Volume III

Scenarios

October, 1996
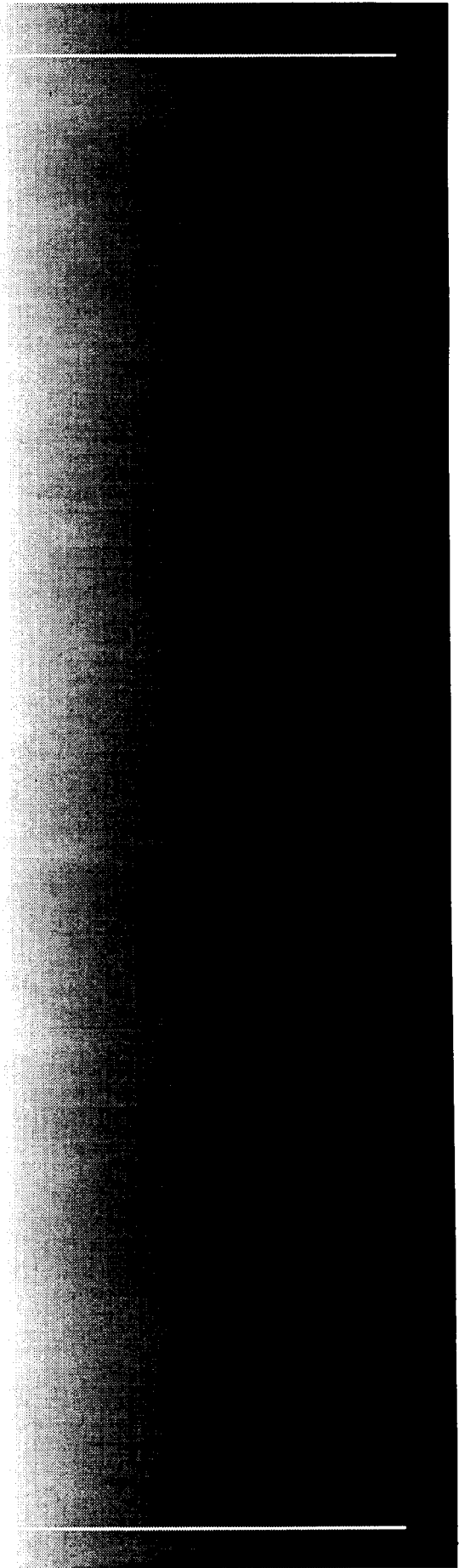
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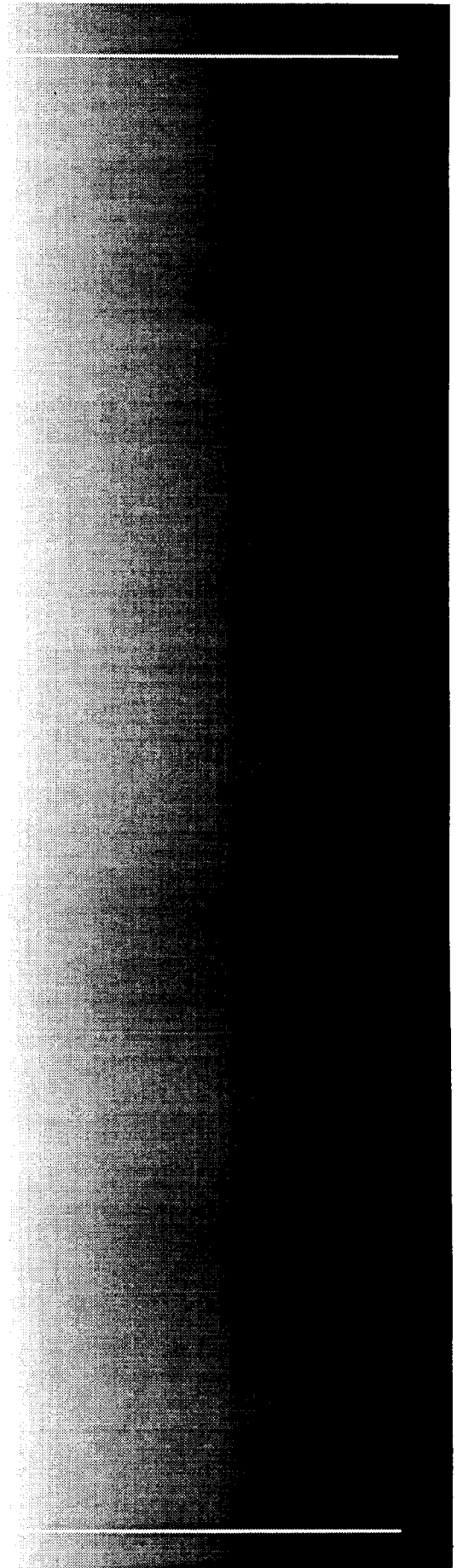
Foreword

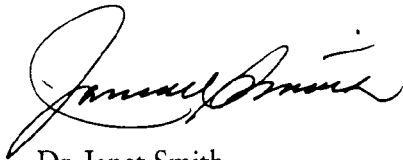One of the things the Task Force learned from the case studies and the conversations with many practitioners and decision makers was that a precursor to significant change toward citizen-centred service was a clear picture of the current situation that needed to be improved. In other words, a mirror had to be held up and looked at before change was seriously considered. In the case of Services New Brunswick, it was the by-now famous story of the 13 forms and permits required in a specific but unknown order, from seven different departments, for a person wanting to open a corner store/gas bar. Similarly, the organizational inertia in Health and Social Services was broken in P.E.I. by painting a clear picture of what it was like, from a youth's point of view, to obtain services from government.

To recognize the range of complex government roles and activities, the Task Force selected four topical areas of service that overlapped jurisdictional lines, challenged citizens and users of government service, and touched on both transactional types of services and the regulatory, public good, role of government. Exploratory discussion papers were developed in the areas of government services to youth, senior citizens and mining companies, as well as the intergovernmental co-operation to provide clustered and convenient transactions to citizens.

It must be made clear that the authors of these studies were asked to explore the particular client group's or citizen's point of view only. In the case of the mining industry, for example, there are many other important viewpoints, such as those of naturalists, economic developers and environmentalists, that were not examined but certainly could have been.

The discipline of examining services from the citizens' point of view rather than from the point of view of the service provider was sometimes uncomfortable and challenging for many people. This convinced me even more of the importance of becoming citizen-centred in our approach to government activity.
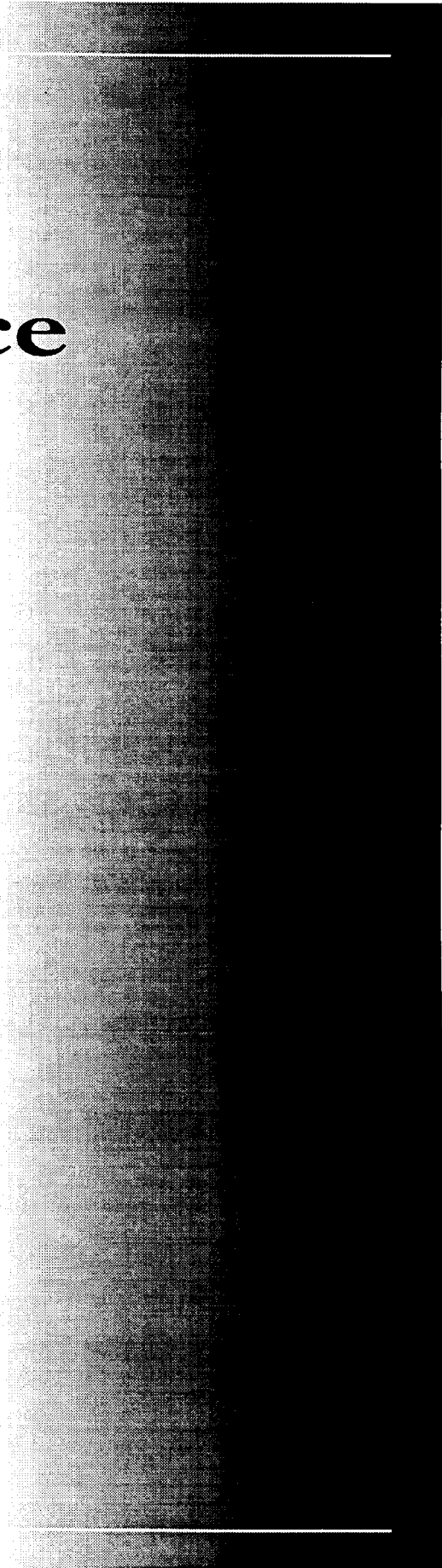
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Chair, Task Force on Service Delivery

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Senior Service Delivery Project

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1.0 INTRODUCTION

1.1 Objective

The objective of this report is to examine the current state of delivery of services -- particularly government services -- to seniors, and to evaluate options for enhancing the quality and efficiency of service delivery by adopting a concerted client focus. This will entail a review of the needs of seniors, describe the current services and service providers, and propose a model for future service delivery which includes strategies for both integrating access to, and clustering of, services for seniors.

1.2 Context

This is a challenging task at any time, but the current environment makes it even more so: a rapidly aging population, a baby boom generation poised to take on the responsibilities of caring for their parents, changing family support structures, changing roles of women and governments, a retrenching public sector leading to fiscal restraint and so on.

This environment is further complicated by a number of other factors: the concept of a "seniors" client group is far from having a clear definition; there is no generally agreed upon age threshold, although 65 is often considered to be an "entry" point into the cohort; the "needs" of seniors can vary dramatically across the full range of social, health and economic requirements; the nature of these needs is typically correlated, although not perfectly, with an age-dependency continuum; services are provided by all levels of government, the voluntary sector and the for-profit sector; this broad range of service providers lacks coordination; and quality standards are often poorly defined, particularly across community and provincial boundaries.

From the perspective of the senior and their immediate advocates – family, friends and caregivers – the prospect of accessing required services in the current system can appear daunting. With age, the senior faces the prospect of growing reliance on others for their well-

being. This reliance can start with friends and family but ultimately is likely to evolve into the realm of institutional and community based-care. In 1993, the National Advisory Council on Aging (NACA) estimated that 500,000 seniors required substantial support for daily living activities either in their community or in institutions. Up to 80% of seniors received help with at least one activity, including grocery shopping, housework, meal preparation, yardwork, managing money and personal care (1985 data). By 2031, NACA estimates that 1.5 million seniors will require substantial support. [1]

At the same time that needs for increased support are emerging, the system may grow more difficult to comprehend from the client's perspective. The increasing complexity relates to the increased needs of the seniors and therefore the number and scope of service providers which must be accessed to meet those needs. This necessitates a better understanding of the myriad of service providers.

There is often a tendency by policy and program stakeholders to carve seniors' issues out of the broader societal context within which they actually fit. This can lead to programming and service delivery which provides only partial solutions and serves to create the perception of a system that is meant for seniors but in fact does not fully integrate services to meet their real needs.

The delivery of services to seniors has been examined by many organizations -- government, academic, service providers, seniors' advocates -- but typically not from a comprehensive client focus. Many studies have looked at the issue from the perspective of cost reduction or fiscal restraint, regulatory reform, organizational structures of service providers, role of the public vs. private and third sectors and so on.

While these dimensions of the issue are critical to the perspectives put forward in this paper, from an analytical perspective they are here subordinated to the focus on the client.

At the most basic level there are four simple elements in the seniors' service delivery equation:

1.   The definition of the client group and their needs. For the purposes of service delivery, is the seniors cohort to be defined on the basis of an age threshold or on the basis of some broader group of characteristics?
2.   The mechanisms by which seniors, their families and other parties access the services they require.

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[1] National Advisory Council on Aging, 1993. Aging Vignettes.

3. The range or clusters of services that fit within the service delivery framework.
4. The actual delivery of services.

Focus of This Paper

While this paper addresses all four of these elements, when it comes to new approaches, it focuses on the middle two, integrated access to services and clustering of services, rather than the actual delivery of services; that is, from the senior's perspective, how can a wide range of services be accessed in a convenient, reliable and efficient fashion?

This is not in any way to suggest that the actual delivery of services is optimal. Rather, it is recognized that the issue of quantity and quality of services is constantly changing and the outcome of many competing pressures within the public sector, and between the public and private sectors. It would be beyond the scope of this paper to attempt to comment on that delicate balance. This being said, it is apparent that in many cases resource efficiency could be enhanced through rationalization of services and coordination among service providers.

Implementation of an integrated access and clustered services model would require detailed planning across jurisdictional boundaries as well as coordination among levels of government and service providers outside the public sector realm. Implementation raises important funding issues as well. While these issues are noted, there is no attempt to deal with them exhaustively or to provide implementation plans. Both are seen to be largely beyond the scope of this paper.

The remainder of the paper is organized as follows. The next section addresses the nature of the problems encountered in currently accessing services for seniors. It asks, Who is the client? What are their needs? And how are they currently serviced? The answers to these questions form the basis for the discussion of new service delivery principles and parameters in the third section. This section of the paper examines an integrated access model which builds on an infrastructure that exists to greater or lesser extents in many communities. The final section of the paper addresses next steps and implementation issues.

2.0 SERVICES TO SENIORS: CURRENT STATE

In order to consider new approaches to accessing seniors' services, it is imperative to first understand how service delivery currently works from the seniors' perspective. In this section we briefly review the client needs, who the clients are, and how their needs are serviced. This section ends with an analysis of the problems and issues in the service delivery process and infrastructure, setting the stage for a discussion of service access parameters and principles and new approaches in the following sections.

i)   What are the clients' needs?

Seniors have a full range of needs covering the health, social, financial and other service areas. Many of these are similar to the needs of any member of society: shelter, food, income, transportation, health care, leisure, entertainment and so on.

Others are specific to the needs of the aged person: retirement planning, assistance with activities of daily living (personal hygiene, dressing, physical movement), socialization and role readjustment, bereavement counselling, assisted home support and so on.

Chart 1 illustrates the full range of service needs of seniors; it is designed to be indicative rather than exhaustive. For illustrative reasons, the chart begins to cluster services into groups – institutional care, transportation, pensions and income, discretionary activities and so on.

What is perhaps most important about the chart is what it implies but does not illustrate directly: the composition of service needs changes with the degree of dependence of the senior.

ii)   Who is the Client?

Given this age-dependence continuum, it is useful to pause and ask who the client is. At the broadest level, are we working with <u>all</u> seniors regardless of their ability (and desire) to fully

Chart 1 - SENIORS' SERVICE NEEDS

Seniors and their families

Transportation

Institutional Care
- homes for aged
- nursing homes
- chronic care
- respite care

Community Care
- drug programs
- physician/nursing/other health disciplines
- health promotion

Other Services
- legal, safety
- financial retirement planning
- insurance

Housing

Employment

Pensions/Income

Discretionary Activities
- education
- entertainment
- travel

Chart 2 - SENIORS CONTINUUM

Institutional Levels of Care
- Chronic Care
- Long-term residential care
- Nursing Homes
- Homes for the Aged
- Hospital

Community-based Levels of Care
- Volunteer-based services, e.g. meals-on-wheels, friendly visiting, telephone reassurance
- Physician services, other allied health professionals
- Visiting homemakers
- Specialized community supports
- Transportation
- Supportive housing

Entitlements
- Federal: OAS, GIS, CPP, Veterans Affairs benefits
- Provincial: Provincial benefits, social assistance, drug benefit program, assistive devices program, etc.

Discretionary Services
- Education
- Financial Counseling
- Travel
- Employment
- Recreation
- Entertainment

AGE

DEPENDENCE

service their own needs? Or are we speaking of some subset of seniors that is identified by particular age (in this context what is the age of entry into the seniors' cohort?) and/or needs characteristics?

From the perspective of needs, it is apparent that the "seniors" cohort -- or for the purposes of this paper, the seniors' client group – as defined by some specific age threshold, is not a homogenous group.
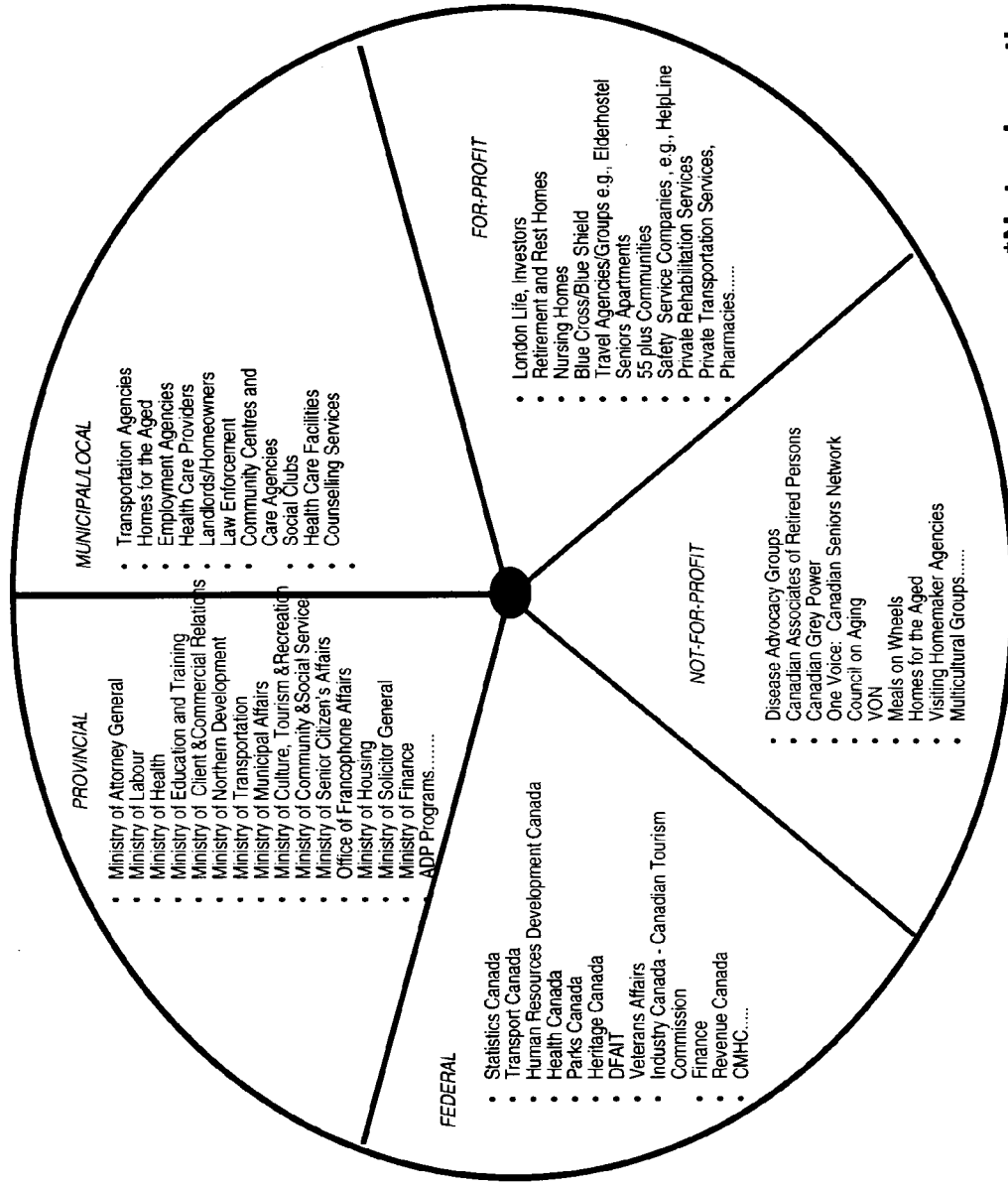
While age is the most commonly cited indicator of a senior there is little broad consensus as to what the age threshold should be. Some individuals categorize themselves as seniors when their age provides them with commercial "seniors' discounts," and this can be as early as age 55 in some cases. Others see the definition being aligned with the age of retirement, which is also variable. For purposes of receiving public pensions, the threshold is typically considered to be age 65. Financial institutions offer a variety of "freedom 55" retirement programs which set age 55 as a "target" retirement age.

While age is an important defining characteristic of the seniors' cohort, whatever the entry threshold, needs will vary significantly from the normal requirements of a physicially fit senior, to potentially greater institutional requirements of an incapacitated individual. Ages for this may be anywhere from 55 to 105 years. More generally, within any age boundaries, seniors will be heterogeneous with respect to financial status, educational and cultural background, physical and mental capabilities, and family/community support needs and so on. An age threshold, while useful in general terms for defining the cohort, is likely to be less helpful in terms of directing the design of an integrated service access capability.

To begin to bring this heterogeneity into relief in a way that it can be used in considering integrated service access models, it is useful to look at the way needs change, in general, with age. Although there are a number of ways to look at this, one which is very relevant to the service delivery issue is dependence. Typically, for seniors, age is positively correlated with growing dependence – the age dependence continuum – and growing dependence is associated with particular needs.

Functional dependence/physical and mental well being, can be characterized by the level of assistance required from others for routine activities of daily living. Within the seniors cohort, there are individuals, typically at the lower end of the age spectrum, who are healthy and have no functional impairments. With age, individuals begin to require assistance with activities such as home making and grocery delivery, they need certain and simple access to their financial means, including public pensions, and ultimately they may become fully dependent on others for cognitive and bodily functions. With increased dependence, the client may become the senior's family or other caregivers who are accessing resources on behalf of the client.

Chart 3 - CURRENT SERVICE PROVIDERS

PROVINCIAL

- Ministry of Attorney General
- Ministry of Labour
- Ministry of Health
- Ministry of Education and Training
- Ministry of Client &Commercial Relations
- Ministry of Northern Development
- Ministry of Transportation
- Ministry of Municipal Affairs
- Ministry of Culture, Tourism &Recreation
- Ministry of Community &Social Service
- Ministry of Senior Citizen's Affairs
- Office of Francophone Affairs
- Ministry of Housing
- Ministry of Solicitor General
- Ministry of Finance
- ADP Programs......

MUNICIPAL/LOCAL

- Transportation Agencies
- Homes for the Aged
- Employment Agencies
- Health Care Providers
- Landlords/Homeowners
- Law Enforcement
- Community Centres and Care Agencies
- Social Clubs
- Health Care Facilities
- Counselling Services

FOR-PROFIT

- London Life, Investors
- Retirement and Rest Homes
- Nursing Homes
- Blue Cross/Blue Shield
- Travel Agencies/Groups e.g., Elderhostel
- Seniors Apartments
- 55 plus Communities
- Safety Service Companies , e.g., HelpLine
- Private Rehabilitation Services
- Private Transportation Services,
- Pharmacies......

FEDERAL

- Statistics Canada
- Transport Canada
- Human Resources Development Canada
- Health Canada
- Parks Canada
- Heritage Canada
- DFAIT
- Veterans Affairs
- Industry Canada - Canadian Tourism Commission
- Finance
- Revenue Canada
- CMHC......

NOT-FOR-PROFIT

- Disease Advocacy Groups
- Canadian Associates of Retired Persons
- Canadian Grey Power
- One Voice: Canadian Seniors Network
- Council on Aging
- VON
- Meals on Wheels
- Homes for the Aged
- Visiting Homemaker Agencies
- Multicultural Groups......

*Not exhaustive

Chart 4 - CURRENT SERVICES

MUNICIPAL/LOCAL

- Transportation
- Accommodaion
- Employment
- Health Care
- Law Enforcement Services
- Entertainment/Socialization
- Counselling
- Respite Care
- Family Violence/Elder Abuse
- Prevention
- Palliative Care/hospice

FOR-PROFIT

- Financial Counselling
- Social Activities
- Retirement and Rest Homes
- Nursing care
- Insurance
- Travel
- Seniors Apartments
- Safety Services
- Private Rehabilitation
- Private Transportation
- Prescriptions

PROVINCIAL

- Permits/Licenses
- Education/Information
- Tuition Support
- Financial Support
- Funding for other services
- Regulations/Standards
- Transfer payments

NOT-FOR-PROFIT

- Support
- Information, Education
- Public Awareness
- ResearchSupport Fundraising
- Nursing Care
- Meals on Wheel
- Supported Housing
- Visiting Homemakers
- Multicultural. Support.....

FEDERAL

- Statistics
- Permits, licences
- Education, Information
- Regulations/Standards
- Transfer payments
- Funding for other services
- Pensions, UI, OAS,. GIS, CPP Disability
- Benefit
- Passports

*Not exhaustive

Chart 2 further refines the clusters of seniors' service needs identified in Chart 1– grouping them into four categories – and plots them against an "age-dependence" continuum. The clusters of needs which then translate into service requirements are positioned along the continuum. Moving up into the northeast quadrant of the continuum, the nature of service needs moves away from *discretionary* type services – education, travel – and towards the less *discretionary* types of care services such as nursing homes and homes for the aged. The chart reinforces the notion that seniors are not a clearly defined or homogenous client group in terms of their service needs.

For the purposes of this paper, it is sufficient to raise the issues around the definition of the client group. There are two reasons that there is no need to precisely delineate boundaries for the cohort: first, the integrated access model which will be proposed below is predicated on access to clusters of services which depend on need not upon age (for example, a person in their mid fifties could access the service, as could a grandchild to meet the needs of their senior); second, the proposed model would allow for direct access to service providers therefore not fostering a senior classification system which limits client access.

iii)   Accessing Services - Who provides what services now?

Charts 3 and 4 present a scan of existing service delivery organizations (categorized by level of government, the for-profit and the not-for-profit sectors) and the range of services provided.

Chart 3 illustrates organizations or individuals involved in providing services to seniors. The chart presents the organizations as they are captured within their jurisdictional or sectoral boundaries. Chart 4 presents the services that these same organizations provide. It is the latter aspect which is often most important to seniors. By the accounts of these two charts, a comprehensive set of services and service providers are available to seniors.

The delivery of services has shifted in recent years towards increasing emphasis on meeting the holistic needs of the senior. Holistic, in its broadest definition, means a comprehensive range of services which meets emotional, physical, social and financial requirements. Given such a wide range of requirements, needs often continue to be met, out of necessity, by a large number of distinct service providers. This wide number of providers has been fostered by specialization and "turf" protection.
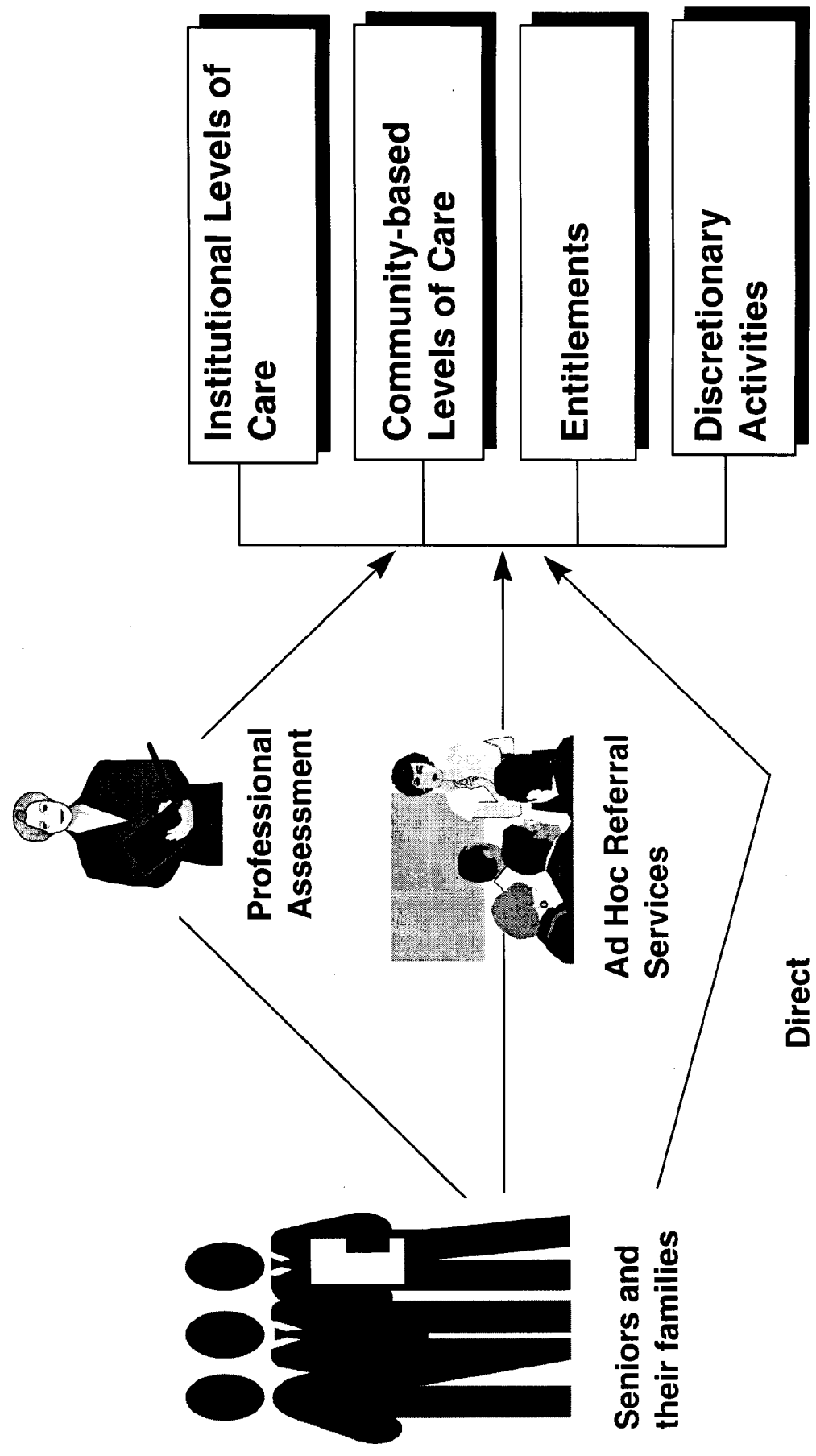
Clusters of Services

Generally, services or service providers have not been grouped or clustered. The providers have remained largely independent with often competing or overlapping services. To aid in the discussion of this report we propose a new classification system to group service

Chart 5: CLUSTERS OF SERVICE NEEDS

Institutional Levels of Care

- Chronic Care
- Long-term residential care
- Nursing Homes & Homes for the Aged
- Hospital

Community-based Levels of Care

- Volunteer-based services, e.g. meals-on-wheels, friendly visiting, telephone reassurance
- Physician services, other allied health professionals
- Visiting homemakers, nurses, etc.
- Specialized community supports
- Transportation
- Supportive housing

Entitlements

- Federal: OAS, GIS, CPP, Veterans Affairs benefits, UI, CPP Disability Benefit
- Provincial: Prov. benefits, social assistance, drug benefits, assistive devices program, etc.
- Municipal: social assistance

Discretionary Activities

- Education
- Employment
- Recreation
- Entertainment
- Financial Counselling
- Travel

Chart 6 - Current System of Direct, Assessment, Ad Hoc Referral Access

Institutional Levels of Care

Community-based Levels of Care

Entitlements

Discretionary Activities

Professional Assessment

Ad Hoc Referral Services

Seniors and their families

Direct

providers in four clusters. These clusters were presented in Chart 2 and are again identified in Chart 5 to assist in understanding what services may be provided at different phases in the age/dependency continuum. The four clusters are *institutional care, community based care, discretionary* services, and *entitlements*. While it should be recognized that certain service providers may provide services in more than one of the clusters, the service clusters illustrate the complexity of services which are necessary to meet the client needs.

Institutional care providers are typically accessed within an institution or facility. An institution may be a building, a hospital or long-term care facility such as a nursing home, home for the aged (in Ontario these two groups are called long-term care services) or group homes. Often health care and assisted living services are provided in institutions.

Community-based health care providers include community health centres, adult day care programs, homemaker services, home nursing services, and so on. The medical and multidisciplinary providers are geared to deliver services geared to health promotion, active assessment and treatment, and maintenance or supportive care. The "community-based" social service providers include community centres, not for profit and volunteer organizations and are geared to ensuring support for seniors in the community. These may include meals on wheels, social outings, friendly visiting, transportation etc.

Entitlement programs/providers provide services such as public pensions, welfare, unemployment insurance and drug benefits.

Discretionary programs and services include travel, education, recreation, social, financial, employment, entertainment. These programs while tailored to the needs of seniors, are often similar to programs targeted in the broader population.

Access to Services

Services may be accessed directly, via a referral or via a professional assessment. See Chart 6 for Current Service. Direct access means that an individual can go directly to the service provider to receive service. Referral to a service implies that an individual or agency must forward the name to a provider and that the provider can not be accessed directly.

Assessment access means that the client must be seen by a designated professional prior to accessing the service. This assessment may be done for a particular purpose, for example an evaluation of health status, physical or emotional needs, occupancy requirements, age or income. Often assessments are done to see if a person really needs the services they are requesting (e.g. a long-term care bed) or could other volunteer or community services be provided (e.g. home making visits to assist the individual to stay out of an institution).

Institutional care services previously have not been accessed in a comprehensive manner. Seniors accessed the services directly, via a referral from a friend or an assessment through their family physician or hospital. In an acute hospital, assessments are performed by physicians, social workers and other health professionals. These determine the immediate service needs of a client and what further action needs to be taken either for health care services or for community supports for return to the prehospitalization accommodation. If long-term institutional care is required, waiting lists are often long and unmanaged. Previously financial compensation influenced the location of a vacant institutional bed rather than actual need.

Community-based services include financial and employment counseling, education, transportation, recreation/entertainment, socialization support, supportive housing and home support. The latter may include congregate or delivered meals, housekeeping and yard work, household repairs and maintenance, and shopping assistance. These providers may be accessed directly or via a referral from another individual or organization. Some of these service may only be accessed through a professional assessment and may have age or income eligibility criteria.

Entitlements programs like public pensions, welfare, unemployment insurance, some drug programs and so on must be accessed through application by the senior. Typically there is little coordination among levels of government or between government departments in the provision of these entitlements to seniors. Moreover, when the senior moves, a number of government organizations need to be notified of the move separately by the senior.

The senior may identify their service needs independently or in conjunction with their family, other supportive persons, or through professional relationships such as their family physician or their visiting nurse. When the senior or their advocate tries to access the necessary services to meet their needs they are confronted with the confusion of a wide range of providers and access requirements. This confusion may grow as the senior proceeds along the age-dependence continuum. Access may not be straightforward.

For example:

> Professional health care, counseling and homemaking staff must be accessed through a professional assessment. In many instances professional practitioners may be gateways to other practitioners where an assessment is performed again (as in the case of a physician being required to refer someone to a physiotherapist).

> For services that require eligibility criteria an assessment may also be done to confirm the information documented on the application form. This may require a review of

occupancy status (checking your utility bill address), confirmation of age (viewing of your birth certificate) and determination of income (verifying of your income tax status).

There are a great many services which require no assessment of any sort. Access is accorded via the ability to pay.

Other agencies may not charge a financial fee but expect a return exchange of services; for example, in the Brandon Seniors Coop you are expected to perform a specific number of hours of service in return for services received.

This variety of service providers and different methods of accessing them may be confusing, inefficient and frustrating.

In a number of communities or agencies there are activities occurring which foster some orderly and coordinated approach to accessing services. Health care facilities and community-based agencies (e.g. VON) have initiated case manager or discharge planner positions which help a senior and their family decide what services are best for them.

In July 1994, Ontario finished phasing in 36 Placement Co-ordination Services designed to approve and co-ordinate admissions to nursing homes and homes for the aged, now renamed "long-term care" facilities. Other provinces have considered similar services to improve the coordination of access to necessary resources.

In addition, seniors are often referred to Regional Geriatric Assessment Programs or Regional Geriatric Rehabilitation Programs. These programs include a review of the patients physical status, and recommendations for additional services which may enhance the client's status. In the latter program rehabilitation services are provided to assist the client become more functionally independent and return to their previous environment with home supports or an environment which requires less professional support.

In the community, there are a number of ad hoc needs assessment and referral activities. These include: Seniors Centres Information Booths, Advocacy groups (Seniors Home Support, Seniors Outreach Services, Senior Citizen's Council, Disease specific organizations) and informal networking such as at a community card game. These may direct seniors to the professional services but also to meal services, social/recreational activities or organize friendly visiting, safety telephone calls or homemaking assistance.

In a number of provinces Community Information Centres (CICs) have been established. CICs are voluntary organizations that exist in varying degrees of formality and comprehensiveness in most communities. They are typically funded by grants from

local/regional governments, charities, foundations and service clubs and can also generate some revenue through the sale of materials such as manuals and publications.

CICs typically provide information to local residents on available programs and services, usually on the telephone. CIC staff receive training in providing information and referral and have access to a wide variety of information on-site that they can provide to callers. CICs have brochures, guidebooks and manuals available to provide to callers, in addition to a self-maintained electronic data interchange system. This listing of resources is upgraded yearly for print copies and on an as needed bases for the electronic records. CICs have experienced reductions in their levels of funding, and have increased their reliance on volunteers.

iv) Conclusions – The Diagnostic

Demographics are driving a change imperative. Not only is the population aging rapidly, but expectations among this aging population are also high – expectations about the quantity and quality of services and about how they are accessed in an efficient manner. Pressures are emerging as a result of financial constraints, complex jurisdictional/responsibility issues, quality care issues, the changing role of formal and informal service providers and the emergence of and growing reliance on a private sector presence.

The relationship amongst service providers is complicated due to the number and type of providers involved. According to NACA and Home Support Canada, in 1991 there were 1000 home support agencies in Canada. The number of home support workers and services increased by at least 50% in the past decade and is expected to continue to rise. The informal network has historically, and continues to, provide 80% or more of all the care used by older persons and enhances the professional services available in the community.[2] With the increasing demographics, there will be more informal providers accessing services. All seniors are involved in some form of entitlement assistance and therefore at some point either directly or indirectly access the entitlement service providers. It is difficult to determine the number of discretionary service providers who cater to seniors. Overall, it can be seen that there is a very wide scope and large number of service providers trying to meet seniors' needs.

Providers cross numerous organizational and jurisdictional lines; from public sector to the private sector; from municipal/local/provincial to federal governments; services span needs ranging from employment, through retirement planning to bereavement counseling and home care. Factors such as jurisdictional boundaries and conflicts, political will, tradition and

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[2] National Advisory Council on Aging, 1993. Aging Vignettes.

multiple government department involvement have contributed to slow development of policies and procedures for coordinating the seniors access system.

While efforts have been made at improving the interface between seniors and the services they require, at this time there is no formal mechanism for coordination on a broad basis, although at the local level there appear to be some successful experiments. The bottom line is that a large number of seniors with a wide variety of service needs must negotiate the maze of an even wider body of providers.

The fact that the seniors cohort is not a homogenous group creates some difficulty in the establishment of a comprehensive service access mechanism. First, it raises issues about the target client group. And second, as the Canadian population ages the characteristics of the seniors cohort (such as education, technological literacy, family support framework, income and so on) are changing.

3.0 CLIENT CENTRED SERVICES: FUTURE STATE

The discussion above suggests that the current service delivery structures raise two fundamental problems for the client. First, within the four main clusters, the senior faces a wide range of choices in the services or products available. While in general consumer choice is a positive, when seniors are confused by the choices, from their perspective choice becomes a problem.

Second, given the wide range of service providers, and the general lack of coordination among them, from the seniors' perspective accessing services can be a time consuming, complicated and confusing task. While this may be a relatively minor issue in the context of accessing some *discretionary* services, it becomes considerably more urgent with respect to *institutional* and *community-based* care services.

Designing a new seniors' centred service delivery model should ultimately take these two problems – lack of rationalization/coordination among services, and the absence of an integrated access capability – into account. In a "perfect" world, a comprehensive model would address both.

However, from the seniors' perspective the crucial issue is access, and that is the larger focus of the remainder of this paper. The potential benefits from rationalizing programming and services across organizations, jurisdictions and sectors are important on a number of counts, but from the client's perspective it may be possible to provide integrated, reliable, efficient access without fully rationalizing the service delivery side of the equation. Our proposed model of clustering these services may be the initial, necessary step in integrating and aggregating service providers and will be expanded upon in the following discussion.

3.1 Objective and Principles

An integrated access model must be designed around a clearly articulated objective or vision.

While much refinement and discussion can go into the objective statement, for purposes of the following discussion, we set the objective as "providing seniors with the option of integrated, reliable and efficient access to a pre-determined set of services."

The actual access and service delivery vehicle needs to be developed around specific policy and service principles. As an overarching guide to these principles, seniors expect that they will be serviced in an efficient manner, treated with dignity, and in a way that respects their privacy and desire for autonomy. In addition, the following principles should be reflected in any new approach to integrated access:

- allow for family involvement with, and on behalf, of the senior;
- reflect the need for full social integration of seniors;
- focus on the senior as an individual;
- provide for equitable access to service;
- build on existing strengths and mechanisms;
- become more responsive to the changing needs of the client in society;
- encourage comprehensiveness, integration and coordination;
- ensure effective and efficient use of resources;
- encompass professional management;
- allow for stakeholder input and direction of the system, and
- encourage portability, mobility and consistency across boundaries.

3.2 Existing Models to Coordinate Care

Many cities, regions and provinces are reviewing the way in which organizations provide service and are experimenting with organizational changes to enhance service.

A recent example of provincial activity has been the Ontario announcement of Community Care Access Centres (CCACs). These centres are designed to coordinate the services of Placement Coordination Services and community agencies (e.g. VON). Other service agencies will not be included. The goal of the new system is easier access to long-term care services. The CCACs will purchase services from community providers with the "objective of obtaining the highest quality service at the best price" while maintaining the valuable contributions made by existing community-based providers and volunteers. This model contains significant opportunities to improve the linkages of nursing care, community

supports, homemakers and long-term care facilities. However, it does not fully integrate all of the services available, nor does it appear to take advantage of existing information systems.

While some jurisdictions have decided to combine all seniors health care under one administration, it does not necessarily mean that jurisdictions that are split are suboptimal. If there is an established split, well-established mechanisms to coordinate services may be present.

3.3 Integrated Access Model Parameters

Research suggests that market segmentation is an essential component in targeting services to meet population needs. These market segments may be defined by age, service needs, income, knowledge/educational experience and so on.

In the case of seniors, this notion of segmentation is important. Earlier in this paper, it was suggested that seniors are not a homogeneous group: within any defined age boundaries, service needs can vary significantly. Moreover, there can be any number of stakeholders accessing services on behalf of the senior, ranging from the senior herself to a family member, a friend, an organization or an institution. It may also be that different access points are appropriate depending on who is doing the accessing.

This report proposes an innovative, generic model for accessing seniors' services in a more integrated fashion. The model is based on three key elements of the service equation that were discussed earlier: client delineation, clusters of services and access mechanisms.

The **client group** is defined, in effect, to be anyone requiring access to those (clusters of) services that are determined to be within the scope of the integrated access model. In this sense, and for the purposes of this paper, the seniors' client group is defined through a process of self-selection – those that seek services through the integrated access window.

The **clusters of services** are based on the four groups outlined above – *institutional care, community-based care, entitlements* and *discretionary* services. While the services within each of the clusters have natural affinities, there are many ways to cluster and there is no inherent reason why the number of groups or the specific services within them could not be modified.

Access mechanisms are the ways in which seniors or their families reach the services they need. As was noted above, currently the means and quality of access are highly

variable by service, community, region and province. In some communities there may be no integrated access whatsoever – seniors are on their own to access services directly; in others access may be somewhat coordinated, but within a range of services that is not comprehensive; finally, there have been attempts at establishing integrated access points – most recently and previously described, the Ontario announcement to establish 43 Community Care Access Centres (CCACs). Client choice must be considered when establishing an access system. Integrated access has many benefits to offer. Nevertheless, some seniors may prefer to seek out information and make autonomous decisions on the identification of their needs and desired services. The model presented below allows for client choice between integrated access and direct access.

3.4 A New Approach to Integrated Access: Building on Strengths

A proposed approach to integrated access is set out in Chart 7.

The proposed model is based on a significantly enhanced role for community information centres (CICs). CICs were previously described in this paper as community based service providers. The rationale for enhancing CICs is the following:

- long history of providing information to the community;
- organizations are already in existence therefore do not need to be established;
- agencies are community based and nonprofit;
- agencies have some of the community data bases already;
- avoids creating more layers or bottlenecks.

In order to provide true integrated access, CICs in many cases would have to be strengthened to provide four main functions: they would assess needs, provide information, make referrals and house the professional assessment services often required for access to *institutional care* (e.g. long-term care where admission to a bed is required) or for more intensive *community-based care* (e.g. seniors' day care). This being said, the intent would be to build on existing capabilities by establishing generic service standard parameters for CICs while encouraging communities to develop structures suited to local conditions and needs.

A critical question in the design and work-up of the integrated CIC model is what services could be accessed through such a mechanism. Here there is a balance to be struck between tailoring to local conditions and needs on the one hand, and, ultimately, establishing some broad national conditions that would enhance mobility of seniors and bring some consistency

Chart 7 - What are the key factors in planning Future Senior Services Delivery Models?

Identification of Key Delivery Parameters

- Seniors collectively? or Senior clusters?

- All services collectively? or Service clusters?

- Assessment? or Referral? or Direct access?

Identification of Service Problems

- No easy way to Receive Information
- Multiple Access Points
- Overlapping/inadequate services
- Bureaucratic hassles
- Varying eligibility criteria
- Multiple assessment points

Identification of Seniors' Needs

to the issue on the other. In this regard, there is, to some extent, a natural ordering of the service clusters identified in Chart 2.

For an integrated CIC to be effective, it should focus on those service clusters which, from the client's perspective are most necessary and most complicated in terms of access. At a minimum, this would include access to the *institutional* and *community-based care* clusters. Integrated access to *entitlements* might also be seen as a major improvement by many seniors. With regard to *discretionary services*, many of these are provided by the private sector and while integrated access may be seen in a constructive light, the role for public funds to support access to such services may be more questionable.

As shown in Chart 7, in an enhanced role the CICs would be a gateway to service providers, although, as noted earlier, the intent would not be to eliminate a direct access capability for those more comfortable with such a system.

It is proposed that a senior or their family could access the CIC directly in person or electronically (phone, fax or internet). The CIC service representative would provide immediate answers/information for straightforward requests, or move to a more detailed needs assessment where necessary.

On the basis of the needs assessment, contacts could be made on the seniors' behalf with appropriate organizations and institutions – as discussed below, an important dimension of this system would be rapid access to information about service providers through on-line data bases. The system could be set up in such a way that the senior agrees to an individually designed action plan – pre-agreed with the service providers – at the time of the needs assessment.

As noted above, certain kinds of institutional and community-based care require professional assessments. Currently these assessments may be arranged and provided in different ways and through various windows. To the extent possible these services could be provided on site in the CIC or, at a minimum, arranged directly and scheduled through the CIC.

The proposed model would also include the enhanced use by the CIC of on-line information systems, linked to service providers in all the clusters. One could develop an integrated computer network with four knowledge servers coordinating information from the CIC and each of the *institutional and community-based service* providers as well as to *entitlement* programs and *other discretionary* activities. At present, all service providers have their own information systems and any sharing of information with other service providers in their clusters or a across clusters takes place on an ad hoc basis. There are no requirements for these organizations to be linked to a central information service with up-to-date information

on services, costs, availability, waiting lists, information on the quality of service (e.g. accreditation results, complaints) and so on.

This model has been discussed with CIC staff in a local community. They are familiar with current directions to improve access to information but at this time have not knowingly been included in any proposals.[3]

How will this Approach Affect Seniors, Families and Communities

Integrated access to services holds the potential for substantially improving the delivery of senior services through the development of increased senior and family involvement, increased integration and coordination, and improved effectiveness in the allocation/coordination of resources to meet local needs of seniors and their families.

- Seniors will get more coordinated and integrated service in terms of institutional health, community assistance and entitlements.
- Local community service providers will be better able to provide a consistent and cohesive approach to service delivery.
- Local accessibility will improve the coordination for seniors who require assistance in correctly identifying their needs and negotiating the maze of service delivery providers.
- Increased reporting of quality measures will lead to a greater concern with outcomes, customer service mentality and costs, and thus provide more effective use of limited resources.
- Increased coordination of services will provide the opportunity to identify gaps or overlaps thereby assisting in the establishment of a full continuum of services offered.
- The frustration experienced with multiple referrals will be reduced as one service coordinates the assessment requirements of service agencies.

Moreover, if such a model were to be replicated across community and provincial boundaries, it could hold the potential for easing cross boundary difficulties when seniors want or are required to move.

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[3] Interview with Katlyn, Community Information Centre, Ottawa April 4.

4.0 NEXT STEPS

Achieving integrated access CICs would require a number of steps. A comprehensive workplan would include not only the requirements for setting up an individual CIC, but the broader service and evaluation parameters for establishing a CIC network. Some of the issues that would need to be addressed will be discussed. These include jurisdictional issues, training, funding, catchment area definition, service coverage, service standards and evaluation parameters.

We believe that the idea of enhancing the role of community information centres is an warrants further investigation. It is generally an untested concept. From a hypothetical model and our limited testing we believe this concept is feasible. It requires an assessment of the capacity and capabilities and government and service provider.

Funding

Funding for CICs is currently derived from a number of sources. As was noted earlier, they are typically funded by grants from local/regional governments, charities, foundations and service clubs and can also generate some revenue directly. The model proposed here would require incremental funding for setup and for operations. In a period of ongoing fiscal restraint the sources of this funding would need to be determined among the stakeholders. It is important to realize that current funding to CICs is being cut and therefore any increase in their services would require additional dollars.

Jurisdictional Issues

A CIC model would require the cooperation of all levels of government at the level of coordinating service delivery, funding, sharing of data and so on. A mechanism would be required for achieving this cooperation. In this regard, it should be noted that the federal government would have relatively little leverage in encouraging the establishment of a CIC network; its funding is indirect and its jurisdictional responsibility is limited.

In addition, the issue of mobility and portability between provinces would need to be addressed.

Training

The CIC must ensure professional and technical staff for program development and evaluation, information and financial systems, human resources planning and training, management and service to the senior.

There are three target audiences for training:

Seniors and their families:

Seniors will need education regarding what services are available and how to access these services. This may include:

- description of the service;
- location of the service;
- eligibility/access requirements e.g. must have referral from family physician, restricted to residents of province, etc.;
- cost structure e.g. hourly fee for service rate, cost per photocopy page, etc.

CIC staff:

Staff providing support to these programs will require training to become knowledge service agents. Training would include:

- description of the services available and their location;
- eligibility/access requirements;
- cost structures of the programs;
- people facilitation skills;
- understanding of social and medical terminology/programs;
- computer technology;
- health and social case management;
- sensitivity training to cultural and social differences among clients and among the various direct service providers;
- resource knowledge seeking skills, e.g. medline, database.

Service Providers:

In order for the service providers to optimize their service capabilities they will require training in:

- the requirements of the Community Information Centres;
- methods of directing seniors and their clients to other service providers;
- knowledge as to what segmentation of the service each provider is assuming and what will be provided by other staff.

Database and Systems Development

A comprehensive, networked database would need to be developed to provide accurate, up-to-date information and, the potential for actual sign-up or request for services. This data base could include descriptions of services, eligibility criteria, costs, availability/wait lists, quality scorecards/evaluation metrics of service providers(e.g. accreditation awards, number of service complaints/lawsuits, etc.).

The necessary information systems would also have to be developed to support the elecronic information sharing and access capability.

- appropriate jurisdictional mechanisms to support the interrelationship between the stakeholders involved (i.e. a clear differentiation and delineation betwen the roles, responsibilities and functions of the service providers, particularly those in the public sector

Catchment Area

It will be necessary to define the geographic catchment area that will be served by the Community Information Centres (larger sub-units are more likely to have expertise, and to be positioned to realize economies of scale; smaller sub-units ensure that the services are in closer proximity to the senior and their families); issues such as restrictions on clients from one catchment area accessing the services of a CIC in another catchment area would also have to be addressed.

Service Coverage

It will be necessary to give consideration to the scope of services to made available through the integrated access model. Will there be an effort to bring all four clusters together in a

comprehensive fashion? Or should there be a narrower focus on services that are typically more difficult or confusing to access?

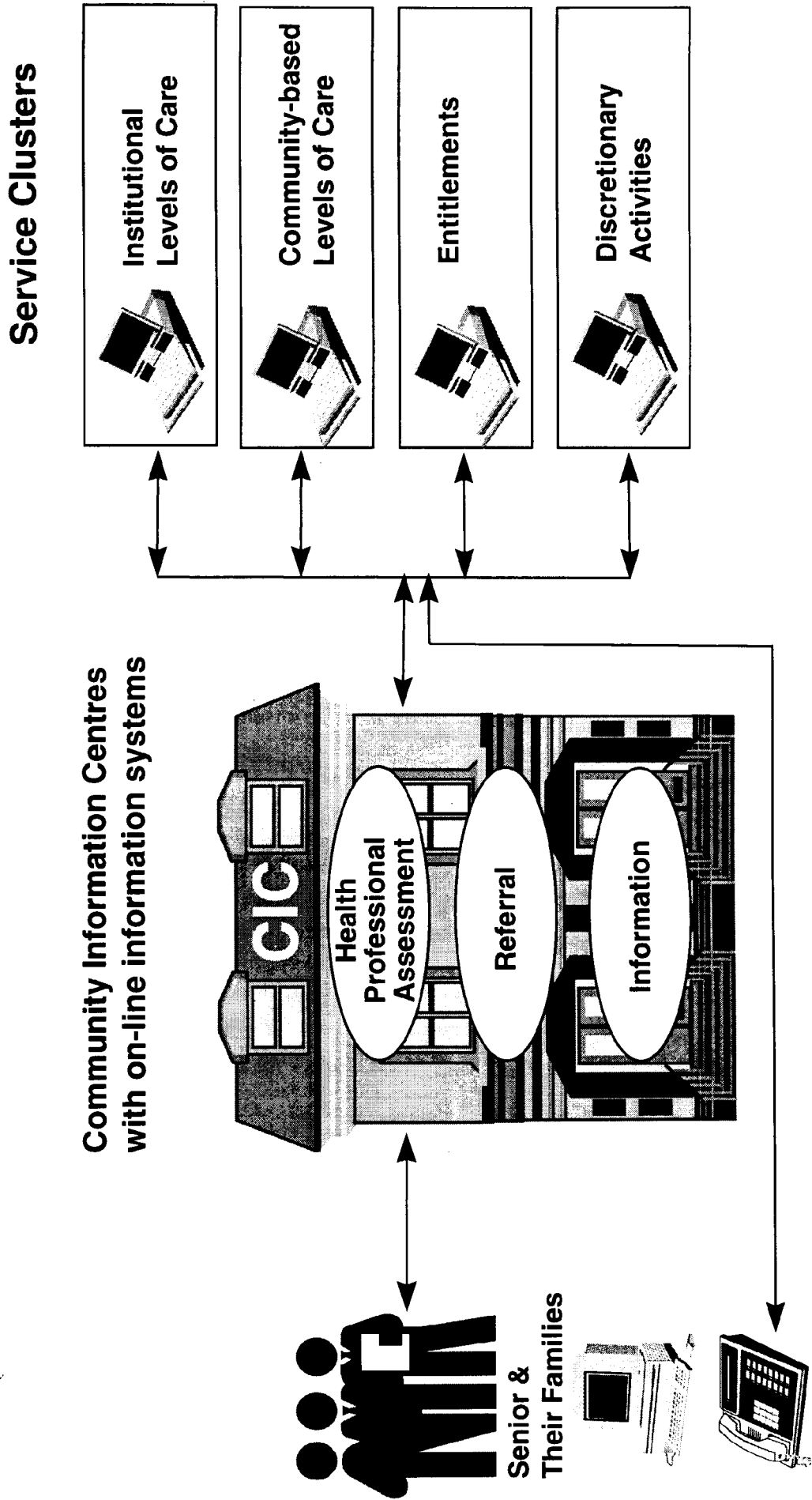### *Service Standards and Evaluation parameters*

Service standards and evaluation parameters will be required, particularly if the intent is to establish a broad network of CICs. Service standards can be used to meet objectives for overall results while evaluation parameters can provide the information necessary to ensure continuous improvement for the CICs.

While service standards and evaluation parameters may be different for various stakeholders in the service delivery process, the following provide a guide, from the senior's perspective, of the kinds of elements that need to be considered:

- *Enhanced access*: user-friendly, and easily available.
- *Appropriateness:* ensuring that the right resources are available, and meet the right needs of the client be they functional, social or medical.
- *Effectiveness*: whether the right thing is done well.
- *Efficiency* in service: resources are used effectively (is there a minimum wait time to achieve necessary services, how many interventions are required for each service).
- *Respectfulness*: the client is treated with sensitivity to their personal and cultural needs.
- *Reliability*: the services are provided without error (e.g. outcome indicators such as result of current inspection/accreditation results).

These are some of the major items that would have to be considered in developing a comprehensive workplan. There are, of course, many others that would also need to be addressed.

Chart 8 - FUTURE: INTEGRATED ACCESS SYSTEM AND SERVICE CLUSTERS

Service Clusters

Institutional Levels of Care

Community-based Levels of Care

Entitlements

Discretionary Activities

Community Information Centres with on-line information systems

CIC

Health Professional Assessment

Referral

Information

Senior & Their Families

5.0 SUMMARY

It is very clear that significant changes in structures and processes are needed to achieve a client-centred focus on senior service delivery. There are two ways to go about this. Reinvent the entire system of service delivery to seniors, or work with what is available and provide incremental improvements in the service.

The recommendations put forward in this report clearly follow the latter route, suggesting a more integrated and coordinated system of service delivery which would result in direct benefits to the senior. The changes would lead to improved abilities for seniors and their families to become empowered for meeting their personal needs. The approach would also use existing and well-established resources to better advantage without creating new organizations to perform the same or similar function: most communities have CICs or similar organizations that have a long history of performing this function on a limited basis for local residents.

It is clear, however, that attempting to establish a broad network of CICs with common minimum service standards would not be without its problems. For one thing, the level of development of the CICs varies across the country and the creation of this enhanced role may be difficult for some organizations. Second, incremental resources would be required and this would be difficult unless, at a minimum, offestting savings could be identified within the existing seniors' service delivery infrastructure.

2

Addressing the Mining Industry — Government Interface

TABLE OF CONTENTS

1.0 INTRODUCTION

This report presents the results of Ernst & Young's analysis of the government-mining industry relationship. One of three case study projects, this study was limited to examining service delivery to the mining industry. This analysis was undertaken as background to a discussion of service delivery models aimed at enhancing the government-mining industry relationship.

The objective of this report is to provide an independent and objective perspective on the government-mining industry relationship. The paper spends considerable effort attempting to establish the nature of the "problem." While this diagnostic may be familiar to others, it is nevertheless important to lay out and clarify before moving into a discussion of solutions. It is important because it leads to a distinction, however imperfect, between process issues -- concerns over how the relationship is managed -- and substantive or policy issues. It is argued that the former can be addressed through closer attention to the needs of the client (the mining company); the latter can only be addressed through the consultative and political vehicles that are used to establish the overall policy framework.

Having said this, we do not attempt to establish a substantive agenda for reform. Rather we examine service delivery models based largely on their ability to improve the **process** of the mining company-government industry relationship. We do look at complementary structures that could address substantive matters as well.

The emphasis is on understanding what new service models would look like from a client point of view, in this case the mining industry, and understanding what they would mean from the government perspective.

1.1   Context and Scope

The relationship between the mining industry and governments is only one of a number of relationships governments have with Canadians over mining issues. There are also important linkages to the aboriginal community, the environmental community, those whose main concern is jobs and so on (see Chart 1).

Indeed, the overall policy framework as it affects the mining industry needs to be seen as the outcome of a dialogue -- or at least an understanding -- among governments and these competing interests. In simpler terms, political leadership is about finding and striking the appropriate balance. The impact of environment-related legislation on the industry, for example, reflects a balancing of the concerns of all stakeholders.

When one looks at the full range of special interest groups who play on specific issues at points in the mining sequence, it becomes apparent that the environment in which mining activity takes place may bear little resemblance to the "optimal" climate from the individual mining company's perspective.

It is, then, in the setting of the overall policy framework that government establishes industry-related "client relationships" with those outside the mining industry.

While these relationships are of obvious importance, for the most part they are outside the scope of this report. Similarly, the policy framework itself is taken as given; i.e. it too is largely outside the scope of this report.

In short, this report focuses on the "primary" mining relationship -- between governments and mining companies -- and on the relationship **given** the policy framework.

1.2   The Client Relationship - Overview

By all accounts, the relationship between governments and the mining industry is wanting. The advance of regulatory intervention -- in land use, in environmental and sustainable development matters, in land claim matters and so on -- by all levels of government has spawned growth of red tape and paper burden. It has created multiple points of contact within individual levels of government (federal, provincial and

Chart 1 - GOVERNMENT/MINING SECTOR RELATIONSHIPS
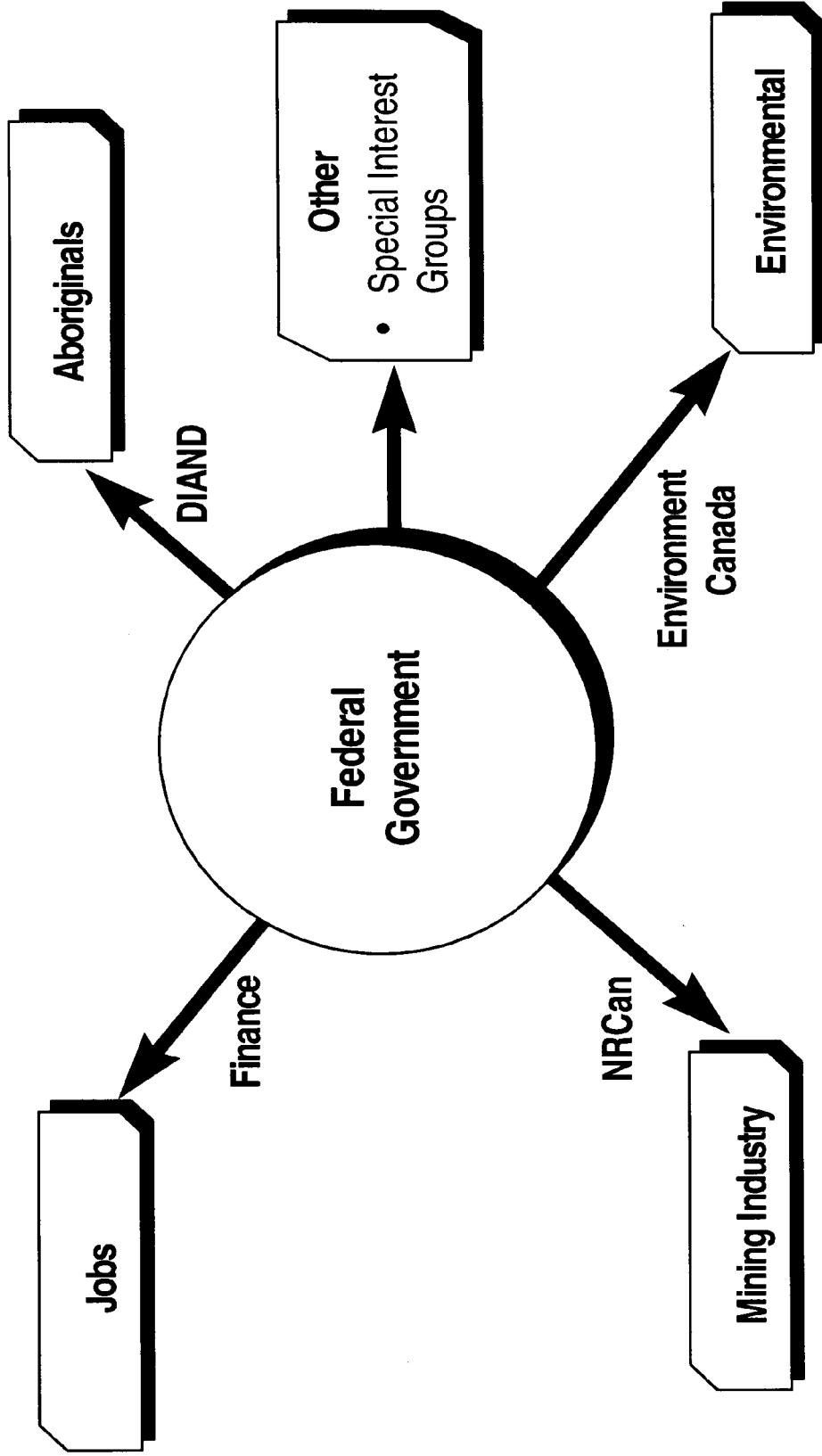
municipal/regional). And it has led to overlapping government intervention in areas where jurisdictions are shared -- most notably in the area of environmental legislation.

It is also important to point out that the problems in the mining-government relationship are illustrative of the problems in many of the resource sectors. And, if the complexity of the government-mining industry interface results in foregone economic opportunities and jobs in Canada, these losses are probably multiplied in the other resource sectors.

Despite promises by governments -- including the current federal government -- to address the situation, progress has been slow. There have been many efforts to "fix" the regulatory problem within the federal government. Most recently an internal exercise flowing out of *Building a More Innovative Economy* failed to achieve results. The multi-stakeholder Whitehorse Mining Initiative addressed a range of issues much wider than just regulatory reform; it appears to have made limited progress in some areas but appears to be losing momentum. Why has this been the case? After all, this is an industry that has major economic impacts on many of our rural and outlying communities.

There are a number of reasons why progress has been limited:

- the range of competing interests, including the mining companies themselves, is complex and difficult to balance politically;
- these competing public interests can be reflected in the specific responsibilities of government departments; with no overall coordination, there is no effective "champion" for mining company/industry issues;
- the growing complexity of government has meant growth of legislation and regulation which can have unintended impacts, work at cross purposes and create paper burden which is hard to eliminate;
- the "costs" of the poor client relationship are difficult to see; they are likely more often in the form of foregone opportunities rather than existing measurable dollars or jobs; and
- the sparsely populated areas where mining activity often takes place means few votes which translates into political support.

Regardless, the bottom line is that there is considerable room to improve the government-mining industry client relationship, within the existing policy framework.

The remainder of this report examines these issues in greater detail, concluding with a discussion around a range of alternative client relationship models, highlighting the pros and cons of each. Before proceeding, however, the next section explores the nature of the client relationship as it applies to corporate "citizens," particularly mining companies

2.0 THE CLIENT RELATIONSHIP - GOVERNMENT AND THE MINING INDUSTRY

2.1 Clarifying the Client Relationship

The Task Force is looking to "push the envelope" on service delivery models; it is looking at rethinking and rebuilding the government service equation around the "client". In this context, it is useful to spend a few moments clarifying the nature of the relationship between the government and the mining industry.

In general, the nature of the relationship between the mining company/industry and government is fundamentally different from the relationship between the citizen and government. In part this stems from the fact that the citizen is directly franchised in an electoral sense whereas the mining company has no direct electoral vote. Rather, the mining company, like any business, votes with their capital – ultimately they will locate and do business where it makes the most sense to do so from their shareholders' perspective.

So, in the case of the business/mining client relationship, it might be argued that customer satisfaction is ultimately focused on economic objectives: service quality is imperative in order to avoid foregone economic opportunities and lost profits, and more generally to ensure a business climate conducive to jobs and growth.

In the case of the citizen client relationship, the objectives may be less tangible; customer satisfaction may be focused on the "right" of the taxpaying citizen to quality service on the one hand, and the relationship between the **voting** citizen and the government on the other.

So for example, the citizen client relationship tends to be centred on transactions -- passports, pensions, tax information and assistance and so on. In this context, it is fairly straightforward, conceptually, to consider how to improve service through the applications of conventional quality standards – responsiveness, timeliness, accuracy, reliability, access and so on.

However, for mining companies, and others in the natural resource sectors more generally, the relationship is complex and such that the application of service quality standards may, in the limit, address only a very small subset of problems/concerns.

This is because in the case of the business/mining client, the nature of the service interface is dominated by concerns such as regulatory **compliance** and **enforcement,** the implications of the interaction between the programs and policies of federal and provincial (and municipal) governments in their respective jurisdictions, and the lack of coordination even among departments within one level of government.

These are the types of major issues that affect directly the individual mining company in its relationship with governments, and which can affect the ability or interest of the company in meeting economic objectives. But they do not lend themselves to amelioration through the transactional service relationship/interaction between governments and the individual company. Rather they require interaction at the stakeholder level to address issues of harmonization, regulatory regime and so on.

This distinction between the citizen-government and company-government relationships are raised here for clarification. However, the issue of the complexity of the mining-company-government relationship dominates the remainder of this report.

2.2   Industry Views

The general concerns raised by the mining industry at the level of the Mining Association of Canada (MAC) are typical of a client relationship that has deep systemic problems:

> "Our analysis shows that the current regulatory system is choked with red tape. Regulations, guidelines, and decision-making processes duplicate and contradict each other from one department to another and between the two levels of

government. Federal and provincial standards should complement and support each other, but often run at cross purposes."

> Regulatory Streamlining: "Keeping the Promise", Submission to the Standing Committee on Natural Resources, November 6, 1995. p. 1

It is important to note that the focus of this concern by the MAC is two fold. First, concerns with red tape, regulatory burden and duplicate decision-making procedures both across departments in one level of government, and between levels of government. These concerns are very much about process.

A second set of concerns is also raised: concerns with standards running at cross purposes and decision-making processes contradicting each other. These concerns, although appearing as process, may in fact be much more about substance -- differing standards for example may reflect differing policy objectives.

On explicit matters of substance -- sustainable development for example -- the MAC has pointed out that the mining industry is

> "...unequivocally committed to environmental excellence and to the concept of sustainable development. In making suggestions for regulatory improvement, we emphasize that we are not suggesting any decrease in environmental protection or any lowering of standards."

> Regulatory Streamlining: "Keeping the Promise", Submission to the Standing Committee on Natural Resources, November 6, 1995, p. 3

Without endorsing this position on sustainable development, we cite it to illustrate that improving the service relationship raises important questions about what we are trying to "fix." At one level the objective is to "fix" the process, or the interface relationship (although even this may be more complex than first appears because of the blurring of policy and process). At another level the objective may be to fix the policy process itself -- new consensus-building mechanisms -- in addition to, or instead of, the interface relationship.

As we pointed out earlier, our primary focus is on the narrower objective of searching for solutions to the interface relationship. And at least at one level, the MAC citations above suggest that it should be possible to do this in a number of areas.

Given this, the question then arises, what has happened to the government-industry client relationship? why is the system not working more effectively? In order to answer this question, it is important to understand the complex nature of the relationship in more detail.

2.3   Industry/Government Interface

The relationship between the mining industry and government is multi-faceted and complex. One of the reasons for this complexity flows from the distribution of powers in the Constitution. While the provinces have authority over natural resources, and hence mining, other responsibilities such as for aboriginals, and shared authorities as in the case of the environment, lead to the need for contact through the mining sequence with both levels of government. This is further complicated by the need for contact with many departments at both levels of government.

The MAC concern with standards running at cross purposes may in part be a manifestation of the two levels of government operating in their own areas of jurisdiction -- or in the case of the environment, shared jurisdiction. This is an important diagnostic point: one element of a solution to the relationship will be more effective collaboration among governments in areas of shared jurisdiction and more careful attention to the inadvertent impacts of their regulatory activity in other areas.

More generally, Chart 2 tracks the points of contact between the industry and government departments (provincial and federal) throughout the mining sequence. As a means of illustration, we have focused on the province of Ontario. The mining industry must deal with 10 provincial governments all of which may require similar points of contact through the mining sequence.
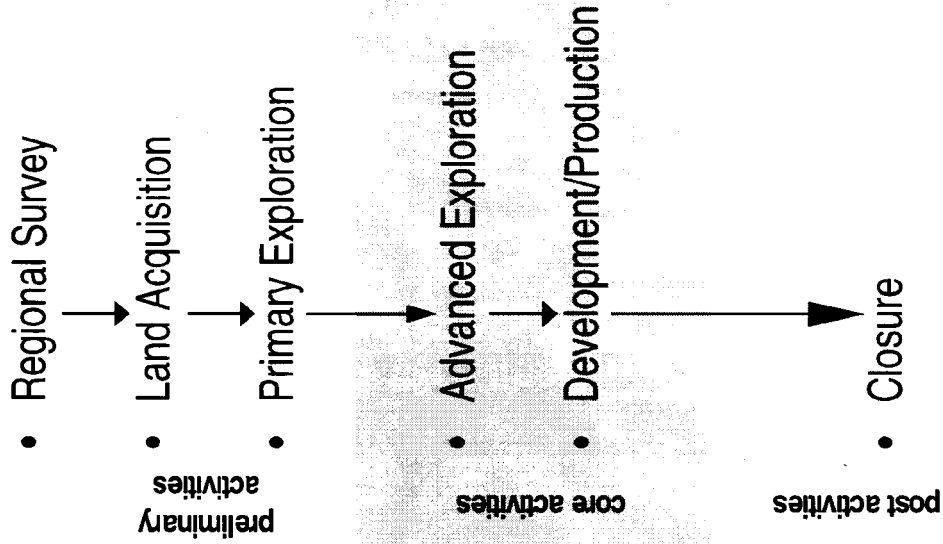
Some of these points of contact occur at a particular point in the mining sequence and are specific to the mining industry; others may apply more generally to the business community and result in ongoing points of contact -- e.g. taxation. A rough count suggests that the life cycle mining sequence can bring a company into contact with

Chart 2 - GOVERNMENT INTERFACE

Federal Departments

DIAND

Natural Resources Canada

Industry Canada

DFAIT

Environment Canada

Department of Fisheries & Oceans

Heritage Canada

Parks Canada

Statistics Canada

Transport Canada

Revenue Canada

Department of Finance

Health Canada

Mining Sequence

CORPORATE

- Regional Survey
- Land Acquisition
- Primary Exploration

preliminary activities

- Advanced Exploration
- Development/Production

core activities

- Closure

post activities

Provincial Ministries
(e.g., Ontario)

Ministry of Economic Development and Trade

Ministry of Consumer & Commercial Relations

Ministry of Natural Resources

Ministry of Northern Development & Mines

Ministry of Labour

Ministry of Finance

Ministry of Environment & Energy

Ministry of Health

Ministry of Transportation

Ministry of Municipal Affairs

Ministry of Tourism & Recreation

between 10-13 different federal government departments. And in the case of Ontario, 11 provincial government departments.

The nature of that interface can be broad in scope and cover a range of issues. From the provincial point of view, the relationship involves many regulatory and compliance interactions that range from health & safety concerns over worker and mining site conditions to concerns over land tenure when it comes to mining rights and leases.

The federal government-mining industry relationship on the other hand tends to be based on higher order issues such as heritage concerns over protected areas, parks, or biodiversity, and of course environmental assessment and toxics issues (see Chart 3). In addition, the federal government's responsibility for aboriginals, Crown lands generally and for the lands north of 60 mean that land tenures and leases have to be arranged through the federal government in many circumstances. The Indian Lands Act also comes into play.

To begin to appreciate the complexity of the relationship, it is useful to consider a particular point along the mining sequence; land acquisition, for example. As illustrated in Chart 4, there are numerous provincial contact points in the land acquisition process. Federally, issues over land preservation such as protected spaces, habitat protection, CEAA, CEPA, land use restrictions (e.g., aboriginal lands) enter into the decision-making process (see Chart 5).

Total compliance costs through the mining sequence can be extremely costly and multiply depending upon the size, type of deposit and location. However complex the chart makes the relationship appear, the reality is that it is much more complex largely because of interaction among federal statutes and the lack of federal-provincial harmonization in key areas.
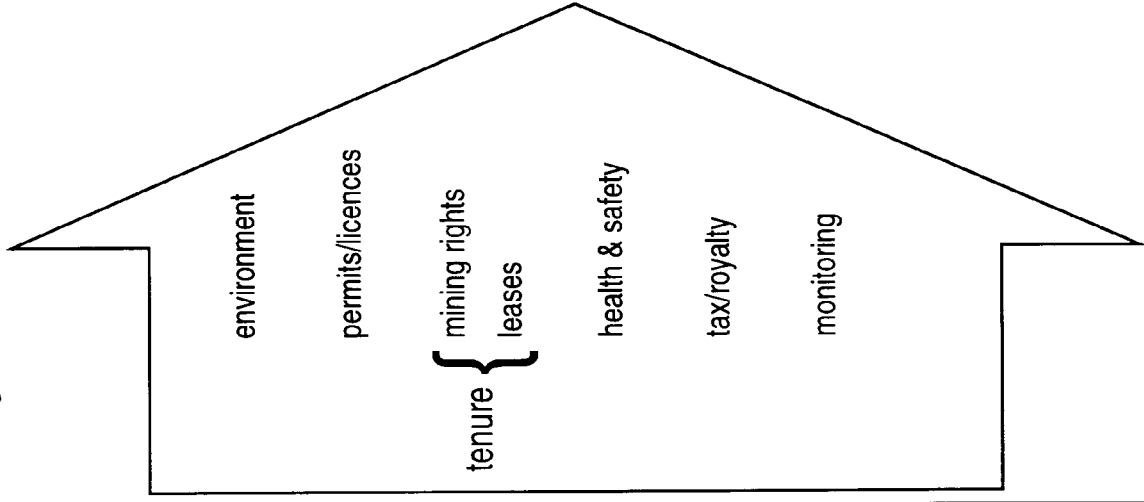
2.4   Major Irritants in the Client Relationship

Against this backdrop of multiple interfaces, the "client" has identified a number of major concerns with the federal government-industry relationship. While there is a clear mix of substantive policy concerns and interface relationship concerns, it is worth briefly reviewing some of these claims:
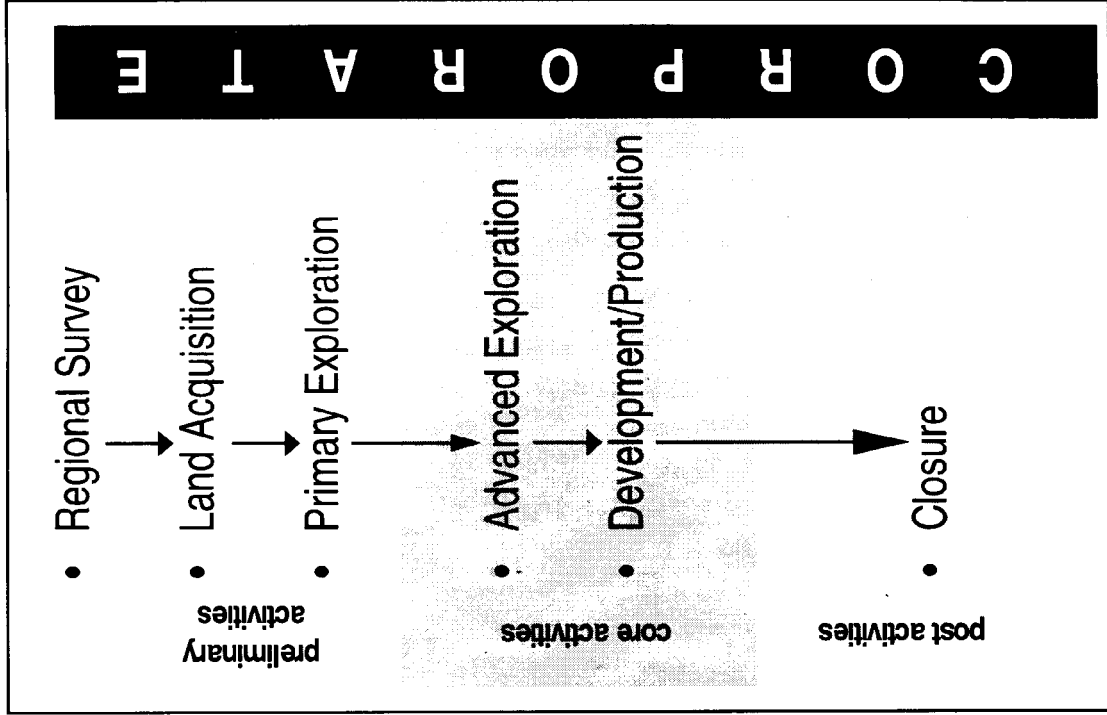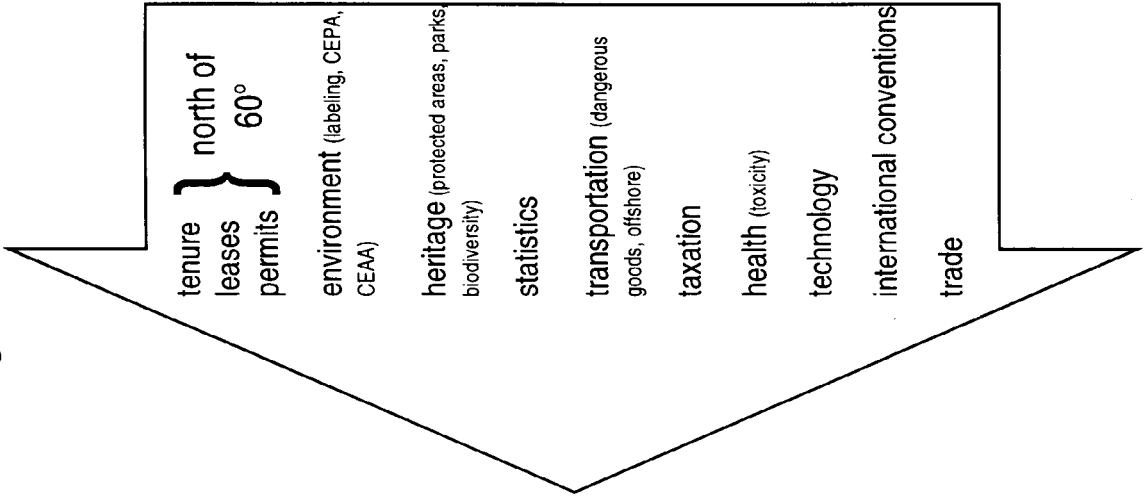
Chart 3 - GOVERNMENT INTERFACE

Federal
Regulations/Processes

tenure
leases   } north of 60°
permits

environment (labeling, CEPA, CEAA)

heritage (protected areas, parks, biodiversity)

statistics

transportation (dangerous goods, offshore)

taxation

health (toxicity)

technology

international conventions

trade

Mining Sequence

CORPORATE

- Regional Survey
- Land Acquisition
- Primary Exploration
- Advanced Exploration
- Development/Production
- Closure

preliminary activities

core activities

post activities

Provincial
Regulations/Processes

environment

permits/licences

tenure {
mining rights
leases
}

health & safety

tax/royalty

monitoring

Fish Habitat Management and the Fisheries Act

The Fisheries Act has become a major concern for the industry on a number of counts:

- the provision in Section 35 which prohibits harm to fish habitat unless expressly authorized by the Minister, and the implications of applying for such authorization;
- the fact that an authorization now triggers an assessment under the Canadian Environmental Assessment Act (CEAA) and the role of Fisheries and Oceans officials in the assessment process;
- potential conflicts between individual sections of the same act
- the appearance of uneven application of the single water use provision and its basis or lack thereof on scientific principles
- different approaches by different departments to issues such as mixing zones
- federal-provincial duplication of regulations such as effluent regulations

As solutions to some of these concerns MAC puts forward the need to clarify the conditions under which DFO officials will be involved in an environmental assessment and the need to ensure their timely participation; the need for national consistency in the application of the "no net loss" policy; the need to recognize natural background levels of metals in water and sediments when establishing standards; the need to harmonize the approaches of departments; the need to leave the setting of site specific requirements to the provinces.

Canadian Environmental Assessment Act (CEAA)

Largely because most mining projects require an authorization under the Fisheries Act, and because the authorization is a trigger for an environmental assessment, the federal government, through CEAA, has developed a major new intervention in the mining process. The application of the Act to mining projects has to date been limited as most minor projects have been screened quickly, and the Act has only been in force since 1995. Nevertheless, a number of concerns are raised:

- CEAA has no formal mechanism to encourage timeliness and efficiency
- harmonization with provincial assessment processes has been slow to emerge

CHART 4 - PROCESS ISSUES (PROVINCIAL)

Mining Sequence

- **Land Acquisition**

CORPORATE

Process Issues
(e.g., Ontario)*

Mining claims on private lands

Crown lands

Native lands exemptions

Licensing

  Prospectors
  Client number
  Corporation

Rights

Staking requirements

Recording procedures

Dispute procedures

Transfer of Interests

Abandonment, cancellation or forfeiture

Assessment work

Credits prior to staking

Mining claims

Filing procedures

Dispute procedures

Mining leases

  Rights
  Application
  Renewal
  Surface rights
  Transfer
  Surrender
  Forfeiture
  Dispute
  Convert
  Termination

Patents

  Freehold
  Unpatented

Licences of Occupation

  Rights
  Application
  Transfer
  Surrender

Aggregate Permits

  Rights
  Application
  Royalty
  Transfer
  Surrender

Aggregate Licences
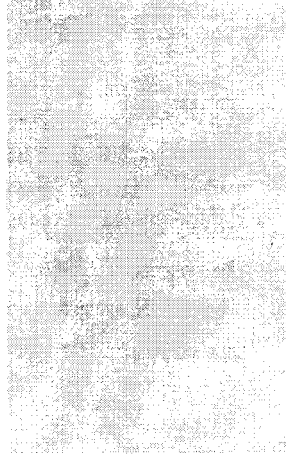
  Rights
  Application
  Annual fee
  Transfer
  Surrender

*Derived from PDAC Guide (Ontario) 12/93

CHART 5 - PROCESS ISSUES (FEDERAL)

Process Issues
(Federal)

Land Use Restrictions
Aboriginal Lands
Geographic Regions
    North of 60
Protected Spaces
Mineral Assessments
Assess Foregone Benefits
    • minerals
    • jobs
Habitat Protection
    Endangered Species
CEAA
CEPA
Feed into Decision-Making Process

Mining Sequence

• **Land Acquisition**

C O R P O R A T E

- processes and guidelines vary among federal government departments
- there are no standards for interpreting and applying the principle of cumulative effects

Some of the solutions proposed to address these concerns include introducing binding time lines into the assessment process, the need to accelerate harmonization efforts with the provinces, the need for interdepartmental harmonization rules, and the need for clarification of the cumulative effects provision.

Land Use Issues

In recent years there has been a proliferation of conservation-related initiatives by both federal and provincial governments which have affected both land use and land access. These have included: the Network of Protected Areas, the Canadian Biodiversity Strategy and the federal Endangered Species legislation and strategy. From the industry's perspective:

- there is a lack of coordination and consistent scientifically-based rationale and decision-making processes within and between governments
- clarity is lacking as to types of protected areas included in networks and as to the areas that are open or closed to mining

To address these concerns, the industry proposes identifying a central focus within the federal government responsible for coordinating land-related initiatives, a formal federal-provincial mechanism to coordinate land initiatives and development of better information on existing and proposed protected areas.

2.5 Conclusion

There are two basic elements of the mining company-government relationship that raise concern for the industry: policy (substance) -- what the relationship is about -- and compliance-enforcement (process) -- the relationship itself. While this distinction is not perfect, for the purpose of trying to develop new approaches to the relationship, it is conceptually useful, and a good starting point for developing new approaches. In addition, the federal-provincial dimension adds enormous complexity to the two basic elements identified here.

While we have been selective in presenting both industry concerns and solutions, it should be apparent that at the level of the relationship itself, there are a number of things that could be addressed. Many of the industry's solutions relate to the need for clarifications, better communication, harmonization, better information, greater transparency in areas where discretion is involved, clear timelines, the elimination of overlap, and so on. Action in these areas may be the best way to lay a new foundation for a more effective service relationship between the industry and government.

3.0 FROM PROBLEMS TO SOLUTIONS
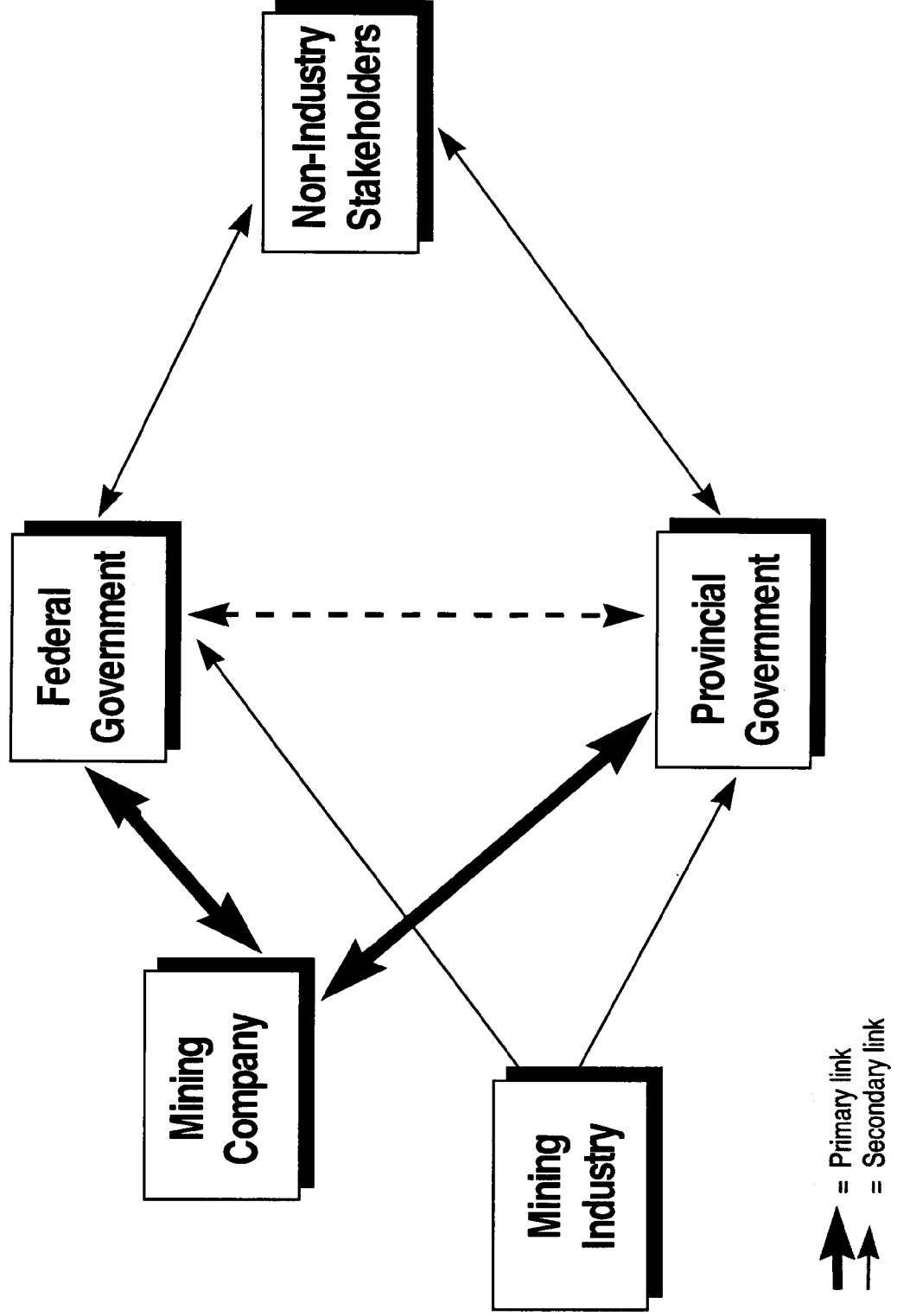
3.1 The Primary and Secondary Relationships

Re-inventing the government-mining industry relationship requires a clear sense of why things need to be fixed, what exactly needs to/can be fixed and how it can be fixed. The first part of this report has focused on the issues of why and what. This section moves to a discussion of how.

Chart 6 sets out the "primary" and "secondary" relationships in the mining-government interface. The primary relationships are defined as those that **must** exist in order for mining activity to take place. The secondary relationships are defined as those where governments for various reasons interact with other stakeholders; perhaps as a result of statutory requirements or perhaps as a result of the ongoing consensus and consultations process.

There are, of course, relationships outside of the government sphere -- between the mining company/industry and non-industry stakeholders for example; and between the mining company and its unions. We assume that these relationships are essentially private, although we recognize that government may have opportunities to and interests in strengthening them through collaborative multi-stakeholder processes.

Consistent with the objectives we set out at the beginning of this report, the following discussion focuses on ways to improve the primary relationships. It is understood, however, that some non-industry stakeholders may see such a strengthening as a threat to their own interests. To address this issue, as noted above, our focus is first on the relationship itself -- process issues -- which should not be a threat.

Chart 6: Primary & Secondary Links in the Mining/Government Relationship

Non-Industry Stakeholders

Federal Government

Provincial Government

Mining Company

Mining Industry

= Primary link
= Secondary link

The two primary links in Chart 6 are those between a mining company and the federal government on the one hand and the provincial government on the other. These are the relationships that exist by definition if mining activity is to take place.

All other links in Chart 6 are secondary by the definition above. This being said, the relationship between federal and provincial governments, is critical to an improved relationship between the mining company and either level of government -- essentially this is the issue of harmonization of activities and elimination of overlap and duplication.

3.2 The Key Ingredients of Success

It is one thing to identify the relationships to be improved. It is quite another to address them. After all, if the government-mining company relationship was "easy" to fix, it presumably would have been done by now. As we move to options for improving the relationship, it is critical to understand that the right organizational option is typically not sufficient to guarantee success.

There are at least four critical ingredients that are necessary for success:

1. A vision of what is required and a statement of objectives.
2. Sponsor commitment; someone with ultimate responsibility for seeing that the vision is realized, and who has the authority and leverage to ultimately make things happen.
3. A plan for realizing objectives, which would include organizational solutions.
4. A lead change agent; the person entrusted by the sponsor with the actual implementation of the plan.

We briefly review some of the elements associated with each of these.

The vision can be as narrowly or broadly defined as desired. In the case at hand, while we focus on re-inventing the way the federal government **interacts** with mining companies through the mining sequence, the vision could be broadened to include the substantive matters over which the interaction takes place (process vs. substance). On the interaction side, for example, the vision could be the federal government stating its commitment to the mining industry that all federal regulatory compliance specific to the mining sequence would take no more than a fixed period of time.

The specific objectives associated with the vision would need to be articulated. These would be in the form of service quality determinants: responsiveness, timeliness, accuracy/reliability, access and competence. they could be objectives such as minimizing compliance costs or minimizing compliance time. They could be precisely defined in such a way that measurable performance indicators could be established -- a maximum number of days to obtain a permit, a maximum number of points of contact, a maximum period of time to complete an environmental assessment -- or defined in qualitative terms through satisfaction measures, for example.

The vision and objectives must be established in consultation with the "client." It makes little sense to develop these internally only to find they don't address the real concerns of the client.

As a clear signal of its intent, the government could consider establishing a charter or code of conduct that clearly lays out the vision and the specific objectives, and would guide the government in its pursuit of an improved relationship. This charter could be used for internal purposes to "re-wire" to meet new commitments and it could be a public commitment as well.

Sponsor commitment is perhaps the most critical element of a successful strategy. If the sponsor of change is not fully committed, in most cases the organization will fall back to what is comfortable -- the old ways of doing things. The question is who the sponsor should be? In the case of the mining industry, where a range of federal departments has authority at different points in the process, the sponsor must, at a minimum, be in a position to address cross departmental issues. This requires a place in the system where all the various authorities ultimately come together and where conflict or gridlock can be resolved.

The plan, essentially an implementation plan, needs to lay out the broad strategy as well as the individual steps in realizing the vision. The federal government would have to organize internally among departments to see the commitment fulfilled. The plan should be broken down into steps that are manageable. For example, even if the vision is broad, it is not likely to make sense to try to address everything at once. Establish targets, make progress and use successes to develop momentum. Elements of the implementation plan would also benefit from consultation with the client.

The lead change agent implements the plan on behalf of the sponsor. The change agent will be accountable on a day to day basis. While the agent needs to have the right personal/leadership capabilities, where in the system they are physically located (i.e. in which department) is of less importance.

3.3 Organizational Solutions

Assuming the vision is defined and the sponsor is in place, a key part of the implementation plan will be organizational structure. What structures would lend themselves to ensuring the vision can be realized?

We look briefly at four organizational options: a designated agency; an account manager; a mining sector advisory council; and a re-vitalized federal/provincial council of mining Ministers. The first two of these would focus on the primary relationship with the mining company -- fixing the process. The second two would begin to broaden the initiative to address to include substantive matters.

1. Designated Agency/Single Point of Contact

A single agency would be established within the federal government. It would be designated to ensure that for specific mining projects, the relationship objectives and commitments set out in the **charter** were met. In effect the agency, or the head of the agency would become the lead change agent. This agency would open a file on the project and track progress of the government interface through the key aspects of the mining sequence. The file could remain open through a specific aspect of the mining sequence -- the environmental assessment -- or through the life of the mine. In either case, its responsibilities would be to fulfill the obligations set out in the charter.

The agency could be a single point of contact between the mining company and all interested federal departments. In effect the agency could attempt to "shield" the project proponent from the multiple contacts as a general principle, recognizing the need for direct proponent intervention in some circumstances.

In order for the model to be effective there would need to be internal re-alignment within and among departments to conform to the service delivery standards and commitments. The physical location of the agency and its organizational structure and size would have

to be sorted out as issues, although we would not envisage a large, stand alone organization.

(In order to increase visibility – and possibly accountability -- a variant on this model could place the agency (or simply an individual) in a position in the Privy Council Office, reporting to the Prime Minister and to Cabinet on matters related to mining projects).

It is open for debate as to whether the agency itself should take on any new statutory accountabilities or whether they would remain with responsible line departments, with the agency becoming a simple coordinating body. In either case a sponsor would have to be identified (even with new statutory accountabilities for the agency there will be horizontal issues that will need to be addressed).

The agency's key focus would be improving the primary relationship. One of the major risks is that the agency becomes a proponent for the industry on matters of substance, in which case it becomes viewed skeptically within government. On the other hand, if it is seen by the industry to be simply another layer of bureaucracy, it solves nothing. Given the strategic objectives, expectations would need to be managed.

2.   *Account Manager*

An *account manager* model addresses similar issues to that of a designated agency. The main difference between is that the account manager is structured around a single individual per file rather than an entire designated agency. In this context, there may be no need for a formal agency. On the other hand, it would be possible to build the account manager concept into the agency model.

As above, the account manager would be responsible for managing the project account according to the objectives set out in the charter. The account manager would stay involved with the file throughout the government interface and would be charged with keeping the client fully informed of progress, issues, timing, meetings and so on.

The accountabilities between the project proponent and the government (account manager) would be completely transparent. As in the case of the designated agency, the extent to which Ministerial accountabilities would have to be adjusted would depend on the desired formal nature of the account manager's responsibilities. (If the account

manager forgets to inform the proponent of a meeting, which has a subsequent affect on the project, who is liable?)

The physical location of the account manager would also be an issue as would their formal reporting relationship. Over time, the individual account manager would develop a keen sense of "administrative" red tape -- delays that are largely created within the system rather than based on any statutory compliance -- and could, with the strength of the sponsor behind them, become an internal advocate for procedural changes that would contribute to an improved primary relationship.

3.   Mining Sector Advisory Council

A *Mining Sector Advisory Council* (MSAC) could be modeled after the counterpart in the forestry sector (which has been in place for 15 years). The Council members would be appointed by Ministers (NRCan? Industry? Environment?) and in addition to reps from the mining industry could include others such as labour and environmentalists. The Council would meet on a regular cycle with Ministers to deal with a pre-agreed agenda.

The model would be aimed at enhancing the secondary relationship -- mining industry to government. At this level, the relationship would be focused on higher order sectoral issues such as trade, technology, the fiscal regime, federal-provincial harmonization issues, overlap and duplication, standard and so on. It is the vehicle through which regulatory/red tape issues would be discussed in a co-ordinated and comprehensive fashion. The Council would not address the project specific issues and would not be a project advocate.

Within the federal government, such a council may encourage some breaking down of the vertical silos among ministers and departments so long as their is a sponsor commitment to work with the industry on its overall agenda. It is not expected that there would be any significant accountability issues given the proposed nature of the Council's work.

As a consultative mechanism the Council approach would be fully complementary with an approach to improving the primary relationship. Indeed, the Council could become the "guardian" of the primary relationship or charter. In addition, the broader the base (i.e. the more inclusive of groups outside the mining sector) of the Council the more effective its voice could be as a consultative vehicle on the overall federal policy framework governing the industry.

The one major gap that would remain would be a formal bridge from the Council to a forum for discussion of federal-provincial harmonization and coordination issues.

4.   Federal/Provincial Mining Ministers

Federal and provincial mines Ministers currently meet formally once a year -- the annual mines Ministers' conference. The meeting becomes a focal point for those areas that require coordinated federal-provincial effort. An intergovernmental working group of officials establishes themes for the meeting and sets agendas.   Industry and other stakeholders work with departments, and are invited to submit written presentations, in the lead up to the conference to ensure their views are known and put forward at the meeting. Except for a two hour closed session the meetings are held in open.

The federal/provincial conference addresses the full range of policy and programming level coordination issues. By its nature it is concerned with many of the issues that would also be of concern in the MSAC model described above. As it stands, now, however, the conference does not benefit from the formal, coordinated and extensive input from the client (the mining industry) and other stakeholders; there is no formal relationship.

There would appear to be two options. The first would be to continue to ensure that the agenda for the conference and work of the forum are sensitive to the views and needs of the industry. The second would be to move to a formal alignment of the industry and governments:

The recommendation would be to strengthen the secondary relationship (mining industry and other stakeholders) by formally aligning and integrating the annual Ministers' cycle with an MSAC type model.

The substantive agendas would be set jointly by governments and stakeholders. Policy and analytical work could also be jointly undertaken, perhaps through a government-industry sponsored secretariat.   While the annual cycle might end/begin with the conference, an additional meeting(s) could be scheduled to address progress, review the forward agenda and so on.

The benefits of such a process are obvious. It would formally bring the industry and the two levels of government together.   With regard to matters requiring federal and

provincial cooperation it would have the direct benefit of the first-hand diagnostic views from the industry as well as their view of solutions. At the same time it would be a learning process for the industry and other stakeholders as they gain an appreciation of the complexities of managing shared jurisdictions. We should also note that improving this secondary relationship could also be instrumental in improving the primary relationship if governments are prepared to begin talking about seamless service delivery to the client. In any case, if visible and measurable progress was achieved through this process it would likely be a major plus for the industry as a whole.

This is not to suggest that such a model is not without its risks. The federal-provincial forum is complex enough without bringing stakeholders formally into the process. The size and formality of the forum could make for a very difficult, slow and time consuming working environment. As well, it would not diminish the need for relationships between the industry on the one hand and separately with the two levels of government.

Nevertheless, given the importance of improving the secondary relationship, and the clear need for federal-provincial coordination to do so, it would appear that the potential benefits of such an integrated model far outweigh the benefits.

3.4 Conclusion

Defining the **client** as the mining **company**, it is recognized that the primary benefits flow to improving the process of the relationship between a company that wants to do mining business in Canada and the government. In this case, without any formal federal-provincial coordination to provide a seamless front to the client, the relationship can only be addressed at the federal level.

The designated agency/account manager models appear to provide an opportunity to eliminate much of the process frustration experienced as a result of the multiple points of contact. Whether they can actually reduce cycle time and costs depends in part on the strength of the sponsor commitment.

The MSAC model provides a complementary strengthening of the secondary relationship -- between the federal government and the industry and other stakeholders. What is missing is the federal-provincial coordination. Although this takes place through the annual Ministers' conference, it is argued that some type of a formal alignment between

the conference and an MSAC could fully round out the primary and secondary relationships.

At the beginning of this section it was argued that not everything can be done at once although it is important to a clear vision of the way ahead before embarking on anything. As the breadth of the full model is set out here, this rule becomes more meaningful. Initial focus should be on fixing those things that are easiest to fix, and in this case it is likely the primary relationship at the federal level.
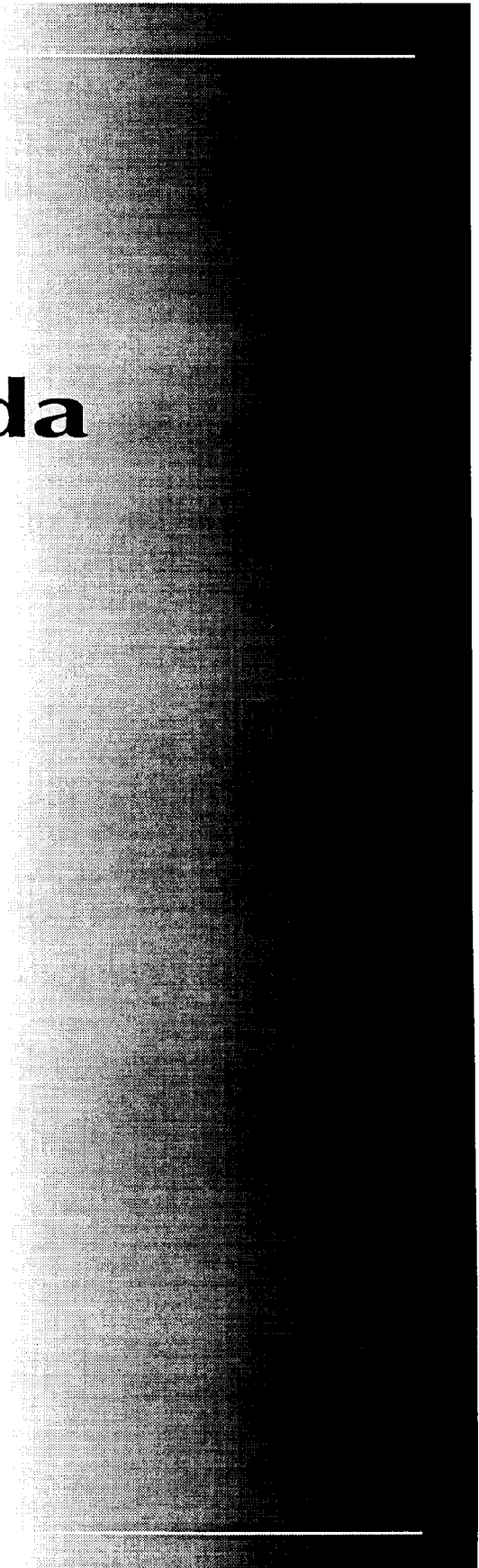
4.0 NEXT STEPS

Our analysis and organizational options have benefited from the informal input of the industry and federal officials. However, before developing the options in greater depth, there is further need to:

- tighten and clarify the problem definition, particularly the distinction between "process" issues and "substantive" issues;
- conduct a series of interviews with industry on mapping problems to solutions -- from the client perspective; and
- establish more formally an overall vision, objectives, and a full implementation plan at least for initial steps (e.g. the primary federal relationship), including the parameters around organizational options and the development of such things as service quality determinants and measurable service indicators.

3

WD — Service Canada Model

Table of Contents

1.0 INTRODUCTION

1.1 Overview

In recent years, governments throughout Canada, and indeed in other countries, have begun to waken to the nature of their relationships with citizens. In part, this awakening has been driven by the demands of citizens themselves as service, and more particularly, service quality, has become a critical dimension of economic relationships in the private sector.

Perhaps more fundamentally, governments have perceived a widening gap between themselves and their electorate. This perception has made them increasingly aware of the need to find ways to "re-connect" with citizens. It has been argued that government does not pay sufficient attention to the quality of service provided and that by and large, public sector institutions are not oriented towards the needs of citizens, service in general, efficiency and effectiveness, economy and productivity. In short, the perception is that few steps have been taken to demonstrate that government is adept at anticipating or responding to client needs.

This report examines models for refocusing the federal government-citizen service relationship around the citizen/client.

First, the paper sets out the current state of the relationship. It is important to layout this relationship before moving onto solutions as the nature of the relationship is broad and multifaceted. It is also important to understand the different types of interactions citizens have with the federal government and to differentiate between transactional/information interactions (the focus of this paper) versus policy/advice interactions.

It then explores Canada-wide service delivery options aimed at enhancing the federal government-citizen service relationship. And it examines the critical success factors and lessons learned from existing innovative service delivery models.

Finally, the paper examines some of the key implementation issues that will arise in setting up a new service delivery model.

1.2 Nature of the Relationship

To understand the nature of the relationship, one must first recognize that the federal government/client service interface is multifaceted. The relationship with citizens is built on a number of interfaces and through the delivery of a vast array of services and programs.

Citizens interact with governments over the delivery of services or products in the form of *transactional/informational* requests. The reasons for these interactions – or the needs of individuals – can be specific and well defined, or more general, broad in scope and far reaching; they may occur at many times during the year, or sporadically over the lifetime of the individual depending on needs and circumstances.

Citizens may also interface with governments in the *policy/advice* forum. This interface could include expert advice on particular issues; interface with boards, commissions, tribunals; and lobbying of politicians or senior bureaucrats directly on issues of importance to a particular individual or group. This interface is often focused on issue specific concerns from an individual point of view, or from the collective perspective of a larger group (e.g., seniors, an industry sector, special interest group such as environmentalists or consumer affairs advocates).
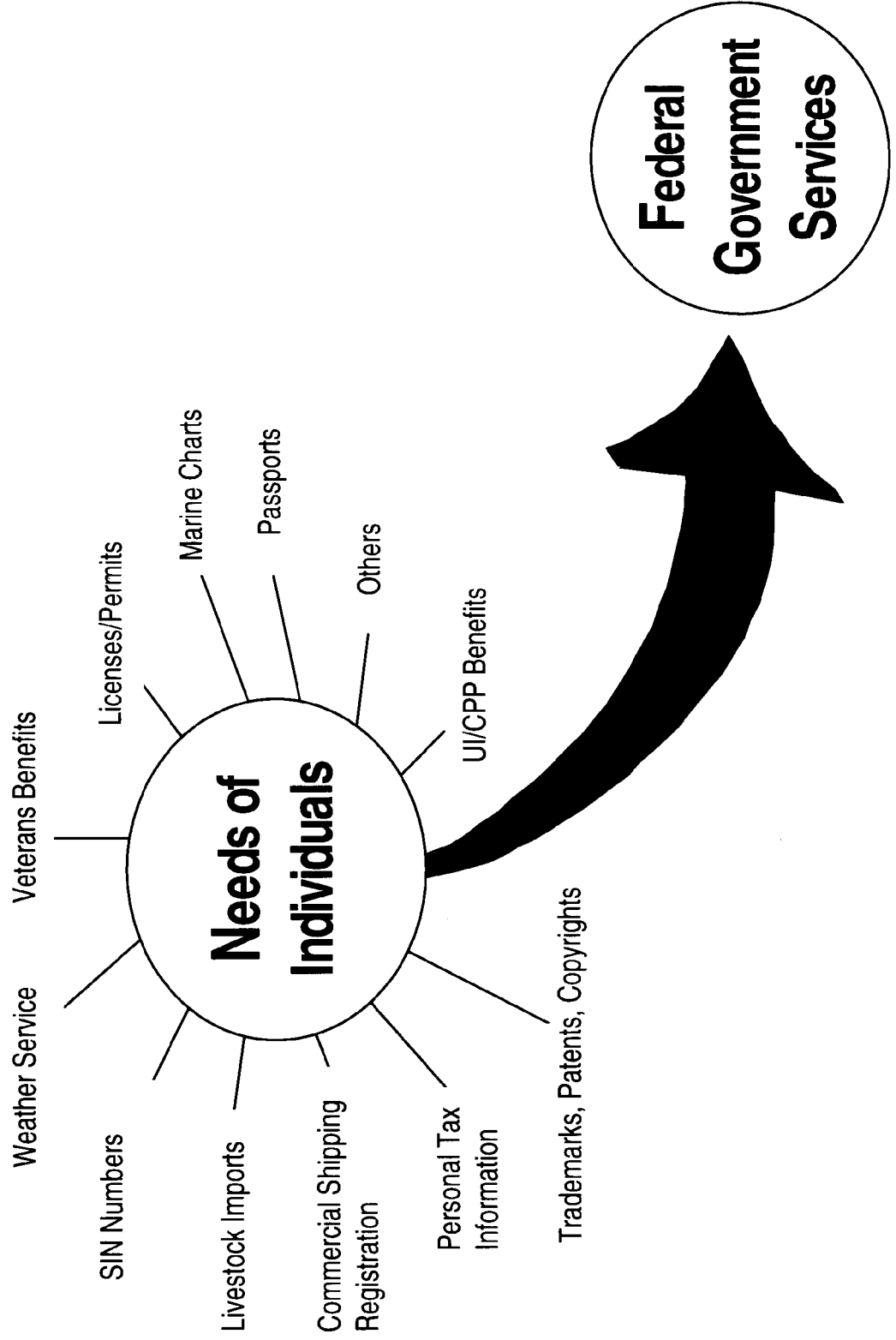
This paper, focuses on the transactional/informational service relationship. Chart 1 illustrates the general nature of this relationship.

The transactional interface is here defined as one based primarily on the processing of information. There is limited discretion involved in the relationship. The interface flows from a statutory or regulatory requirement.

As such, these interfaces are generally marked by face-to-face or telephone contact with public servants or written responses to applications, questions or complaints that often require processing of information, payment of money and collection of data; transactional services may also have a compliance nature about them. Information requests can run the gamut of government activity and typically result in the furnishing or provision of information on a broad range of issues, government programs, departmental information, statistics, and so on.

The nature of these interactions varies with circumstances: an individual deciding to start-up a small business may need information on what is required (e.g., licenses/permits, GST registration, start-up funding, employee benefits, CPP/UI, and so on); the granting of passports and visas for travelers; loans to farmers; export credit for Canadian businesses; the granting of Old Age Security benefits; the provision of GST registration numbers; and the granting of Social Insurance Numbers.

Chart 1

Service Canada - Nature of the Relationship

Weather Service

SIN Numbers

Veterans Benefits

Livestock Imports

Licenses/Permits

Commercial Shipping
Registration

Marine Charts

Personal Tax
Information

Passports

Others

Trademarks, Patents, Copyrights

UI/CPP Benefits

**Needs of
Individuals**

**Federal
Government
Services**

"DEMAND"

"SUPPLY OF SERVICES"

Information services/requests can include such things as weather information from Environment Canada; information about the night sky; economic statistics for general interest, research purposes, market or comparative analysis; sector specific market information; information on policy issues; or general information on the machinery/infrastructure of government. Chart 2 illustrates the breadth of requests.

While the government currently provides these services through various means. The problem is that they are delivered by a large number of departmental offices and there is little coordination among the deliverers. Even services which would seem to have natural affinities – export financing/insurance and small business loans – are not available from the same service delivery agent. In addition, in most instances, citizens do not discriminate effectively between levels of government when seeking information or services. More often than not, citizens see "government" as a single entity.

The issue explored in this paper is how to devise a system that focuses service delivery more effectively around the client.

Chart 2

Service Canada - Nature of the Relationship

1

Federal Government Transactional / Informational Services

ACCESS POINTS

- Reference Canada
  - path finding information and referral to federal programs and services
- Canada/Ontario Business Service Centre
- Publications:
  - Canadian Federal Government Handbook: A Guide to Dealing with the Federal Government
  - Canadian Government Programs and Services
- Government Departments Directly
  - Public Affairs Units
  - Communications Groups
- MPs
- Phone Books, Blue Pages

2

NATURE OF REQUESTS

- Jobs
- Starting a Business
- Income Security
- Tax
- Regulations
- General Services
- Statistical
- Others

3

SPECIAL CLIENT NEEDS

- Licensing
  - boat
  - pilots
  - radios
- Benefits
  - veterans
  - citizens
  - seniors
- Passports/visas
- Information Services
  - National Library
  - CISTI
  - Stats Canada
  - Info. Commissioner
- Permits
  - ship registry
  - exports, imports
- Maps
- Charts - marine
- Taxation
  - personal
  - corporate
  - GST
  - excise
  - customs
- Trademarks, patents, copyrights

- CPP, OAS, GIS, SA
- Museums, archives, gallery
- National Parks
- Standards (national)
- Insurance
  - deposit
- Environment
  - Weather services
  - Atmospheric conditions
- Financial
  - Business loans
  - Taxation
  - Farm credits, loans
  - Industrial assistance programs
- Employment Deductions
  - UI
  - Taxes
- Regulatory
  - Environmental
  - Trade
  - Telecommunications
- Research
  - NRC
- Others . . . .

2.0 A "SERVICE CANADA" FRAMEWORK

2.1 Introduction

Traditionally, models of service delivery have required citizens (consumers of public services) to access services at different points of contact, at different times of the year, and at different places regardless of whether they require services for similar or related items. In most cases, there is little coordination between levels of government or within the same level of government, making accessibility a real issue for consumers of public services.

In moving to build a client-focused service delivery model, the first critical step is to first define what we mean by quality customer service in the context of transactional services provided by the federal government? The simplest way to do this is by establishing performance standards that, together, address the needs and concerns of citizens. Ultimately, for operational purposes, these standards need to be quantifiable and measurable, to the extent possible.

The key performance standards would include, among others, accessibility, reliability, effectiveness and efficiency. Together, these would define "quality customer service" in the context of a new federal service delivery model. While there have been many attempts to build these standards into the operations of individual programs or departments – Canada Business Service Centres, the Service Delivery Network of HRDC, Revenue Canada – it has not been done systematically across service delivery activities and with the client-focus as the key driver. We return to a brief discussion of performance standards in the final section of the paper.

In developing a service delivery model, it is important to recognize that Canadians' expectations regarding service quality have risen sharply in recent years as a result of factors in the private sector. Private sector service and performance standards have become a critical competitiveness factor and Canadians are constantly the target of aggressive advertising campaigns that claim that service standards are reaching new limits.

These influences and constant reminders of the importance of service quality are all around us. They are evident in the advertising of retail giants like Wal Mart, Speedy

Muffler and Loblaws. They are also evident through the influences of technology like ATMs which have eliminated much of the need to queue in banks and provided instant access with 100 per cent reliability to basic banking functions.

In many cases, the perception has been that governments have not been keeping up to these rapid changes in service quality.

This is the environment within which a new approach to federal service delivery needs to be designed and operate. It is dynamic and the pace of change is rapid. The model will have to be flexible and holistic in nature to be able to address a wide range of client needs, requests and concerns. What follows is a brief description of the current "system" of federal service delivery, with a focus on its shortcomings.

2.2 The Current Framework

In order to begin designing a new approach to service delivery, one must understand how the current system operates and identify its shortcomings. The following discussion is intended to be a "macro" overview, from the citizen's perspective, of the current system. Some specific departmental service innovations are noted below but these are spelled out in greater detail in the volume on *Case Studies* produced by the Task Force.
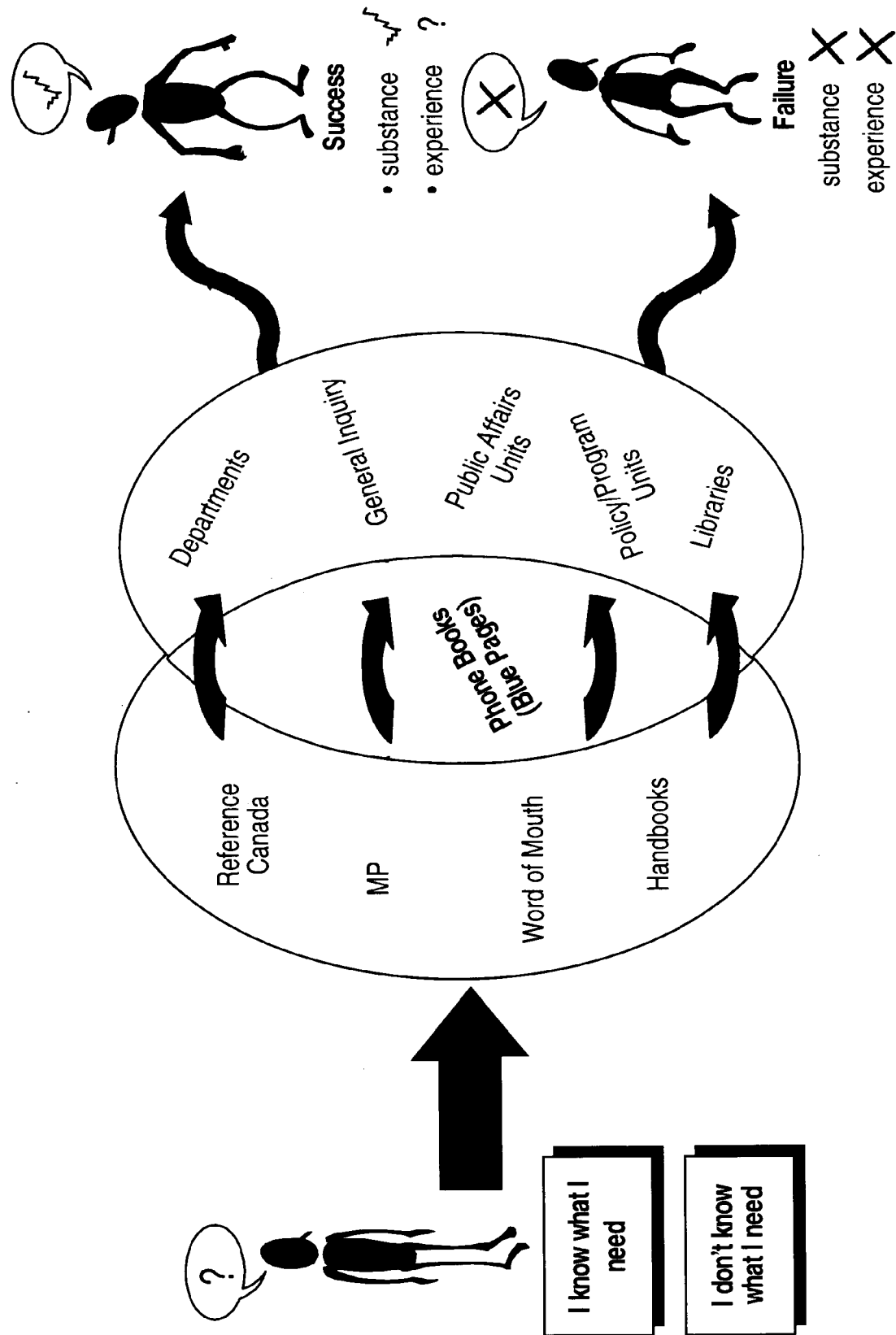
It is important first to recognize that the notion of an existing, overarching service delivery system is in its own right a stretch; to the extent it exists, it is essentially the sum of all the delivery systems of individual departments. In this sense, the system consists of a large number of service deliverers that typically see themselves as largely independent from others in the federal government.

A service delivery system can be characterized by the two sides of the service equation and by the stages of the interaction. The *demand side* is characterized by clients seeking information or service, while the *supply side* is characterized by the government seeking to satisfy those demands.

In terms of the stages of the interaction, the system is marked by the initial approach or entry stage, the processing stage, and the outcome stage. It is useful to track how the current system works given this framework. The objective, of course, is a **successful outcome** as viewed from the client's perspective. Chart 3 illustrates the current state of this interaction process.

The nature of the request may be looked at from the *demand side*. At the **initial entry stage** the individual has a need or request; it could be as simple and clearly defined as 'when will I begin receiving my OAS benefit' or it could be more complex as in 'how do I go about importing spices from Asia and where can I get financing for the venture?.' The request could also be poorly defined as in 'I'm interested in doing research into exotic fungi in the high Arctic, can you help me?'

Chart 3

Service Canada - Current State

Success
- substance
- experience

Failure

substance

experience

Departments

General Inquiry

Public Affairs Units

Policy/Program Units

Libraries

Phone Books (Blue Pages)

Reference Canada

MP

Word of Mouth

Handbooks

I know what I need

I don't know what I need

Outcome Stage

Entry Stage

Processing Stage

In still other cases, the individual may simply be aware that he requires something from government; they may not know exactly what they need (someone seeking a passport may also require a birth certificate, for example), where within the maze of government services they need to go, or indeed what level of government they should be dealing with.

In short, at this initial entry stage, the nature of the requests or service needed will vary tremendously with the need and understanding of the client/citizen. This complexity can range over matters of substance as well as clarity.

How does the citizen actually **enter the system** with his or her requests? For those making unsolicited requests (i.e. they have not been informed to call a specific office for some reason) there are a number of avenues through which the individual enters the system. The most likely "pointers" into the federal system are the blue pages found at the back of the local telephone book, telephone numbers referenced in related government documentation that may come into the possession of the individual, the office of the local MP, friends, associates and so on.

One of these pointers may lead to **Reference Canada.** Reference Canada provides a path finding service to government departments and programs. It is most effective as a service when requests are simple and clear. It provides very little substantive information and so on the second point of contact – the referral – the client is in the hands of the individual department or agency and subjected to whatever service culture might be in place in that organization (see discussion on processing stage, below). This could range from excellent service to an experience marked by multiple hand-offs, delays, limited respect, indifference, and ultimately improper information. If the individual's requests span a number of departments, the frustration is magnified.

Other pointers include publications such as the Canadian Federal Government Handbook: A Guide to Dealing with the Federal Government or the Canadian Government Programs and Services publication produced by Commerce Clearing House. Both of these are available to citizens to guide them and direct them to government services/programs. However, for the average individual these are probably not the pointers they will use.

In short, the process of approaching or entering the system is not effectively structured. The large number of entry points and varying quality of service and service standards at those points makes the entry process difficult, confusing and frustrating for many.

As the individual passes through this initial entry stage and into the **processing stage,** there is a high probability that they will not achieve a successful outcome without some, often significant, redundant handoffs, contacts and processing. There are two main reasons for this.

First, there is no centralized, consistent, methodical filtering of client needs to ensure that requests are clearly understood. Without this filtering process it becomes very difficult

for a referring agent to make a reliable, pin-point reference into the system. And without any centralized processing, the quality of entry experience is likely to be highly variable. What the system really needs at the entry stage is to help the individual articulate and clarify needs in a consistent way.

And second, even with a pin-point reference, the department or agency to which the individual is referred may not be organized to provide quality, efficient service. The government does not have an overarching service culture with consistent performance standards and organizations can be characterized by sub-standard information systems, lack of a service culture, redundant administrative procedures and so on. As a result, the initial hand-off or entry can be unreliable and inefficient from the client's perspective and the overall experience unsatisfactory.

During the **processing stage** the citizen is confronted with a *supply side* characterized by fragmentation and, as noted above, by a wide range of deliverers, typically organized around departmental silos. While efforts have been made to introduce service cultures within some of these "silos", these efforts have had limited success and in any case are generally unable to deal with horizontal or cross-departmental issues.

For issue specific needs or requests such as tax-related issues, the processing stage may be fairly straightforward, although the service experience may not necessarily be satisfactory. Similarly, for business start-up information Canada Business Service Centres (CSBC) are emerging as reasonable one stop shop **information** centres where citizens can have questions answered on a host of issues related to doing business in Canada. This being said, the ability of the business person to locate a CBSC may be hit and miss and in any case the CBSC is often a pointer/referral function to other federal and provincial government departments – multiple contacts on a single inquiry.

2.3   Addressing the Frustration Factors

The **outcome stage** is simply the point in time at which the client feels their request has been satisfied. There are two broad success indicators involved in a satisfactory outcome – substantive (did the client get what they needed?) and experience (was the client satisfied with the overall process?).

Whether the outcome stage is a success depends on the perception and reality of the service experience and the frustration factors that arise on both the demand and supply sides of the service delivery equation. If the system is to be client focused, it needs at a minimum to address the three key factors identified above that can lead to frustration:

1. The complexity of the client's needs or requests.
2. The simplicity and reliability of the system entry point.
3. The overarching service culture throughout the processing stage.

At the front end – the initial approach or entry stage -- the model needs to be structured in such a way that it draws out the client's true needs; if the individual is to be referred in an accurate and reliable fashion, their needs be clarified, understood and articulated. This focusing process is a first critical step in enhancing the service relationship between the government and citizen. Done properly it will both encourage the client and, down the road, have the potential to limit the number of redundant points of contact between the citizen and the federal government.

But this articulation and drawing out of needs is only a first step; it does little to guarantee that the client is ultimately successfully serviced and that the experience is satisfying. The next critical point in the process where frustration can arise is in the actual referral of the client to the right "window" or organization – the beginning of the processing stage. (In a single window model this referral stage is largely redundant except for the fact that the individual must first find the window itself.) Without a properly structured and efficient referral/pointer capability, the client can be 'bounced' from phone number to phone number and from office to office in search of the 'right' location. In the limit, the frustration could very well lead to the client giving up altogether.

Even the best referral system can lead to service delivery that comes up short if the client is not referred into an organization that has the service culture and infrastructure to manage their requests satisfactorily – the processing stage must be marked by a clear service culture. Once handed off to the 'right' location, the officials or agents dealing with the client need to be capable of servicing the client according to performance standards that are clearly defined, understood and consistent with the client's expectations.

It should be noted that addressing these three frustration factors are the minimum necessary requirements in building a client-focused service culture. The following section turns to organizational models within which these factors can be addressed.

2.4 "Service Canada" – Client Centred Service Delivery Options

There are two polar structural/organizational approaches to "inventing" a Service Canada model that is capable of addressing the fundamental frustration factors set out above. At one extreme is the Service New Brunswick (SNB) model: a physical, walk-in set up with face to face delivery of most provincial services, with comprehensive geographic coverage in the province, and plans to improve and enhance the attractiveness of an electronic interface.

At the other extreme is a "virtual" service delivery model which builds from existing infrastructure – Reference Canada, CBSCs, Canada Employment Centres and so on – by enhancing the front end of the system, filling in technology and other infrastructure gaps and developing system wide performance standards.

The Service New Brunswick Model

The Service New Brunswick model has considerable appeal. It is, in many ways, the public sector incarnation of the private sector customer satisfaction model. One of its greatest strengths is its breaking down of departmental silos and resulting capacity to deliver services horizontally.

SNB's presence is growing in the province – it is becoming easier for clients to "find" -- which enhances the front end or entry stage of the process considerably. The processing stage is handled through a single service representative and managed against clearly defined, quantifiable performance standards. And the outcome stage is monitored through client satisfaction surveys. By all accounts satisfaction ratings are very high for a government service organization.

As Service New Brunswick is the focus of one of the case studies produced by the Task Force, it is not described in detail here. However, it is useful to briefly review its key characteristics as a backdrop to assessing its appropriateness in a federal context. The key characteristics include:

1. A clear vision of, and objective to create, a customer satisfaction culture.
2. Strong sponsor commitment by the Premier and the Ministry.
3. Vested authority in a change agent for full implementation, planning and ongoing operations.
4. The delivery of some 90 provincial services under one roof and through a single, cross-trained service representative.
5. A "front desk" that operates according to rigorous, measurable customer service standards.
6. A "backroom" that must embrace the culture change necessary to deliver services of different departments through agents not associated with those departments.
7. Customer satisfaction exit interviews that serve, in a feedback loop, as a basis for continuous service improvement.
8. Geographic coverage that limits travel time from any point in the province to no more than 20 to 30 minutes.
9. A mid-tier technology and information system that links SNB offices to the major provincial data bases, thereby supporting and enabling the initiative.

The first three of these are fully transferable to a Service Canada model. They are among the most important generic factors determining the success of a change initiative. They are discussed in more detail in the next section of the paper.

The next six characteristics describe the SNB model. These are the features that would need to be replicated in principle in a Service Canada model. The model clearly has the capacity to address the frustration factors noted above; indeed all indications in New Brunswick are that customer satisfaction is running at a very high rate.

At the same time, the model also raises some important questions:

First, does the range of exclusive federal transactional and informational services lead to a critical service mass that would justify a federal stand alone physical network?

> In this regard it is worth noting that SNB is developing service packages for groups such as truckdrivers, homebuilders and small businesses; are there similar synergies that can be developed by packaging federal services?

Second, does it make sense to cross-train service representatives in matters as complex as income taxation on the one hand and export financing assistance on the other?

Third, replicating the SNB model at the federal level would involve a ground-up reconstruction of the federal service delivery capability – would the costs justify the benefits?

A "Virtual" Service Canada Model

At the other end of the spectrum is a model that would directly address the three key frustration factors identified above by building on both existing infrastructure and capabilities and recognizing that the complexity of many of the federal services at stake do not lend themselves to a simple "over-the-counter" approach. The model would be **comprehensive** – it would get clients to the information or service delivery agent they need -- but **virtual** in that people would be referred to the services rather than having them delivered through a single window, see Chart 4.

There would be two major elements to the model: an enhanced entry stage mechanism – possible through a strengthened Reference Canada; and a new approach to the processing stage which would be marked by consistent, government-wide service culture supported by performance standards – possibly a citizen charter – appropriate networked technology and trained service representatives within departments. The goal, of course remains an outcome stage characterized by high customer satisfaction ratings.

At the front end of the system, a Reference Canada type capacity would be strengthened and enhanced in three ways:

- Service representatives would be trained to help clients articulate their real needs so that when they are referred to other departments/agencies their requests can be handled without any further, unnecessary hand-offs.
- Service representatives would be trained to fully understand not only departmental responsibilities, programming and policy activities, but to deal with horizontal or cross departmental issues as well – small business for example; clients would be referred out from Reference Canada only once and would know with a high degree of certainty that the referrals would be to the right locations.

Service Canada - A Virtual Service Canada Model

Chart 4
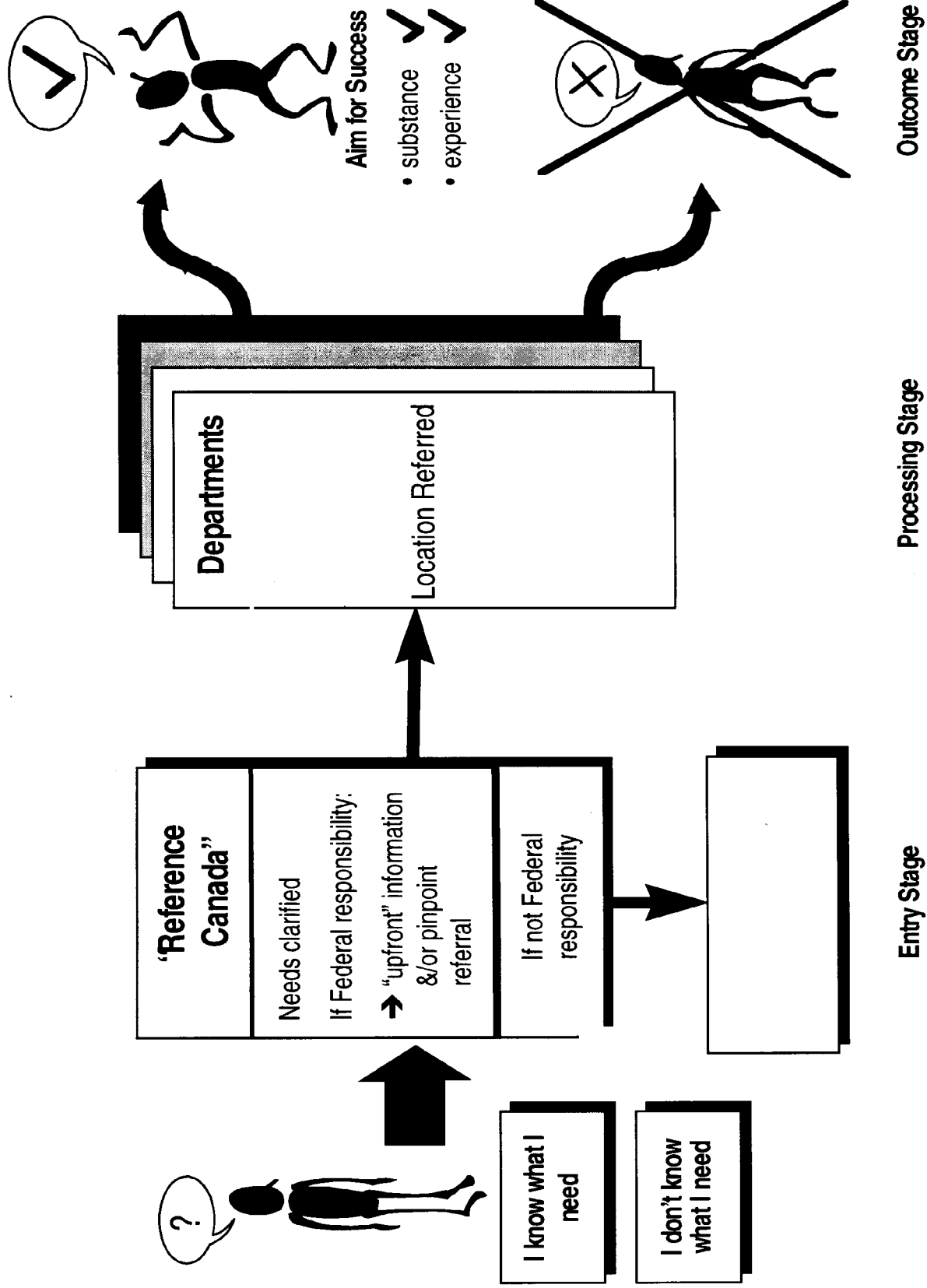
- A formal networking of Reference Canada and departmental service representatives as a basis for creating a stronger, more cohesive and consistent service culture across government; the network would allow for immediate transfers of clients, feedback between service agents at the "centre" and in departments, development of a best-practises data base, tracking of client satisfaction and so on.

The second major component of the system would be the development and implementation of government-wide performance standards. These would cover key elements of service quality – wait time, reliability, effectiveness, accuracy and so on. Establishing overarching service standards that identified departments and related agents of the federal government were required to adhere to would be a major step forward.

A key consideration in this regard would be the extent to which departments would be required to standardize their service infrastructure in addition to meeting performance standards. A second consideration would be the need for grievance procedures and sanctions to deal with situations where performance standards were not met.

As developed here, the model is not structured around a physical/walk in presence. The front end, Reference Canada, would be accessed electronically – essentially by telephone, fax or internet. Many of the specific services would continue to be accessed physically – CBSCs (where they are walk-in as opposed to call centres), Revenue Canada offices, Canada Employment Centres and so on. Moreover, there would be no requirement to use Reference Canada as an access point – it would be an enabling service for those uncertain about where in the system to proceed.

The major advantages of such a model are that it would recognize and avoid huge costs associated with developing a single window model given the complex nature of many of the service-related contacts between citizens and the federal government, the magnitude of the cross-training and technology issues, and the limited inherent advantages – as compared to the provincial scene – in clustering services.

At the same time, the model would fundamentally re-vamp the service culture across the federal government and provide citizens with a clear understanding of what to expect in terms of service delivery.

Its major disadvantage would be its inability to break down, at the front end, the vertical departmental silos and allow for services to be delivered in a way that focuses on clients despite departmental boundaries. However, this should not be interpreted as a fatal or permanent shortcoming. Performance standards could be established in such a way that they would pressure departments into working more effectively together on horizontal service delivery and client satisfaction matters.

Other important issues that may arise in this model, are the "level of government confusion factor" – what happens if the request is not within federal jurisdiction? -- and

the "information provision" function – does Reference Canada provide baseline information for straightforward requests, or is it a referral service only?

Both of these could be overcome. As noted earlier, the level of government confusion factor could be handled, at a minimum, by recommending, when appropriate, that the client call the general inquiry number of the relevant province. In a "fully" integrated system, there could be a federal-provincial "Reference Canada" which had the capacity to make pinpoint referrals not only into federal departments and agencies but provincial ones as well. On the question of information provision, there is no reason why simple, straightforward packages could not be provided to clients, and indeed where requests were straightforward, they would eliminate a major "bounce" in the system.

3.0 PARTNERSHIPS

Trends in government point increasingly towards working in collaboration with other levels of government and with other organizations outside of the public sector. It is difficult to think that clients can be put at the centre of the service delivery equation without involving partners.

Where no single provider has full responsibility for the entire range of services, partnerships are at the core of a true client-centred approach. Without a collaborative effort between the various levels of government and between government and the private sector, clients will have to continue to access services from different locations. In many cases, partnerships will enhance access to services and information where they do not exist currently. In the longer term, partnership arrangements may also reduce costs and the role of government. As well, partnerships may provide mechanisms to reduce duplication and increase efficiency of government service delivery.

Partnerships in the Service Canada Model Context

The term "partnership" is used to refer to a variety of arrangements or working relationships between parties. Traditionally, true partnerships connote some sort of joint action, power sharing and the existence of mutual benefits such that those involved in partnerships share in decision-making and benefit from the outcomes of joint activities.

In the context of the Service Canada model, there are three kinds of partnerships that could improve overall service to the client.

⇒ *Service partnerships:* This type of partnership is characterized by the collaboration or joint action by different levels of government or other organizations to fill in service packages – travel packages, small business packages and trucking packages, for example. Partners may involve other levels of government, non-governmental organizations or private organizations that can service the client. In the case of the virtual model, consideration may be given to cross training Reference Canada service representatives to provide pathfinding to provincial services as well. Or, perhaps more efficient, to have a referral out to a Reference Province service.

⇒ *Delivery agents:* Delivery agents are the vehicle through which the actual services or pathfinding is delivered. In the case of a SNB-type model, the actual operation and maintenance of the walk-in centre could be contracted out (as SNB is in fact doing

with Canada Post). Existing infrastructure, federal and otherwise, could be used to achieve appropriate penetration rates. In the case of a virtual Service Canada model, similar contracting out arrangements could be considered for the Reference Canada element of the model.

⇒ *Infrastructure agents:* Infrastructure agents can be thought of as those that provide the "wiring" behind the service. In most cases, there is little direct interaction between the client (public) and the partner except through technology. A seamless Service Canada model – whether physical or virtual – would require extensive information system upgrades to connect a range of departments, programs and information sources together. Similar to the Service New Brunswick model, the federal government could consider leveraging the strengths of organizations that are in the business of providing telecommunications infrastructure such as telephone and cable companies.

It is also worth noting that some partners may play a number of roles. For example, in a walk-in model, Canada Post could be a natural delivery agent -- Post offices are located in most small towns across Canada so the physical network is in place. In addition, many towns and villages see the post office as the natural location to pick up/drop off information. However, Canada Post can also be considered as an infrastructure agent. If call centres become a central feature of a Service Canada model, Canada Post may prove to be a logical partner. Requests for forms or applications initiated at the call centres may potentially be generated by Canada Post and sent to customers across Canada through a service called Volume Electronic Mail. Since Canada Post is in the business of large volume mail handling, it may prove to be a reliable partner for the generation and delivery of standard applications and forms.

4.0 CRITICAL SUCCESS FACTORS - LESSONS LEARNED

Governments across Canada have begun experimenting more intensively with client focused service models. These initiatives have led to significant changes in the way people, processes and technology interact. These experiments with alternative models of service delivery have provided a series of lessons that can be drawn on for future change initiatives. These are briefly highlighted below as *critical success factors* necessary for implementing a successful client-centred service delivery model. While some were referenced earlier in this paper, it is nevertheless useful to keep the full range of success factors clearly in focus when moving forward.

1. A clear and articulated vision
2. Strong and consistent sponsor commitment
3. An action plan
4. Cultural and organizational alignment
5. Open consultation and communication
6. A lead change agent
7. A cross functional design and implementation team
8. Compatible front-end and back-end processes
9. An attitude that does not see legislation as a barrier
10. Success momentum

1.   *A Clear and Articulated Vision*

Many people overlook the importance of the role a vision plays in a change initiative. The vision is often described as a "motherhood" statement that provides little value. In actual fact, the vision plays a very important role. It states the fundamental reason for the existence of a program or initiative, it establishes the scope of the initiative at a high level, it provides long term direction and acts as a foundation for developing goals and objectives. A vision can be narrowly or broadly defined. But it is not just an idea in somebody's mind. It must be articulated and communicated.

The actual process of articulating the vision in the case of a Service Canada model may be just as important as the vision itself. The vision development process will bring the key players and potential partners together to help formalize the concept of a Service Canada model. The process will help foster the buy-in by partners and foster the

development of a working relationship among players who traditionally may not have worked together.

2.   *Strong and Consistent Sponsor Commitment*

Sponsor commitment is one of the single most critical elements of a smooth and successful change initiative.   Often in the case of public sector change initiatives, ministerial sponsorship and commitment is crucial to a successful change initiative.

If the sponsor is not fully committed to the change initiative, there is a significant risk that the initiative will not move beyond the idea stage. In addition to having a strong sponsor, it is important to have a consistent sponsor throughout the major phases of the initiative. A focus on one sponsor promotes consistent leadership to those implementing change, reduces down time required to bring a new sponsor "up-to-speed," and symbolically demonstrates the importance of the change initiative.

3.   *An Action Plan*

A plan which lays out the who, what, where, when, and how is integral to successful implementation of the vision and change initiative. The plan must address a host of issues in a coordinated and consistent fashion. The range of issues could include those dealing with legislative changes to geographic location to what services will be delivered by whom. The core of the action plan takes into consideration strategic issues such as structure and coordination, but at the same time it maps out the linkages between each of the change initiative components. This is integral to a consistent application of the change initiative and leads to greater success at implementing changes effectively and efficiently.

4.   *Cultural and Organizational Alignment*

To be successful, an organization that implements change must be concerned with the impact on not only the organization but on the people within that organization. The corporate culture of any organization can make or break a change program. Culture is always an issue when a strategic decision requires a major shift in the way management and/or employees operate.   Strategic decisions are likely to require a significant realignment of organizational behaviours when the changes caused by those decisions are implemented. It is important to align not only the processes and systems but to also identify and begin to change the behaviours of those within the organization.

5.   *Open Consultation and Communication*

In order to change culture, a strong communication and consultation process is necessary. A strategy must be developed early on in the change initiative to disseminate information to all staff and to communicate/consult with all potential stakeholders (this includes the unions, the clients, other levels of government or other branches within government and

private organizations). While senior management and the design team may lead the change process, staff, clients and the unions have the influence to stall or delay the success of a change initiative.

In essence, communication and consultation must begin early on to manage expectations, alleviate fears, dispel myths and encourage compliance. A Service Canada model will affect the way many people both inside and outside of government interact with government. The only sure fact is that Service Canada will entail different interaction. The notion of different will no doubt raise questions, concerns and fears. A strong communication plan will play a key role in reducing or managing those concerns.

6.   A Lead Change Agent

The lead change agent puts the plan in place on behalf of the sponsor. The change initiative needs the right leader to set the course, take action and ensure the plan is implemented within a reasonable time frame. The change agent is the one that is responsible for the day-to-day operations of the initiative. Choosing the right person, with the right qualities and experience is essential. This individual should:

- be respected at the political level;
- be seen as a leader;
- have experience in large and innovative change initiatives;
- possess strong people skills;
- be well versed in alternative delivery mechanisms;
- understand technology, its potential and its limits;
- know how to work within and around government; and
- be committed to the success of the initiative.

7.   A Cross Functional Design and Implementation Team

Another key ingredient of success is the team itself. There is a necessity for a strong team to manage and operationalize the concepts behind Service Canada into a working model. If we draw on the lessons learned from the Clearing the Path (CTP) initiative in Ontario, the project demonstrated the importance of a team that encompasses the skills and knowledge from both a technology and a program perspective. Program and information technology staff worked together throughout the entire process to ensure the program elements were successfully translated into the automated operational environment (e.g., computer workstation). Synergy was developed between the two segments of the team in order to effectively and efficiently achieve the single window model.

It is important to stress the significance of having integrated teams comprised of the relevant program and technology partners. Program and technology team members need to work together in the design and implementation phases in order to successfully integrate components of both. The program experts need to understand the limits and roles of technology, while the technology experts should understand the program

requirements. The best way to accomplish this is through joint design and implementation effort.

8.   Compatible Front-end and Back-end Processes

Another lesson learned is that in implementing a "single window" approach, the design team cannot focus solely on the front-end process (the delivery structure). Because the "single window" concept artificially divides the front-end delivery from the back-end policy and processing aspects, it is relatively easy to segment the two. It is critical to ensure that those involved in the back-end processes are just as committed to change as those involved in the front-end process. Streamlining and simplifying the front-end of service delivery without altering the back-end program administration procedures will not result in significant change.

9.   An Attitude that Does Not see Legislation as a Barrier

If government wants to apply the single window concept to service programs, it usually means crossing departmental lines, involving more than one jurisdiction and evolving legislation to keep up with technology. In order to address many of these issues, the political will and the right attitude must exist. Legislation and jurisdictional issues should not be seen as barriers, rather they should be seen as opportunities for change.

The example demonstrated by the CTP initiative with its Business Regulation Reform Act (April 1995) demonstrates that legislation can change to enable future streamlining and simplification of the regulatory process between government and business partners. In addition to streamlining the regulatory process, this legislation was required to accommodate a "single window" environment. In October 1995, the first regulations permitted electronic business registration and reporting procedures, without the traditional elements (paper or signatures). The Act also allowed delivery of other governments' programs and permitted federal, provincial and municipal interaction.

10.   Success Momentum

It is important for there to be visible signs of change within a relatively short time frame (Service New Brunswick was up and running within six months). The reason is the need to demonstrate success early on to sustain the momentum for change. This does not mean that an entire initiative needs to be in place; rather, successful pilots need to be started. The key is to choose a successful pilot or one that has a strong possibility for success. Choosing "doable" pieces or small sites is critical to gain support from partners, the executive level and from clients. It may serve to alleviate fears from those that did not believe change was possible. Further, for those involved in the initiative, it will sustain the drive and the energy for full implementation.

5.0 BRINGING IT TOGETHER

5.1 Major Implementation Planning Issues

Getting a Service Canada model up and running will take time and resources. Regardless of the model, it will require initial capital costs, infrastructure costs and training costs which will bear on timing and design. There will be a requirement for on-going public resources devoted to developing and designing and maintaining of the organization. The nature of partnerships (either with government or the private sector) will need to be examined thoroughly; monitoring and evaluating the service delivery structure based on performance measures will need to be established in order to determine that the client is satisfied and receiving the appropriate services; and keeping abreast of any redesigning necessary as needs evolve, expectations change and new technologies emerge.

It is useful to briefly review some of the issues that would need to be addressed in planning for the implementation of a Service Canada model. Below, we briefly address:

- Accountability
- Finance
- Technology
- Organization

Accountability

From the federal government perspective, one of the most important concerns will be **accountability**. This issue is of great importance in a SNB-type model and of lesser importance in the virtual model where services continue to be delivered by individual departments. From an operational perspective, departmental 'silos' need to be overcome to allow for services to be focused on the client. This immediately raises potential questions around ministerial accountability; statutory authority; and accountability over financial and personnel matters.

In the day-to-day operations of a Service Canada model, the roles and responsibilities among departments and their relationships must be articulated. These will need to be clearly delineated but at the same time in such a fashion, that they are not constricting or indeed, inhibiting the ultimate goal, of creating a client-centred service capability. The federal government must strike a balance between having the flexibility required to

service a diverse client base (e.g., citizens) and the appropriate financial controls in place to ensure services and the structure(s) delivering them are operating efficiently and effectively.

Finance

When considering developing a service delivery model which combines a range of services/information across government departments, billing arrangements and budget management/control systems become a critical matter. Tied closely to accountability, the type of financial system(s) put in place will be important. Any financial system put in place will need to be flexible as the nature of client needs will be diverse and wide-ranging. Again this is an issue that pertains primarily to an SNB-type model.

Traditional financial controls may not be sufficient to handle the demands of such a diverse service delivery system as the Service Canada model. Specific information on operational performance and budget actuals/projections will likely need to be visited in the context of the model if they are to be used as meaningful indicators of how well the model is working from a financial perspective.

In addition, in the short-term, the federal government may face significant costs in implementing a more client-centred service delivery model. These costs could be due to technology related issues, training issues, hiring of new personnel, and so on.

Technology

Technology has rapidly changed the face of service delivery not only in Canada, but around the world. As the federal government moves to improve its delivery of services to citizens, technology will play a key role.

The federal government must grapple with how to connect its existing electronic systems, data bases and networks across the country if it is to enhance its service delivery to Canadians. Establishing platforms which communicate with one another or are compatible will be crucial for addressing client concerns over accuracy, reliability, speed and so on. While computers are an important part of this 'connectivity' concern, this also applies to telecommunication links as more and more information access points are being established using fiber optics.

A note of caution must be raised here though, as with more and more information/data (personal and private) available on computers, in data bases, etc., privacy issues will become a source of concern not only for citizens but for the federal government who must legislate and manage it (e.g., within government as well as amongst any partners). It will become important to determine how to limit and protect the access to personal information especially if databases will be accessible from a number of points. The government could become vulnerable to computer hacks; persons seeking access to confidential or private information; and fraud.

Organization

From an organizational perspective, a number of issues surface. Aside from how a Service Canada model will actually be structured, one of the most important organizational concerns will be on how to build a service **culture**. It will be important to establish close links between the people, processes and technologies in the new organization. Many government departments and agencies have embarked on renewal exercises which place an emphasis on service to clients. While many have made significant strides towards this, a Service Canada model will require them to go much further.

Employees will need to be part of a "culture" which values client service from top to bottom. The federal government will need to cope with bringing employees from different organizations and professions together to work under one roof. As has happened with recent government restructuring, the "pains" of restructuring can be severe and last for several years. In most cases, positive signs of major cultural change can take anywhere from 3 to 5 years to begin to show.

In addition to concerns over 'culture', the federal government will need to develop comprehensive **performance measures/standards** which will ensure and measure the level of service quality to its clients. These indicators should flow from the criticisms raised by citizens over government service delivery, e.g., reliability, accessibility, timeliness, accuracy and availability. Specifically, these performance measures should be based on traditional business performance standards such as:

- waiting time (in line, on the phone);
- processing time (depending upon the type of client request);
- time to answer questions;
- decision making (program dependent);
- exceptions (if there is an exception, how long should it take to process a client's case);
- service (polite, friendly, knowledgeable, expedient); and
- others, as specified.

Aside from the need to develop performance measures, the federal government will have to invest in significant **training** of its public servants so that they have the foundation for delivering services to the public. Appropriate training will also reinforce the types of attitudes and behaviours the federal government will be demanding of its employees under the new model. Training in customer service, information retrieval, having a "client" focus rather than a bureaucratic/rules one, as well as attention to quality/presentation/detail will be required for service representatives.

On a related note, the federal government will also have to ensure that all services (and service representatives) are offered in **both official languages**. This could mean significant training expenses as well as heavy implications for technology applications such as computers or video-display terminals as these will have to be made available in both languages.

Finally, the federal government will likely have to embark upon a **public education/awareness** campaign with the public at large. Citizens will need to know not only that they can access government services in a "new fashion", but that they are encouraged to do so. Government services should be made not only easily accessible by all, but user friendly. The federal government will need to "market" its services and its new approach to service delivery.

As noted earlier, there are probably many more 'wiring' issues the federal government will need to concern itself with. This list, while not exhaustive, has provided a sense of the complexities involved.

6.0 CONCLUSION

The notion of re-inventing the service culture within the federal government is certainly not new. The parameters for the reinvention were conceptually laid out in PS 2000. Since that time there has been much experimentation with service delivery cultures, models, and the supporting infrastructure including training, physical presence, technology and so on.

These experiments have produced many lessons and enhanced our understanding of what is required for a successful initiative. It is clear that introducing and growing a service culture requires vision and strong commitment. It is equally clear that it requires a detailed business and implementation plan that includes all aspects of the initiative.

A first step in this process would be the development of a more detailed business policy/strategy. This piece would first spell out the proposed structure of the model(s), methodically address the specific gaps in each of the key parts of the model, and establish the work planning requirements necessary to address them. This task would require a detailed assessment of Reference Canada, the development of performance standards that could be adopted government wide, and the identification of key generic issues that would have to be addressed in individual departmental implementation plans.

The piece should also identify the prospects for piloting some parts of the initiative either at the departmental or Reference Canada level. It could also develop the "quick hits" that are crucial to establishing success momentum for the initiative.

It is only once this conceptual work was complete that it would be fruitful to move on to a detailed business/implementation plan for such an initiative.

Guiding Principles

Having established the guiding principles, a key consideration in delivering transactional/informational services is how to group the various services being offered by the federal government to meet the needs of citizens. This *clustering* enables the federal government to adopt and modify a service delivery model which meets (and exceeds) client expectations.

As a start, by clustering clients into broad groupings, the federal government will be able to enhance its delivery of services. Typically, clients can be clustered according to: geographic/regional location; age; sex; language; and so on. For illustrative purposes, the Service Canada model has clustered citizens into three broad groupings: Business, Citizens (generally), and Special Interest. These broad categories are meant to encompass the entire population within Canada as well as those beyond our borders who may for one reason or another, need to perform transactional/informational requests with the Canadian government. This clustering also reflects the reality that citizens may interact with the federal government individually or as part of a larger group. It should be noted, that a hybrid cluster may be preferred in some instances, e.g., cluster based upon broad categories, but done on a regional/geographic basis.

Having clustered clients, the Service Canada Model then looks towards how best to cluster federal government services to best meet the needs of clients. For instance, Reference Canada, a path finding information and referral service to federal programs and services, has found that most of its requests fall into the following broad categories: jobs, starting a business, taxation, income/benefits, and so on. Building from there, services could be clustered based on the nature of client requests, e.g., Jobs, Tax, Income Security, Starting a Business, Statistical, Regulations, General Services, and so on. It should be noted, that due to the broad range of requests, it may not be possible to cluster all client requests. For illustrative purposes, Chart 3 sets out the type of client and transactional/informational service clusters possible in a Service Canada Model.

In operationalizing a Service Canada Model, it will be important to build upon the existing service delivery infrastructure, rather than duplicate or re-invent delivery mechanisms already in place. As all ready noted, the federal government has utilized telecommunication services with its 1-800 Reference Canada call centres. The Service Canada Model would link up with that existing service and become part of the wider Service Canada network. Furthermore, the usage of technology (e.g., computers, video-

display monitors, expert/AI systems, etc.) will become an integral part of the Service Canada Model.

As the Service Canada Model is put in place, it will be important to consider where services will be delivered. Aside from several service delivery mechanism in place, there is an existing infrastructure throughout Canada. Post offices, libraries, Canada Employment Centres, Revenue Canada offices, Citizenship and Immigration offices, available federal real estate, already occupy space which could be utilized for the Service Canada Model. Depending upon the type of delivery mechanism put in place (e.g., walk-in; single-window service counter; call centre; remote access; mall kiosk, etc.) these existing federal locations could be re-designed or reconfigured to meet the needs of a Service Canada Model. For instance, computer networks may be required to link up existing data bases and to allow customer service representatives fast, accurate information. These may be located in any one or all of the above. It must be recognized though, that delivery of federal government services to citizens in Canada is difficult from a geographic perspective, however, by using and linking up the existing infrastructure, the challenge this poses, could be minimized.

In moving towards a Service Canada Model it is important to also identify those partners which are required to make the service seamless to the client. As noted in the introduction of this paper, Citizens have been disgruntled with the level and quality of service provided by governments. One contributing factor has been concerns over duplication and red tape. Much of this hinges upon cooperation with a variety of public or private organizations to ensure that the delivery of services to citizens is seamless. The following section elaborates on the nature of this relationship with partners in the context of a Service Canada Model.