

# Indian Social Services Development



Indian and Northern  
Affairs Canada

Affaires indiennes  
et du Nord Canada

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| EFFECTIVE<br>DATE: March 31, 1988 | SUBJECT:<br><br>SOCIAL SERVICES DEVELOPMENT | NO:<br><br>SD-SSD-04 |
| REPLACES: NEW                     |   |                      |

1.0 Purpose

To describe policy and procedures governing the management of requests from bands and band organizations for assistance with the development of social services projects or organizations and delivery systems.

2.0 Authorities and References

- Treasury Board Minute 547716, March 17, 1960
- Treasury Board Minute 627879, July 23, 1964
- Order in Council PC 1965-11/2135
- Treasury Board Minute 725973, April 1, 1974
- 1965 Canada/Ontario Indian Welfare Agreement
- G-1 Circular, May 1st, 1982

3.0 Scope

- Applies to both Region and District Offices

4.0 Definitions

- Social services development may be defined as a process of designing, planning and implementing a specific project on a demonstration basis, or a program of on-going services. It can be divided into three distinct phases for purposes of evaluation and funding:
  - a) pre-planning - that stage in which a band or group of bands prepare a planning/design proposal and budget request for departmental (and other department/ministry) funding;
  - b) planning/design - that phase in which bands or band organizations carry out research in consultation with their membership and prepare a service model and implementation plan and budget;
  - c) implementation - that stage in which bands or band organizations establish the proposed delivery system according to a phased implementation plan and begin operations.

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5.0 Management Policy

The Social Development Program is prepared to respond to band initiatives both by facilitating discussions with other departments, ministries and agencies (as appropriate in relation to the nature of the initiative) and by contributing directly to the cost involved in the phases of the developmental process (where the initiative involves the eventual delivery of a program which is cost-shared under the 1965 Agreement).

The intention is to provide concrete support which, in line with general departmental social development policy (e.g. G-1 circular), are likely to ensure services required are available, to increase the cultural appropriateness of existing services, and to transfer higher levels of service control from government to bands.

The Program is prepared to endorse an initiative in principle by contributing directly to pre-planning and planning stages. However, the Program is not thereby agreeing to a contribution to any subsequent stage unless and until terms and conditions of each prior stage are met and funds are available.

6.0 Responsibilities

6.1 Bands/band organizations are responsible for the preparation of pre-planning proposals and for demonstrating member support for the planning initiative. They are also responsible (with assistance where appropriate) for initial contacts with other relevant departments, ministries or agencies in terms of communicating their interests and obtaining initial expressions of support.

6.2 District social development staff are expected to ensure bands are aware of these policies and procedures, to assist (when requested) with the development of the initial proposal and contacts with other parties likely to be involved, and to keep Region apprised of developments taking place.

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6.3 Regional staff will assist District staff as required and, in consultation with bands, District staff and other parties, will recommend proposals for funding.

7.0 Procedures

- 7.1 Bands/band organizations will prepare a request for pre-planning funds which clearly specifies objectives, tasks, activities, time frames and budget required to produce a planning proposal as well as the appropriate indication of member support (BCR or BCR's). (see attached).
- 7.2 District/Region staff, in consultation with the band(s) and other relevant parties will review the proposal. If acceptable, every effort will be made to obtain funding from the other parties and, at a minimum, an expression of support for the initiative in principle.
- 7.3 With approval at this stage, bands will prepare their planning/design proposal within the time-frame agreed to with District/Region assistance as requested and required. The planning proposal will clearly specify the objectives, tasks, activities; time-frames and budget required to carry out the intended planning/consultation exercise.
- 7.4 District/Region staff, in consultation with the band(s) and other relevant parties, will review the planning proposal. If acceptable to all parties concerned, a specific cost-sharing arrangement or arrangements will be prepared. INAC will not provide 100% of the planning funds required and will provide no planning funds if there is no authority eventually to provide operational funds for the services being planned for (e.g. Health).
- 7.5 With approval, agreements and planning funds in place, bands will undertake the planning proposed within the specified time frame and prepare, as the required product, a detailed organizational design, implementation plan and budget (see attached for details).

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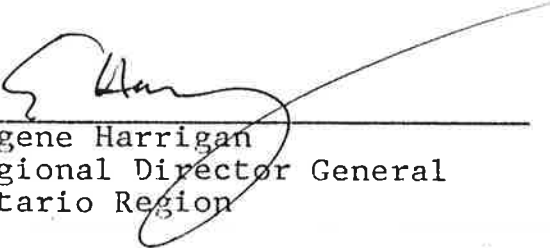
- 7.6 District/Region staff will sit on an advisory committee with the band(s) and other relevant parties during the planning process to review work reports, provide advice and to assist in dealing expeditiously with problems as they arise.
- 7.7 District/Region staff, in consultation with the band(s) and other relevant parties, will review the program design and implementation plan submitted. No implementation will take place until approvals and agreements and implementation/operating funds are in place.
- 7.8 Authority to proceed to implementation will normally be under agreement with a specific provincial ministry (child welfare, young offenders services, welfare administration, day care, etc.) with sharable costs covered by the 1965 Agreement. There may be a department agreement required to cover a direct "municipal share" or to provide for specific items of implementation. In any case District/Region staff will review any proposed agreement and be involved in negotiations when there is an ultimate department financial liability (eg. under the 1965 Agreement).

8.0 Enquires

Regional Office

General - Tom Goff, Director  
Sioux Lookout, Peterborough, West - Craig Hinchey  
James Bay, London, Brantford, Bruce, Sudbury - Ram Chopra

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March 31/88  
Date

## INDIAN SOCIAL SERVICES DEVELOPMENT

The historical record demonstrates that there has not been a clear or consistent approach to social services development. In some cases the initiative has been Indian/Provincial, in others Indian/Federal. In some instances, INAC has been able to provide a level of developmental funding that has helped to ensure a thorough pre-operational planning and costing process; in other cases, bands have moved quickly to a service delivery stage in the absence of separate and sufficient planning/consultation funds. There has been no clear, operational definition of development; nor are there guidelines for the use of Regional/District and Indian staff to effectively govern funding levels for development, expectations of the developmental process or negotiations at various points within the process.

What data is available suggests that development cost has varied considerably, partly because, in the absence of a clear management framework, development funding has been confused with operations funding, operations have begun with incomplete planning, planning has been poorly designed and elements have had to be repeated at additional cost, etc..

As a result, the management capability and service effectiveness of existing agencies varies considerably. Given these problems, it is essential that:

- a) the development process be clearly defined,
- b) specific "products", time frames, decision points be built into each development agreement,
- c) development and operations be handled by separate (or sub-) agreements and that no actual service be funded until the planning process has been adequately completed.

### Development Defined

The development process can be defined in terms of three basic phases: pre-planning, planning and implementation. Each of these phases results in specific product(s) which can serve as the basis for a decision to proceed to a subsequent phase.

## 1.1 Pre-planning

Pre-planning can be defined as that phase of development during which a band or a group of bands establishes a set of objectives, time frames, work plan and budget for planning. Conditions for funding this initial phase include a) expression of community support for the initiative and b) demonstration that the band(s) have the capacity to manage a planning process. Funding requirements are minimal; an amount sufficient to support the efforts of one employee/consultant for three to six months with clerical assistance to:

- carry out initial consultation with community representatives, officials of relevant departments, ministries, agencies, concerning interest, program criteria, degree of support, etc.,
- collect and review existing documentation on the development of other services/service organizations, etc.,
- clarify initial goals,
- develop a planning and consultation workplan with specific time frames and specific objectives, and to,
- develop a planning budget request.

In presenting the workplan the basic product of the pre-planning phase, the band(s) should demonstrate:

- that they have a clear grasp of the matters that must be addressed in the planning phase (organizational modelling, recruitment and training, consultation process, budgeting, services, service standards, etc.,
- that they have conceptualized a structure and process through which the planning can be accomplished effectively and efficiently and in clear consultation with those they are and will be accountable to,
- that they are prepared to consider a range of services and of alternative delivery approaches in relation to their specific circumstances and environment (provincial legislation, existing sources of service, geographic distribution of population, number of communities involved and population, etc.) and in recognition of the need for economy,

- that they have firm support of the community(ies) to proceed to the planning phase and a reasonable degree of community commitment to eventual implementation.

The planning proposal then becomes the basis for negotiation of entry into and funding of the planning phase of development. In responding to the proposal, a number of factors must be considered; namely, the quality of the work plan in terms as described above, the acceptability of the budget, the range of services to be planned for and, thereby, the other departments, ministries and agencies implicated and the jurisdictional questions to be addressed.

Where a number of parties may be involved, the department can play a lead role in bringing all to the table to negotiate roles and responsibilities and a funding package.

The department is prepared a) to refuse funding for the planning phase if previously agreed pre-planning objectives are not met, or b) to provide limited additional pre-planning funds where it can be demonstrated that the failure to complete the work was a result of uncontrollable factors.

## 1.2 Planning

The planning phase of development is then funded under a contribution arrangement which specifies precise objectives to be achieved within specific time frames. No additional funds will be made available except in relation to new or additional objectives, or in recognition of uncontrollable factors that hamper the realization of initial objectives. Funds provided in this phase are for planning only and not for implementation of service delivery.

The products expected of the planning phase are an organization and service delivery model, an implementation plan, an implementation budget, a projected post-implementation, multi-year operational budget, and a clear expression of community support for the implementation plan. Elements to be covered during the planning process would include:

- clarification of goals and objectives,
- determination of legal, program and funding authorities that may have to be sought,
- design of a governing, management, administrative and financial structure,
- development of the policy framework and procedures,



- consideration of the degree of service formalization required in terms of culture and community size/structure,
- description of the range of program/services to be delivered and determination of specific service standards, service indicators and service organization,
- review of services available or potentially available and sources of funds to be co-ordinated,
- staffing requirements/job description,
- initial training requirements and subsequent, on-going professional development requirements,
- outreach activities proposed,
- relationship between member bands and agency,
- research activity,
- evaluation activity,
- case management system and records,
- proposed relationships with federal and provincial governments, departments and agencies, and the ongoing roles and responsibilities of these parties,
- implementation organization, process and budget,
- rationale for proposed delivery system in terms of need and cultural requirements in relation to other possible arrangements and fiscal consideration.

A crucial element in the planning process in terms of successful implementation, given recognition of Indian political systems, cultural heritage and community size, is the community consultation process involved. The proponent should demonstrate a clear commitment on the part of the bands to the model developed and the implementation plan in relation to other possible models or the status quo. The planning process should also include continuous consultation with the relevant provincial ministries in terms of the delegation of provincial authority involved, and with all funding sources in relation to the range of services to be implemented.

Factors to be considered in the negotiation of a planning budget are:

- the number bands involved and their geographical distribution/location,
- the range of services it is tentatively proposed to implement and/or co-ordinate through an agency,
- the time frame required to complete data collection and analysis, to generate alternative models, to undertake consultation and to develop an implementation plan.

### 1.3 Implementation

At the conclusion of the planning phase the proponent will submit a clear description of the model proposed, evidence of community support for the model, the rationale arguing the superiority of the model over other options, the phased implementation plan, the implementation front-end budget and the projected operational budget.

The Department can play a lead role in co-ordinating the negotiations that involve other departments/ministries/agencies. Negotiations will cover both funding requested and specifics of the plan in terms of management framework, services, service standards, program integration, reporting, monitoring and evaluation, etc. in relation to relevant ministry/department requirements.

A request for implementation funds will be denied if the plan submitted does not meet previously agreed to expectations. Additional, limited planning funding will be provided if it can be demonstrated that uncontrollable factors inhibited effective completion of the planning phase.

Any agreement reached at this stage should clearly distinguish between upfront implementation funding and phased-in operational funding, should specify time frames for the completion of implementation activities and the initiation of each area of service delivery, and should specify the conditions under which additional implementation funds may be available.

The implementation phase of development will likely vary in several dimensions depending on the scope and range of service delivery to be initiated or transferred, the nature of the plan submitted and approved, decisions to proceed on some fronts leaving others to further planning and subsequent negotiation, etc. At one extreme an agency may have developed a full-service model, may wish to negotiate all relevant matters with all parties and may wish to proceed to full implementation. Other agencies may propose a limited service model for initial implementation, leaving open the possibility of future development toward a broader service model. It is also possible that some bands may propose a purchase of service model whereby they gain a degree of control of service definition and standards through control of funding for services provided by existing agencies.

Implementation funding (as opposed to operations) cannot easily be reduced to a formula, given that the critical up-front costs of establishing offices, case management systems, staffing, training, etc. will vary considerably with the particular model, range of services to be implemented and the time frames involved. A possible approach would be to focus on the projected annual operational budget (based on per capita limits, unit prices, level of need, etc.), deducting amounts for the elements of service delivery which will not be initiated until a specified date and adding specific, identifiable up-front costs (eg. training, equipment purchase, etc.).