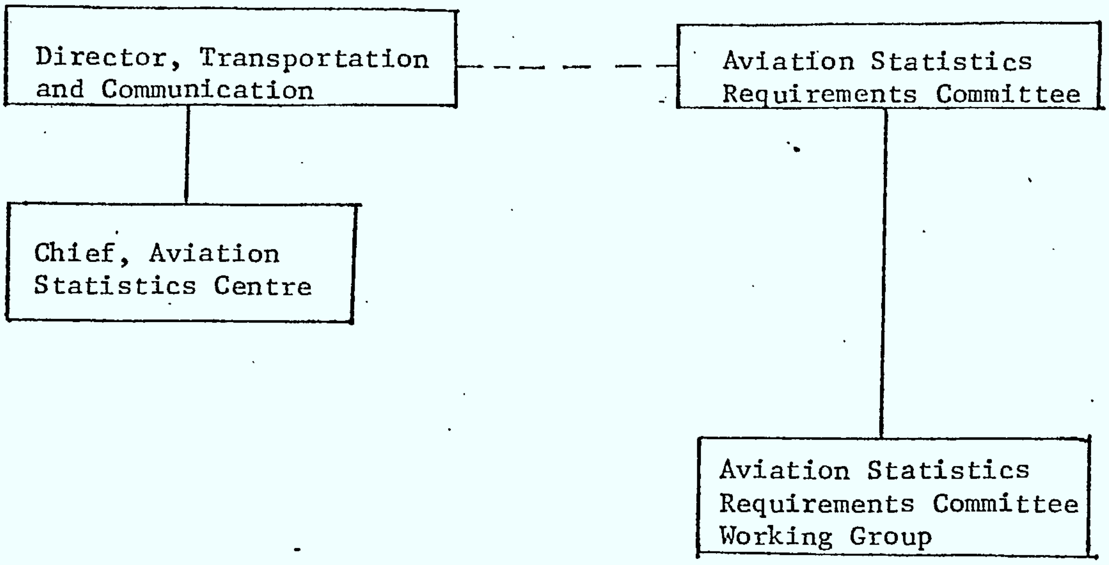
General

The Aviation Statistics Centre is a satellite of Statistics Canada, located in accomodation adjacent to the Canadian Transport Commission, the Air Transport Committee, and Transport Canada. The satellite was established on April 1, 1966, after operating briefly on an informal basis until then. The Centre is headed by the Chief, Aviation Statistics Centre, who reports to the Director, Transportation and Communications Division at Statistics Canada.

Management Structure

The Aviation Statistics Centre consists of 35 people, headed by a Chief at the ES-6 level (see attached organization chart). Three ES-5s report to the Chief-two responsible for the two subject-matter areas, and one responsible for handling problem areas, and performing planning and evaluation functions. The organizational interface with the host organizations is through the Aviation Statistics Requirements Committee (see attachment 2); a group composed of three representatives from the host organizations and the Director, Transportation and Communications Division from Statistics Canada. This Committee is responsible for higher level decisions such as new data acquisition initiatives, new programs, etc., although they may also deal, from time to time, with special problems at the "working level" e.g. specific program outputs. In order to arrive at a decision, the Committee employs a voting mechanism, with each member casting one vote.

Beneath the ASRC, there is a working group which handles the more detailed questions which require research and evaluation before a decision can be made, and makes recommendations to the Committee on action to be taken. Members of the working group are at the ES-5/ES-6 level.


Director, Transportation and Communication
Aviation Statistics Requirements Committee
Chief, Aviation Statistics Centre
Aviation Statistics Requirements Committee Working Group

Note 1. The ASRC consists of the following members:

Chairman - Director, Transportation and Communications, Statistics Canada

Members - Director, Statistics and Forecasts (Air), Transport Canada

- Director, Air Services Analysis Branch, Air Transport Committee

- Associate Executive Director, Research Branch, Canadian Transport Commission

2. The ASRCWG is a "mirror-image" of the above in terms of departmental representation, but members are at the ES-5/ES-6 level.

Funding and Resources

At its inception, the Centre received person-years from the Department of Transport and Statistics Canada. About two years later the Air Transport Committee also contributed person-years. Since that time, Statistics Canada has assumed funding responsibility for the human resources at the Centre, while computer costs are covered by the host organizations.

Program Outputs

The outputs of the Centre consist of publications, computer printouts and microfiche. The Centre is responsible for eleven publications with two of these distributed as Transport Canada products. The data in these two publications, on aircraft movement and on general aviation, are compiled from administrative records of Transport Canada. While the host organizations use the publications for general reference statistics, they require detailed data which is released in the form of computer printouts and microfiche. Much of the interface between the satellite and the host organizations is related to these more detailed requirements.

Support Services

The funding arrangement for the Centre has Statistics Canada assuming the costs of human resources, while the host organizations pay for computer services. Consequently, the centre employs the computer facilities and programmers from Transport Canada for the majority of its work e.g. data capture, processing, etc. The Statistics Canada computer hardware has been used for special research jobs where the required program packages, and the advisory personnel to explain their use were not available from Transport Canada. The publication, marketing and distribution of the Centre's products is carried out by Statistics Canada.

Problems Leading to the Initiation of the Satellite

Prior to the establishment of the satellite, there were aviation statistics collected by Transport Canada, Statistics Canada, and the Air Transport Board under the Aeronautics Act. It was felt that bringing these interests together in a common data collection effort would lead to less duplication, and to a greater degree of standardization and integration in operations.

A specific problem in the previous organizational arrangement was the case of data collected by the Air Transport Board. The data collected by the Air Transport Board were passed to Statistics Canada for publication after a "clean" data file had been established. Late delivery of the file to Statistics Canada caused considerable delays in the release of data to users, and it was decided that the satellite would improve the timeliness of data dissemination.

Costs and Benefits

The satellite operation benefits from day-to-day contact with the major data user and this results in better communication and understanding, and better definition and appreciation of user requirements of the major clients.

The staff of the Centre are somewhat isolated from the main body of Statistics Canada, and, as a result, their promotion possibilities at headquarters may be more limited than those of a group located in Tunney's Pasture. However, career possibilities within the host organization are more accessible to the satellite staff.

Consultation with Users and Contact with Respondents

The Aviation Statistics Centre consults with users outside the host organizations in the context of the Statistical Committee of the Air Transport Association of Canada. This consultation is most intensive during periods of statistical re-development. In addition, user requests are reviewed from time to time to determine which tabulations are frequently requested and, on the basis of this, which tables might be added to the standard outputs.

The satellite status of the operation does not hinder the success of the Centre in terms of getting respondents to complete questionnaires. The Aeronautics Act provides the Centre with appropriate "muscle" to ensure high rates of response e.g. air carrier operations can lose their license for failure to provide the required information.

NOTES ON THE SCIENCE STATISTICS CENTRE

General

The Science Statistics Centre is a satellite unit of Statistics Canada which is located in accommodation adjacent to that occupied by the Ministry of State for Science and Technology. The centre is part of the Statistics Canada organization, reporting through the Director, Education, Science and Culture Division. The satellite was formed approximately five years ago, after the parties agreed that a body which was more closely related to MOSST would better meet the needs of that group, and at the same time be able to carry on as usual with other users. The move to the satellite location took about eight months, after the decision to relocate was reached by Statistics Canada and MOSST. The centre's budget for 1981/82 shows expenditures totalling $369,500, and a staff of eleven people (one ES-6, seven SIs, three CRs).

Management Structure and Responsibilities

The Science Statistics Centre is part of the Statistics Canada organization structure (Education, Science and Culture Division), and reports through a Director and ACS to the Chief Statistician. The Centre is managed by the Chief, Science Statistics Centre who reports to the Director, Education, Science and Culture Division. A new "Memorandum of Agreement" between Statistics Canada and MOSST has been drafted to, among other things, involve both departments more formally in the establishment of goals and objectives. This agreement states that "on matters affecting the overall relationship of the Science Centre with MOSST, such as the annual review of goals and objectives, the Chief, Science Statistics Centre, will interact with the Director, Program Review, or other designate of the Ministry of State for Science and Technology". The agreement also states that the Chief or his designate will "co-operate with" the appropriate MOSST designate on matters related to operation of the Centre in support of MOSST projects.

The agreement further states that the specific annual goals and objectives are to be established in February each year, and drafted jointly by the Chief of the Science Statistics Centre, together with the Director, Education, Science and Culture Division (or designate) and the Director, Program Review, MOSST (or designate). The goals and objectives are submitted to the Chief Statistician and the Ministry of State for Science and Technology for approval.

Funding and Resources

The funding of the centre is through Statistics Canada, with no contribution from MOSST. MOSST does, however, provide services such as computer service and messenger service and assumes expenses caused by the physical separation of the Science Statistics Centre from headquarters (e.g. taxi expenses). The annual level of resources allocated to the program is established by Statistics Canada, in the context of the overall priorities of the Bureau.

The 1981/82 budget calls for eleven person years at the Centre as follows:

ES-6 - 1

SI-5 - 2

SI-3 - 2

SI-2 - 3

CR-4 - 2

CR-3 - 1

The total budget for the Centre is $369,500, with 85% of this allocated for salaries. There is no analysis (resulting in research papers, monographs, etc.) carried out at the Science Statistics Centre. Instead, analysis is done by economists working at MOSST.

Program Outputs

The main program outputs are the Annual Review of Science Statistics and the service bulletins (10 per year) entitled Science Statistics. The centre also provides a report to each of the four provinces who are surveyed to determine their scientific activities. There are also a set of annual tabulations which are jointly sponsored by MOSST and Statistics Canada, and which are in typed form rather than in the typeset form of a STC publication. The centre also handles special requests from the user community; both those involving the mail-out of data in hard copy form, and those requiring retrieval from a data base.

Support Services

Many of the services provided to divisions of Statistics Canada at headquarters are also employed by the Science Statistics Centre. Thus, the Systems Development Division of Statistics Canada provides a computer programming service for the Centre. However, systems personnel from MOSST are also available for consultation and provide services without cost to the satellite. The computer hardware at MOSST is at the disposal of the Statistics Centre; a factor which facilitates the timely completion of some computer runs since it is not necessary to compete for computer time with other divisions of the Bureau.

The satellite operation must still meet the standards of the Publication Board for catalogued publications, and employs the printing, distribution, and marketing operations of Statistics Canada in bringing their bulletins to fruition. The User Services Division of Statistics Canada also handles some rudimentary requests for Science Statistics, with more detailed requests being directed to the subject-matter area.

Problems Leading to Initiation of Satellite

The problem which led to the initiation of the satellite operation was disagreement on who should undertake the survey of scientific activities in the Federal Government. The disagreement involved MOSST, the Treasury Board Secretariat, and Statistics Canada, and it was felt that the best compromise would be to have the two departments work more closely in the development of science statistics. A certain amount of animosity had also developed between a unit of MOSST and the Science Statistics Section because of the dispute concerning jurisdiction over the survey.

Costs and Benefits

The new arrangement results in better communication between the supplier of data and the major user. This is actuated through the increased contract on a day-to-day basis which results from working in close proximity, and through formal arrangements for joint participation in decision-making. The satellite operation also enables the STC staff to employ MOSST computer resources (human and hardware), and this helps with the timely production of program outputs.

The negative aspects are the distance from Statistics Canada, and the concomitant isolation of the Science Statistics Centre staff. People working at the Centre tend to lose touch with events at headquarters, and are less likely to find out about promotion possibilities, or make personal contacts which might give them access to jobs in the broader Statistics Canada setting.

Consultation with Users and Contact with Respondents

The Science Statistics Centre does not hold extensive consultations with users with the intent of revising the questionnaires or outputs, partly because there simply aren't the resources to implement much change to the existing system. An Interdepartmental Committee on Science Expenditures (ICSE) meets periodically and its interest is primarily in the surveys of the Federal government. Other than this, consultation takes place on an ad hoc basis. MOSST is certainly perceived as the most important data user by the centre - they have responsibility for the development of science policy in Canada.

The separation of the Science Statistics Centre from the main body of STC personnel does not affect the credibility of the program in the eyes of the users or respondent. The questionnaires go through Statistics Canada printing process, and outputs are identifiable with the STC headings. Most people don't even realize that the Science Statistics Centre is located at MOSST.

Involvement of MOSST in "Day-to-Day" Activities of the Centre

The Science Statistics Centre has made efforts to involve MOSST in more of the planning activities of the Centre. Personnel at MOSST have changed since the inception of the Centre, and there is less interest in Centre among the new staff. There is close collaboration on the survey of Federal Government expenditures on Science (in effect, this is the MOSST survey). While products are released as "joint publications", this is more for the sake of expendiency, and does not necessarily reflect joint participation in development of the products. In an attempt to further involve them in the activities of the Centre, MOSST staff have been asked to sit on selection boards for the staffing of some of the Science Statistics Centre positions.

NOTES on the Centre for Justice Statistics

GENERAL

The Canadian Centre for Justice Statistics is a satellite of Statistics Canada which reports, through the ACS, Social Statistics to the Chief Statistician but which receives direction from the Justice Information Council, a body consisting of all Deputy Ministers responsible for justice, along with the Chief Statistician. The Centre is in its embryo stages at present, having begun operation on June 1, 1981. The establishment of the satellite operation has given the Justice group, formerly a Division within Statisticis Canada, a much higher profile with the user community, and much greater participation of users in setting the objectives and priorities for justice statistics.

MANAGEMENT STRUCTURE (1) (see attached organization chart)

The management of the Centre has been changed considerably since the group became a satellite operation. While the Chief Statistician is still, ultimately, accountable for the efficiency and effectiveness of the Centre, there is a Justice Information Council (JIC) which is the final advisory authority for the establishment and review of programmes, budget allocation, priorities and performance. The JIC is a high-powered group, consisting of the provincial Deputy Ministers responsible for Justice, the federal DMs, and the Chief Statistician. Since the provinces are both major suppliers and major users of justice information, their participation on the JIC serves the dual functions of ensuring that they have input to the decision-making process for justice statistics, and ensuring their commitment to supplying the information on which the statistics are based.

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(1) This section has borrowed from the Report of the Implementation Work Group on Justice Statistics. The reader should consult this document if more information is required on details of the management structure, precise terms of reference of management groups, etc.

The major departure from the former Justice Statistics Division situation is that this organization was not subject in any explicit way to guidance, review and assessment by the justice community across Canada. In addition to the JIC functions outlined in the preceding paragraph, the Council also has a role in mediation and in recommending corrective action when problems arise affecting the overall performance of the Centre. Further to this, the JIC is responsible for conducting an independent evaluation of the Centre after three years of operation.

In order to enable users who are not part of the federal or provincial hierarchies to input to decision-making, a National User Advisory Council has been proposed. The reporting structure of this group has not yet been established.

The committee of Liaison Officers reports to the JIC, and represents the interests of each of the Deputy Ministers across Canada responsible for justice. They act as focal points for communication, as spokesmen for their jurisdictions, and monitor the extent to which the Centre develops in accordance with expectations.

Finally, the Program Development Committees, established in each sector, develop program proposals, based on the identification of needs i.e. data that are useful and relevant. These committees are composed of a programme coordinator from the Centre, user representatives who are relevant to the particular sector, and other experts as required. The Program Development Committees represent the formal structures for "working level" groups, and would be responsible for such things as recommending that new programmes be undertaken, and reviewing and assessing options for the content, collection and presentation of data in order to ensure the best program plan.

While the various committees and the JIC enable users to input to the planning and priorities of the Centre, the "day-to-day" decisions of the satellite operation are handled from within. Thus, they would not get involved in decisions on such items as publication formats or edit specifications, unless these were having a detrimental impact on achieving the more general objectives of the Centre. In terms of staffing, the hiring function is handled by the Centre, except for the most senior position. The Executive Director of the Centre was hired through an interview group consisting both of Federal and Provincial Deputy Ministers (as well as the Chief Statistician). Other senior managers were hired jointly by Statistics Canada and the Public Service Commission.

INTERNAL ORGANIZATION

An important feature of the new organization was that management responsibility for Justice Statistics within the Bureau was no longer at the Director level, but took on more of the appearance of a corporation structure with the appointment of an Executive Director. This removed the old Justice Division from the limiting controls of being a Division, and reporting through the DG and ACS to the Chief Statistician. The Executive Director now reports through the ACS, Social Statistics to the Chief Statistician, and has a much higher profile, both within and outside Statistics Canada. He/she is also able to relate directly to the Justice Information Council, of which the Chief Statistician is a member.

Another salient aspect of the internal organization is its division into two main operational areas - one responsible for the provision of technical assistance to justice jurisdictions in the development of information systems that feed the national statistics programmes. The other, responsible for the development and operation of the national statistics and information programmes themselves. Thus, unlike many Divisions within Statistics Canada, the Centre for Justice

Statistics is armed to provide those who furnish the statistics with considerable technical assistance.

FUNDING AND RESOURCES

A considerable increase in the budget of the Centre is foreseen over the next few years. At the beginning of 1981/82, the Centre was funded for 54 person years, but by the end of the fiscal year, the staff is expected to reach 74. In dollar terms, the operating budget will rise from approximately $1.9 million (based on 54 person years) at the beginning of 1981/82 to $3.5 million in 1983/84(2).

The funding for the Centre comes from federal sources - Statistics Canada, the Solicitor General and the Department of Justice. In the past, Statistics Canada has assumed the lion's share of funding.

PROGRAM OUTPUTS

The Centre is still "feeling its way" on initiating program outputs, but has already developed an important product which reflects a new role in the user community. This is a newsletter called "Just Info" which serves as a vehicle for communicating news on such topics as personnel, meetings, program changes, release of publications, etc., to the data users. The Centre also puts out a service bulletin called "Juristat" which serves to provide early release of data. The emphasis is on getting the basic data out, and letting users know that there is more available if they want it.

In addition to the above program outputs, the Centre releases the usual catalogued publications. A number of non-catalogued publications are also planned for the future.

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(2) Note that this increase is largely attributable to the revised programs of the Centre, and is not simply due to its establishment as a satellite.

SUPPORT SERVICES

The Centre employs the service areas of Statistics Canada, in a manner similar to regular Divisions. Thus, it is able to employ personnel such as methodologists, analysts, and programmers from the Bureau, as well as using the computer facilities, and the publication, distribution and marketing services. If necessary, however, they have the authority to go outside Statistics Canada for services. The "Report of the Implementation Working Group" states explicitly that the Executive Director "is free to use outside services when internal (Statistics Canada) services are not available in time or adequate in terms of quantity or quality". So far, the services have been provided quite well by the Statistics Canada service areas, and it has not been necessary to look elsewhere for help. Still on the subject of services, it appears that the satellite status has given the group more leverage in dealing with some of the cumbersome regulations which govern Statistics Canada and its service areas e.g. the Centre was able to obtain accomodation concessions and a cover design for some of their products which go beyond the scope of existing rules.

PROBLEMS LEADING TO INITIATION OF SATELLITE

The problems which led to the desicion to form a satellite are numerous and are enumerated in detail in the Centre's documentation(3). To summarize some of the difficulties alluded to, it would not be unfair to say that a crisis situation, built up over a number of years, made the establishment of a satellite or similar operation the only viable way of "getting back on course". There were problems in setting priorities, as there was little consensus on what these should be, and how much emphasis should be given to corresponding programs. The programs themselves were not meeting the needs of users because of such problems as poor quality data, failure to take into account the requirements of special interest groups, and lack of communication. Worse yet, some of the most fundamental data on the amount of crime in Canada were not available, and it was difficult to get support for improvements since the Justice Division was accorded low priority as a subject-matter area within Statistics Canada; competing for attention with the high profile economic statistics programs.

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(3) See "The Future of National Justice Statistics and Information in Canada", Report of the National Project on Resource Coordination for Justice Statistics and Information.

A succinct summary of the inadequacies of the ongoing programs can be found on page 9 of the discussion paper "National Justice Statistics and Information", dated January 15, 1981:

> "The shortage of resources within both Statistics Canada and respondent agencies, and related failure to obtain or apply high level commitment; reliance on provincial governments for data which, despite commitments to provide them, have been unwilling or unable to do so; the lack of forums to build consensus on statistical priorities and technical standardization; insufficient assignment of costs in proportion to benefits; lack of consistent or timely evaluation; inefficient or ineffective conversion to automation in some areas;
> uneven development with shifts of personnel, policies and priorities; failure to benefit from trade-offs between census and sample data, micro and aggregate data, and from data directly acquired if not respondent submitted; failure to communicate between disciplines, levels and jurisdictions; failure to develop strategies to overcome the effects of a veto by a single jurisdiction on an otherwise cooperative effort."

COSTS AND BENEFITS

The Centre for Justice Statistics has only existed, as a separate body, since June 1, and consequently it is too early to get a handle on all of the costs and benefits of the satellite; some will only be known when the satellite has been operating for a longer period of time. This is evidenced by the fact that no deleterious effects of the satellite move are evident at this time. There are however, a number of benefits already noticeable as a result of the organizational change. The centre now has much better communication with users than before, and is very much "a part of the justice community" rather than a solely an arm of Statistica Canada. Their new status permits them to have a higher profile, both inside and outside of Statistics Canada. The management of the group by an Executive Director, and the participation of the Chief Statistician on the Justice Information Council contribute to greater attention, from Statistics Canada, on the priorities and concerns of the Centre.

CONSULTATION WITH USERS AND CONTACT WITH RESPONDENTS

The establishment of the Centre for Justice Statistics, and the concomitant organizational framework has provided a structure for much greater participation of users in the planning process. The dual participation of many groups, as both suppliers and users of data, ensures their co-operation, as long as they feel that the product of their efforts in furnishing information is useful.

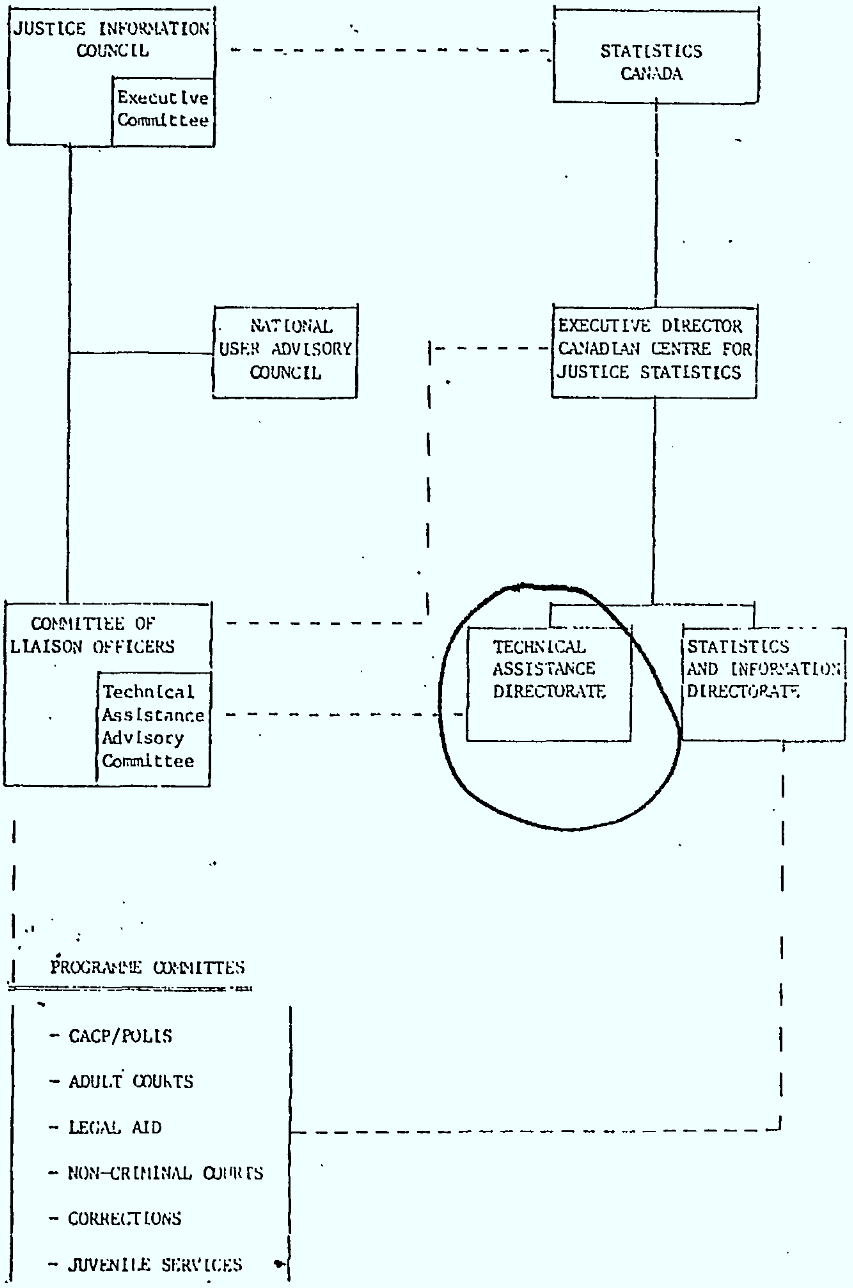
No problems, either with perceived breach of confidentiality by data suppliers, or with difficulties in dealing with respondents are foreseen as a result of the change from a Division to a Centre.

RESOURCING AND STAFFING

July, 1980	Confirmation of funds to be provided by Statistics Canada, the Ministry of the Solicitor General and the Department of Justice for a basic budget for the Centre.
October, 1980	Hiring of an executive search agency for the recruitment of an Executive Director.
January 28, 1981	Approval by Cabinet of the joint submission by the Department of Justice, Ministry of the Solicitor General and Statistics Canada for additional funds.
January, 1981	Appointment by Statistics Canada of a personnel team to assist in the classification and staffing procedures.
April, 1981	Appointment of an Executive Director.

ATTACHMENT

THE PARTNERSHIP


JUSTICE INFORMATION COUNCIL
Executive Committee
STATISTICS CANADA
NATIONAL USER ADVISORY COUNCIL
EXECUTIVE DIRECTOR CANADIAN CENTRE FOR JUSTICE STATISTICS
COMMITTEE OF LIAISON OFFICERS
Technical Assistance Advisory Committee
TECHNICAL ASSISTANCE DIRECTORATE
STATISTICS AND INFORMATION DIRECTORATE
PROGRAMME COMMITTES
- CACP/POLIS
- ADULT COURTS
- LEGAL AID
- NON-CRIMINAL COURTS
- CORRECTIONS
- JUVENILE SERVICES