+Resolution and Individual Affairs

Summative Evaluation of the Contributions to Indian Bands for Registration Administration (1570-7/09054)

APPROVAL DATE: 24/09/10

PROJECT RECOMMENDATIONS	ACTION PLAN	EXPECTED COMPLETION DATE	PROGRAM RESPONSE
1. RELEVANCE			
AANDC should review the role that Indian Registry Administrators (IRAs) play in the administration of the Indian status card as part of the registration process, given the new security context of the SCIS.	With the implementation of the new Secure Certificate of Indian Status card, the security context has increased for the CIS and SCIS issuance processes, as well as the registration process and the Indian Registry System. Therefore, in the short-medium term, we will focus our efforts towards improving accuracy of the data and protection of the personal information in the Indian Registry System (IRS). We will review all Users, including IRAs, of the IRS to assess the reason for access and the level of access.	October 2010	**Status: Completed** **Update As of 30/09/2011:** By September 30, 2011 54 accounts were closed and 28 new accounts were created. New directive on Indian Registration and System Access was issued on September 14, 2011. New access requests to IRS must include completion of questionnaire and Access Request Form to be signed by Registrar.
	With the implementation of the proposed *Indian Act* amendments (McIvor decision – Bill C-3), it is proposed that the IRAs will assist applicants in filling out their forms and sending it to the Winnipeg Processing Unit established to deal with the projected 45 – 65K applications.	December 2010	**Status: Request to Close (Completed)** **Update/Rationale:** **As of 30/09/2011:** In the new model, IRAs will **not** be required to assist applicants in filling out their forms. IRAs may choose to assist or refer client to the 1-800 numbers for assistance. IRA Focus Group on C-3 Form held December 8, 2010. Presentations on C-3 implementation made to regional IRA (540 IRAs) meetings Jan-Mar 2011.

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	Although the Secure Certificate of Indian Status (SCIS) national deployment model is not finalized, it is envisaged that some IRAs may have an active role. They may be requested to take ICAO standard photographs, photocopy or scan ID documents, help fill out applications and send documents, including original birth certificates, to the SCIS Intake centre.	September 2010	**Status: Underway** **Update/Rationale:** **As of 30/09/2011:** IRA's will play a role assisting applicants to fill out forms. SCIS intake by IRAs implemented in Alberta in Treaty 7 area, October 2010.
	A communication plan will be developed to inform Regions and Chiefs and Councils of any changes that may result from the review of access and use of the IRS, and role in the registration and SCIS processes.	October 2010	**Status: Completed** **Update/Rationale:** **As of 30/09/2011:** Strategy developed in October 2010 for Treaty 7 SCIS and national implementation. **AES: To be closed**
2. DESIGN AND DELIVERY			
2A. DESIGN AND DELIVERY AANDC should refocus the Program, ensuring that the design and delivery processes in place are appropriate to provide accurate, timely and complete Indian Registry Information and that the	As part of the RPMI, there will be an examination of current processes procedures at the national, regional, and IRA levels to develop simplified, standardized and more efficient	August 2010	

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objectives of the Program are clearly articulated and communicated.	processes and procedures. The RPMI will:		
	o Identify any quick fixes or improvements that can be implemented immediately.	April 2010 and ongoing	**Status** : **Underway** **Update/Rationale (as of 31/03/2012):** Numerous quick fixes and improvements were implemented, such as new policies or procedural directives. There is a process in place to communicate new policies and procedures to both HQ and regional staff. The Regions are responsible to inform all IRAs when policies and directives are applicable. As new directives are being implemented, the Table of Content is updated to reflect changes. The directives are then shared with staff to ensure that they are aware of changes.
	o Update the processes and procedures and standardize across the country.	March 2011	**Status** : **Underway** **Update/Rationale (as of 31/03/2012):** Started in May – September 2010, new standardized processes and procedures have been developed and implemented for HQ registration process. An examination of regional processes was initiated in Alberta Region in August 2010. New process map and procedures were completed and fully implemented in June 2011. The review of the remaining Regions is planned for 2012-2013: BC, Winnipeg, Quebec and Atlantic.
	o Implement national training; and update training modules to reflect changes.	June 2011	**Status**: **Underway** **Update/Rationale (as of 31/03/2012):** Some Common Reference Tools have been developed and shared with Regions as issued. Common Reference Tools will be made available on the

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			AANDC Intranet Site for registration staff in Spring 2012.
	o Standardize HQ functional guidance in terms of training module content and delivery.	June 2011	**Status**: **Underway** **Update/Rationale (as of 31/03/2012):** A Training modules are being developed for implementation in Spring 2012 such as Entitlement for CR-04, PM-01 and PM-03.
	o Develop common reference tools based on modernized registration processes developed in the Winnipeg and HQ Units.	June 2011	**Status**: **Underway** **Update/Rationale (as of 31/03/2012):** Elements/components of the PMS have been developed such as Service Standards. September 2012.
	o Implement a Performance Measurement Strategy for the registration process.	March 2011	**Status**: **Underway** **Update/Rationale (as of 31/03/2012): New funding was approved from FMC in October 2011.** Partial implementation – awaiting the completion of essential components of the PMS. Monitoring & Compliance Unit was created in November 2011 and became operational in January 2012. As well, Quality Assurance Officer positions were created and staffed in January 2012.
	A Quality Assurance program unit will be		**Status** : **Underway**

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	set up to review all inputs into the IRS and a Monitoring and Compliance program will verify accuracy of data and processes in collaboration with Audit and Evaluation Sector.	December 2010	**Update/Rationale (as of 31/03/2012):** On August 8, 2011, the C-3 Winnipeg and HQ Processing Units were amalgamated into OIR. Registration for Bill C-3 applicants is now standardized into one seamless process with application for the SCIS issuance.
	In line with a three year vision to integrate registration and SCIS issuance into one seamless process. The RPMI is working closely with the SCIS project and Winnipeg Processing Unit to ensure a smooth integration of the three initiatives into one seamless process. A communication plan will be developed articulating the new vision and objectives.	October 2010	**Status** : **Underway** **Update/Rationale (as of 31/03/2012):** Vision communicated through regional visits and presentations on Registration Modernization /C-3/SCIS implementation to all Regions and IRAs. **AES: Most actions implemented - Recommend to close.**

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2B. DESIGN AND DELIVERY AANDC should take steps to address the backlog and give consideration to closing incomplete files where applicants have not contacted the IRA or AANDC within a specified period of time.	The current RPM initiative will examine and reorganize the way the workload is managed and establish a prioritization system.	August 2010	**Status** : **Request to Close (Completed)** **Update/Rationale (as of 31/03/2012):** Processes mapped and refined. Implemented First-in, First-out (FIFO) policy, and a Service Standard to process Registration within six months. Entitlement backlog eliminated in March 2011. Backlog in Adoptions has been eliminated in January 2012.
	As we develop processes and procedures we will institute a file closure policy where files with no response or inactive files within 3-6 months will be closed depending on the document requirement.	November 2010	**Status** : **Request to Close (Completed)** **Update/Rationale (as of 31/03/2012):** Implemented BF 90 & 120 Day policy. If no response within a BF period, the file is closed. If a response is received within the period, the file is integrated into workload (FIFO).
	Working closely with the IT team, we will improve IRS coding to capture adequate data which provides statistics. This information is required to address backlog strategically.	August 2010	**Status** : **Underway** **Update/Rationale (as of 31/03/2012):** Requires system modifications. Immediate action is being taken to ensure IRS stabilization (short-term). In the long-term a strategy to reengineer the IRS will be developed.
	The new processes and procedures, national training program, and Quality	December 2010	**Status** : **Completed** **Update/Rationale (as of 31/03/2012):** Changes

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	Assurance program will help increase productivity and improve client service. A communication plan will be developed around these procedural changes, as well.		communicated through training on Policies & procedures/ Directives. **AES: Most actions implemented – Recommend to close**
2C. DESIGN AND DELIVERY Depending on any re-design of the program, AANDC should: i. address the recruitment and retention issues surrounding competent IRAs.	(i) Recruitment and retention issue is primarily linked to compensation formula of the Program and other factors. For example, there has not been a salary (compensation) review since 1993. In conjunction with the review of the role of the IRA with respect to registration and SCIS issuance, we will engage with	December 2010 November 2010	**Status : Complete** **Update/Rationale (as of 31/03/2012):** Report was provided to Regions for distribution to IRAs for comments and suggestions by December 2011. Comments received will be considered should there be a decision to pursue program redesign. **Status : Underway** **Update/Rationale (as of 31/03/2012):** Review of role of IRA in SCIS is ongoing and will be communicated to IRAs and stakeholders in

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ii. provide guidelines and common tools to ensure consistency and rigour, as well as national training and regular functional monitoring for all IRAs.	Regions, Chiefs & Councils and IRAs to develop recommendations to address this issue. (ii) A noted above (2A), a new robust Monitoring & Compliance, Quality Assurance units and national training coordinator position.	December 2010	advance of national rollout of SCIS card. **Status**: **Request to Close (Completed)** **Update/Rationale (as of 31/03/2012):** A new Monitoring & Compliance Unit (9 FTEs) Quality Assurance Officer positions (4 FTEs), as well as Complex Case Management Unit (SCIS) (11 FTEs) was established in November 2011 and became operational in January 2012.
	Manuals and common training tools will be provided towards implementing a modernized, standardized approach, including continuous functional guidance.	June 2011	**Status** : **Underway** **Update/Rationale (as of 31/03/2012):** Work on manuals started. Scheduled for completion by Spring 2012, with on-line training modules as well as intranet access to Common Reference Tools. **AES: Most actions implemented – Recommend to close**
3. ACCOUNTABILITY			
AANDC should develop a performance measurement strategy to guide monitoring and reporting activities and to support decision-making and effective, efficient resource use.	To work with Audit and Evaluation Sector and as part of the RPMI, to develop Performance Measurement Strategy. 1. Set up a Quality Assurance Unit through which will check accuracy of data of current Registration, Winnipeg and	December 2010	**Status** : **Request to Close (Completed)** **Update/Rationale (as of 31/03/2012):** Quality Assurance positions created in Entitlement and C-3 teams. Quarterly reporting will start in June 2012.

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	SCIS workloads based on risk analysis approach. Will provide a monthly report and suggest adjustments, if required. 2. The current Registration, Winnipeg, and SCIS units, will also submit similar dashboard to allow us to assess progress and resources utilization.	October 2010	**Status**: **Completed** **Update/Rationale (as of 31/03/2012):** A new common dashboard has been implemented for OIR/C-3/SCIS.
	3. There will be regular monitoring and compliance reviews of HQ, Winnipeg and Registration units, regional staff, and IRAs.	November 2011	**Status: Underway** **Update/Rationale (as of 31/03/2012):** It is being implemented for HQ, Regions and IRAs. Annual review of HQ, region and IRAs events, with quarterly reports starting in June 2012. **AES: Most actions completed – Recommend to close**
4. SUCCESS AND IMPACTS			
AANDC should develop a common job description for IRAs, clarifying their registration responsibilities.	A draft job description is being prepared and will be revised to reflect any change of roles and responsibilities of the IRA, including the decisions of IRA in SCIS issuance.	March 2011	**Status**: **Pending Implementation** **Update/Rationale:** **As of 30/09/2011:** Report has been provided to Regions for distribution to IRAs for comments and suggestions by December 2011. The results will inform the review of the IRA program and development of new job description.

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			AES: Progress sufficient, close.
5. COST-EFFECTIVENESS			
5A. AANDC should look at the feasibility of encouraging bands to pool resources and funding to attract and retain competent, full-time dedicated IRAs.	Under Program Authority Renewal, consideration will be given to including a new program incentive element to encourage retention of IRAs. We will also review the feasibility of Bands to pool Resources or increase role of Tribal Councils to provide the service. With a clear role and adequate salary, training, tools and equipment, IRA's may choose to stay longer in their positions.	January 2011	**Status : Underway** **Update/Rationale (as of 31/03/2012):** Report has been provided to Regions for distribution to IRAs for comments and suggestions by December 2011. The results will inform the review of the IRA program and development of new job description. Only the following three Regions have submitted comments for consideration: British Columbia, Saskatchewan and Manitoba Regions. Upon finalization of role of IRA and job description, a decision on program authority redesign may be considered. Any proposed changes to the IRAs Program will be shared with Regions and IRAs for comments. **AES: Sufficient progress done and moving in the right direction – Recommend to close**
5B. AANDC should review the per event portion of the formula to ensure that	This will be dependent upon the results of the examination and modernization of	January 2011	**Status : Underway** **Update/Rationale (as of 31/03/2011):** Report has been provided to Regions for distribution to IRAs

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IRAs are compensated for the actual cost of their tasks.	the role of the IRA and creation of new job description. We are also examining the possibility of incentives.		for comments and suggestions by December 2011. The following three Regions have submitted comments for consideration: British Columbia, Saskatchewan and Manitoba Regions. The per event portion of the formula may be impacted by the agreed upon roles and responsibilities of IRAs, as noted above. **AES: Sufficient progress done and moving in the right direction – Recommend to close**
6. SPECIAL CONSIDERATION			
AANDC needs to have a well-established validation/verification process in place to ensure the accuracy of the registration recorded in the IRS.	See Reponses in Recommendation 3.	November 2010	**Status**: **No Action** **Update/Rationale:** **As of 30/09/2011:** No comment provided. **AES: It is recommended that this recommendation be Closed.**