

THE UNIVERSITY OF MANITOBA

SCHOOL OF SOCIAL WORK

The Program Planning Process: An
Exploratory Descriptive Study of
Program Development in the Field
of Corrections

A Thesis Submitted in Partial
Fulfillment of the Requirements
for the Degree of Master of
Social Work.

By

John D. Linklater

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ABSTRACT

This is an exploratory descriptive study in which the researcher examined the process by which a new program was planned and introduced to the criminal justice system. The new program, known as the Native Clan Organization, was introduced as a demonstration project funded by the Ministry of the Solicitor General.

The Native Clan is an organization which provides a number of services such as counselling and referral, recreational activities and halfway home facilities to native inmates and ex-inmates from both federal and provincial institutions.

Using a standardized interview guide composed largely of open ended questions, the researcher interviewed eleven respondents chosen from among the residents and staff of the Native Clan as well as from representatives of the Ministry of the Solicitor General. The responses obtained from the use of the interview guide as well as documentation made available to the researcher were analyzed subjectively and interpretations were made which led to the development of general conclusions regarding the program planning process.

A specific paradigm for program planning is suggested by the researcher who emphasizes that although the paradigm contains the essential components for rational planning of new programs the process can be repetitive or even cyclic in its nature.

TABLE OF CONTENTS

ABSTRACT	ii
CHAPTER	
I INTRODUCTION	1
II THEORETICAL FRAMEWORK	3
Developing a Conceptual Framework	15
Definitions	26
Organizational Context	24
III METHODOLOGY	25
Sources of Data	29
General Methodological Procedures	30
Method of Data Presentation and Analysis	31
Assumptions and Limitations	33
IV PRESENTATION & DISCUSSION OF FINDINGS	35
Introduction	35
Data Presentation	35
Discussion of Findings	72
Summary	92
V CONCLUSIONS	95

CHAPTER I

Introduction

In recent years a growing share of our national resources have been assigned to the development of programs for meeting social needs. Funds for education, health services, correctional services, income maintenance and related programs are expanding rapidly at all levels of government.

Coinciding with this mass distribution of government funds is a small but growing body of organizational literature which has as its focus the development of program planning paradigms. These paradigms represent theoretical conceptualizations of the process by which organizations develop new programs in response to internal and external stimuli.

This thesis takes the form of an exploratory case study in which the writer examines the process of planning and communication which occurred in the development of a new program in a federal government department. More specifically in the late 1960's and early 1970's the native inmates at a federal government institution, Stony Mountain Penitentiary, began to express their dissatisfaction with services and programs existing inside and outside of the institution. A general unrest developed which led to an exchange of dialogue between the native inmates and federal government officials. This dialogue led eventually to the creation of an innovative, community centered program known as the Native Clan Organization.

The purpose of this study is twofold:

1. To describe the program planning process as it occurred in the development of the Native Clan Organization.
2. To provide a descriptive analysis of the process as it relates to the paradigm used to collect data.

CHAPTER II

Theoretical Framework

The purpose of this chapter is to provide an overview of that organizational literature which addresses itself to the program planning process. Following this discussion a theoretical paradigm of the program planning process is introduced by the writer.

Planning, as it is commonly understood is a "relatively systematic method which men use to solve problems"². This definition is of course highly abstract. Within a dynamic organization composed of large, complex units, operating in the face of many forces restricting flexibility, the planning function becomes critical. Since the consequence of any decision has a broad and often drastic impact, management, through its planning function, must try for the optimal course of action.

A great deal of the planning literature stresses the relationship of organization theory and management practice in specific situations. This contingency view depends on a body of knowledge and research endeavors that focus on interrelationships among key variables and subsystems in organizations. In other words the contingency theorists focus upon the end result of a change or the response of an organization to a particular set of conditions.

Given this set of conditions an attempt is made to identify a particular response which, if implemented, would maximize the effectiveness of the organization's functioning. Among the contributions that contingency theorists have made is their view that organizations are not static in nature but are in fact dynamic, changing systems. They have expounded on the need for organizations to change internally and be responsive to the demands of the changing external environment. They do this in the context of the open systems approach to organizations. Lawrence and Lorsch describe the contingency view in the following way:

"During the past few years there has been evident a new trend in the study of organizational phenomena. Underlying this new approach is the idea that the internal functioning of organizations must be consistent with demands of the organization task, technology or external environment and the needs of its members if the organization is to be effective. Rather than searching for the panacea of the one best way to organize under all conditions investigators have more and more tended to examine the functioning of organizations in relation to the needs of their particular members and the external pressures facing them. Basically this approach seems to be leading to the development of a 'contingency' theory of organization with the appropriate internal states and processes of the organization contingent upon external requirements and member needs."³

Kast and Rosenzweig, in the context of General Systems Theory describe the contingency view as follows:

"The contingency view of organizations and their management suggests that an organization is a system composed of subsystems and delineated by identifiable boundaries from its environmental suprasystem. The contingency view seeks to understand the interrelationships within and among subsystems as well as between the organization and its environment and to define patterns of relationships or configurations of variables. It emphasizes the multivariate nature of organizations and attempts to understand how organizations operate under varying conditions and in specific circumstances. Contingency views are ultimately directed toward suggesting organizational designs and managerial actions most appropriate for specific situations."⁴

Although the perspectives are somewhat different, these two descriptions, as well as the writings of other contingency theorists, stress that organizations represent open systems. Katz and Kahn⁵ provide a detailed outline of this concept as it applies to organizations. The essential elements of the open systems model which are of importance here include the interdependence of the subsystems which comprise the larger organizational system and the concept that open systems exchange information, energy or material with their environment.

The key difference between the contingency theorists and the bulk of organizational literature is the type of question which each attempts to answer. The traditional theorist asks "What is the best way to organize, lead, decide for all situations?" The contingency theorist asks "What is the best way to organize, lead, decide given these specific contingencies?" It is this interdependence of organizational subsystems and the interaction between the organization and the environment under specific conditions which provides the foundation upon which the contingency theorists construct organizational theory.

Differences also exist within the small group of contingency theorists. Burns and Stalker for instance suggest "organic" and "mechanistic"⁶ management systems which are contingent upon the rate of environmental change. Under stable conditions the mechanistic type of organization structure characterized by a rigid hierarchy of authority and centralized decision making is more efficient. Under changing environmental conditions, the organic form of organizational structure is most efficient. It is characterized by a less rigid hierarchy of authority and a more decentralized decision making process.

Thompson focuses on environmental uncertainty as the key variable to which an effective organizational structure must be sensitive. "Uncertainty appears as the fundamental problem for complex organizations, and coping with uncertainty, is the essence of the administrative process."⁷ He states that uncertainties stem from:

1. generalized uncertainty or lack of cause/effect understanding in the culture at large.
2. contingency, in which the outcomes of organizational action are in part determined by the actions of elements of the environment.
3. internal uncertainty arising from the interdependence of components of the organization.⁸

Lawrence and Lorsch also focus on environmental uncertainty as the key variable to which an organizational structure must be sensitive. They hold to the principle that there is no one best managerial style for all departments in an organization. In developing a model for organizational design, the key concept subscribed to is sensitivity to the extra organizational environment. This model provides a framework based on the demands of the organizations environment and the optimum organizational characteristics required to operate effectively in that environment. There are four environmental demands which the authors put forth:

1. The major competitive issue;
2. Certainty of knowledge;
3. Diversity of environmental characteristics;
4. Required interdependence of activities.⁹

Their model is based on the assumption that all organizations have two characteristics which allow them to survive:

1. As systems become large they differentiate into parts and the functionings of these separate parts must be integrated if the entire system is to be viable;

2. Adaptation to the outside environment is essential.

The first characteristic has two important elements:

differentiation and integration. Differentiation means that the components of an organization are highly differentiated from one another. Each component has different organizational patterns, different systems for decision making, different channels of communication and different attitudes and time orientation from other components which work with a different set of environmental pressures. This is true simply because each component must be highly adapted to its particular task and be able to react quickly to changes in its environment. It is worth noting that differentiation contrasts with decentralization which generally refers to the delegation of decision making powers. Differentiation refers to the complete adaptation of an organizational unit to the requirements of the environment within which it works. As organizations deal with their external environments they become segmented into units, each of which has as its major task the problem of dealing with a part of the conditions outside the firm.

Integration is the process by which the differentiated units with their own inputs, goals and outputs link together

in order to accomplish the overall organizational goals. Integration is basically a conflict resolution process. The problem encountered by the integrating function is how to resolve specific conflicts without expecting conflict to disappear. Conflict is an integral part of this model because differentiation and integration are antagonistic concepts. The more differentiation there is, the more differences there are, the more conflicts arise; the more conflicts that exist, the more difficult and complex becomes the process of integration.

Johnson, Kast and Rosenzweig address themselves to the problem of applying the concepts of differentiation and integration to organizational design. They state that the concept of differentiation and integration involves "differentiating the necessary activities of an organization both horizontally and vertically - dividing up the work into doable tasks. At the same time attention must be given to co-ordinating these activities and integrating the results into a meaningful composite result. The fundamental purpose is objective accomplishment".¹⁰ In applying these concepts to organizational design they suggest that:

"1. Units which have similar orientations and tasks should be grouped together. (They can reinforce each other's common concern and the arrangement will simplify the coordinating task of the manager.)

2. Units required to integrate the activities closely should be grouped together. (The common manager can coordinate them through the formal hierarchy.)"¹¹

The second step is then to design a means of integration for the basic structure. It is suggested that special means should be built into the organization in such a way that they facilitate the interaction of integrators with functional specialists who have the relevant knowledge to contribute to joint decisions. In brief the authors suggest that the differentiation and integration of activities are the key dimensions to consider in tailoring the design of an organization.

The organizational structure then, must be sensitive to a number of factors if it is to be responsive to changing environmental and internal forces. The organization adapts to these changing requirements through planning. The planning process is considered to be the vehicle for accomplishment of systems change. Without planning the organization would be slow to change and would not adapt to changing environmental forces.

A variety of conceptual models for the program planning process have been developed in organizational literature. Hage and Aiken suggest four stages in the process of planned organizational change:

1. Evaluation - this represents the beginning of the change process at which point the organizational decision makers determine that either the organization is not accomplishing its present goals as effectively or efficiently as possible, or when decision makers alter or amend the goals of the organization.
2. Initiation - the point at which the decision makers have decided to add to, modify or delete a program or activity in the organization.
3. Implementation - the transition from an idea to a theoretical concept and on to a reality within the organization.
4. Routinization - the time when the organization decision makers decide whether or not the program is meeting the need for which it was designed and therefore should, or should not be, institutionalized. With this decision, if it is to retain the program, comes the development of procedures for the long term incorporation of this program or activity into the systemrules, procedures, job descriptions. The decision to standardize a program marks the beginning of this routinization stage.¹²

Mann and Neff also referring to social change in organizations, suggest five phases of the change process which are similar to those of Hage and Aiken:

1. The state of the organization before the change. This is a description of the organization in its "steady state" when operations are relatively normal and management is keeping the organization in equilibrium.
2. The recognition of the need for change. This is an interval during which technological, economic or other events are perceived by some or all members of the organization as so disquieting or dissatisfying as to motivate research for new, more satisfying arrangements.
3. Planning for the change - this involves clarifying the problems and defining objectives, developing and reviewing alternative courses of action, determining strategy and tactics and identifying and developing needed skills.
4. Taking the Action Steps to make the change - in this phase action is taken to execute the change plan, methods for assessing how the change is proceeding are devised and used periodically, the change is replanned, and new action steps are taken.
5. Stabilizing the Change - this deals with the actions which must be taken to consolidate and reinforce the patterns of behaviour and expectations which are required under the new system and thus to develop a new equilibrium for the system.¹³

If we compare the framework which Hage and Aiken suggest with that of Mann and Neff, we find that they are saying essentially the same things. What the latter researchers define in two phases, the state of the organization before change and the recognition of the need for change, the former

researchers combined into one stage, the evaluation stage.

Alfred J. Kahn in "Studies in Social Policy and Planning" states that the total planning process involves:

1. A variety of preliminary explorations, including efforts to clarify the right to plan, to create a planning unit.....
2. Definition of the planning task, both following upon and leading to reality assessments and inventories, value analysis and choosing;
3. Policy formulation on the basis of empirical exploration; further value probing and choice, definition of the system; consideration of relevant functions; choice of boundaries; assessment... of costs....
4. Programing - as including a wide range of issues from administrative structuring and manpower assignment to budgeting and time-planning, and including feedback for policy review in light of programming realities;
5. A system of reporting, evaluation, and formal feedback."¹⁴

In his companion volume entitled the "Theory and Practise of Social Planning" Kahn describes planning as a process in evolution. He makes a distinction between planning and programming, the latter being primarily concerned with the delivery of service and being only one stage of the total planning process. The total process requires broad and comprehensive support from various specialists including policy analysts, program developers, administration specialists, measurement people, budgeters and enablers, negotiators or

bargainers. He emphasizes the role of the enablers stating that they may be involved in one or all phases of the planning process. Kahn states "Where there is unity, one would expect a staff balanced with expertise from all three realms: economic, physical, social. In practise the emphasis is in favor of economists, whose discipline and method tend to set the conceptual framework for...planning."¹⁵ He argues convincingly against a monopoly by any discipline at any level of the planning process.

Kast and Rosenzweig state that the concept of planned change assumes that the organization can identify gaps between current conditions and desired conditions on a variety of dimensions including effectiveness, efficiency, and participant satisfaction. They have developed the following conceptual framework within which organizations typically respond when confronted with apparent gaps:

1. Problem sensing - Recognizing the need for change.

This awareness may stem from a variety of sources, the most important of which is the formal organizational process of introspection, critique and follow-up.

2. Problem definition - problems are defined in a way which identifies a gap between a current condition and a desired condition on some relevant dimension.

3. Problem solving - this phase involves generating alternatives, evaluating them and choosing a future course of action. Tentative action steps should be identified and checked for feasibility. Performance measures should be established (quantitative and/or qualitative) so that the results of the

planned change can be evaluated at a later date.

4. Implementation of change - in this stage action steps are taken to transform the plan to a reality.

5. Organization renewal - in this phase there is a follow-up appraisal of action results against the plan. This process may lead to no action if the system is on target or to a new cycle of planned change if a problem is sensed.¹⁶

Each of the four conceptual models of the program planning and process presented above assumes the open systems model of planned change. The fundamental purpose of the planning activity is objective accomplishment. The elements contained in each model very closely resemble one another. Differences in each paradigm reflect not so much a variance in the ordering of the process as they do a preference for specific labels in each stage. Differences are also found in the activities included in each stage and this in turn causes some variance in the number of steps involved in each model.

DEVELOPING A CONCEPTUAL FRAMEWORK

In conceptualizing a framework within which to study the program planning process it was determined that each of the four models presented above should be synthesized so that the essential elements of each would be included in the model used for study.

The model presented below represents a synthesized version of the paradigms presented in Table I.¹⁷ The

conceptual framework included the following six stages:

1. Identification - the initial phase of the planning process in which specific problems or needs are identified.
2. Informal Planning - a period of reflection in which various ideas are exchanged on an informal basis. Various courses of action are discussed and preferences are verbalized.
3. Formulation and Statement of Objectives - a selection of choices, embodying some estimate of feasibility and the specification of goals and objectives.
4. Formal Planning - action steps are taken toward the development of a specific program format including the search for financial, physical and human resources. The end product is a formal program proposal.
5. Implementation - the action plan is operationalized.
6. Stabilization - the ongoing operation of the program in which there is a continuous attempt to achieve and maintain equilibrium.

This simplified schema should not be viewed as a rigid hierarchy of steps but rather as a "process in evolution".¹⁸ Kahn makes it clear that planning is a continuous process and not a series of single steps. What follows reveals how this particular model evolved.

TABLE I

PROGRAM PLANNING PARADIGMS

HAGE and AIKEN	MANN and NEFF	KAST and ROSENZWEIG	KAHN
<p>1. EVALUATION - of whether or not the organization is accomplishing its goals.</p> <p>2. INITIATION - by adding to, modifying or deleting a program activity.</p> <p>3. IMPLEMENTATION - the transition from a plan to a reality.</p> <p>4. ROUTINIZATION - based on evaluation, determine whether program should be institutionalized.</p>	<p>1. STATE OF ORGANIZATION BEFORE THE CHANGE - a description of the organization in its steady state.</p> <p>2. RECOGNITION OF NEED - new and more satisfying arrangements are deemed necessary.</p> <p>3. PLANNING FOR THE CHANGE - clarifying problems, defining objectives and reviewing alternative courses of action.</p> <p>4. ACTION STEPS - action is taken to execute the change plan. Includes assessment, replanning and new action steps.</p> <p>5. STABILIZING THE CHANGE - consolidation and reinforcement of patterns of behaviour. Achieve a new equilibrium.</p>	<p>1. PROBLEM SENSING - Recognizing the need for change.</p> <p>2. PROBLEM DEFINITION - identify gaps between current conditions and desired conditions.</p> <p>3. PROBLEM SOLVING - generate alternatives, evaluate them and design future courses of action. Develop evaluation component.</p> <p>4. IMPLEMENTATION OF CHANGE - action steps are taken to transform the plan to a reality.</p> <p>5. ORGANIZATION RENEWAL - follow up appraisal of plan and organizational self evaluation on a formal, regular basis.</p>	<p>1. PRELIMINARY EXPLORATION - includes clarification of right to plan and to create a planning unit.</p> <p>2. DEFINITION - of the planning task.</p> <p>3. POLICY FORMULATION - includes value probing, consideration of relevant functions, choice of boundaries.</p> <p>4. PROGRAMMING - administrative structuring, manpower assignment, budgeting.</p> <p>5. EVALUATION - a system of reporting and formal feedback.</p>

1. Identification - Virtually all of the theorists suggest that the initial phase of the program planning process involves the recognition or identification of factors which indicate that the organization is not accomplishing its stated objectives. In attempting to conceptualize this phase, Hage and Aiken state that this is the period when it is recognized that the organization is not accomplishing its present goals as effectively or efficiently as possible. They suggest that this is an evaluative period during which time decision makers decide whether to amend or alter the goals of the organization. Mann and Neff divide this phase into two parts. The first involves a description of the organization in its steady state while the second is the identification of the need for change. Kast and Rosenzweig on the other hand suggest that problem sensing, that is, recognizing the need for a change, is a result of formal processes which organizations develop to evaluate themselves in an ongoing basis. Kahn indicates that the first phase of planning involves a variety of preliminary explorations of relevant facts. In all cases it is implied, if not formally stated, that the organization is subject to some form of disequilibrium which either leads to or is a direct result of the identification of specific needs.

2. Informal Planning - The program planning process as described by most theorists appears to take into account only that type of change which Bennis refers to as planned change. Kahn suggests that there is a period in the planning process during which various ideas are exchanged and preferences expressed. This is, in effect, a period of reflection during which time people talk informally about the problems or needs identified in the first phase. Mann and Neff give partial recognition to this phase when they identify a period of time during which decision makers determine that there is a need for research in order to provide new and more satisfying arrangements within the context of the organization. However it is Bennis' conception of unplanned change that prompts this writer to include a separate stage of planning during which time participants in the planning process discuss, on an informal basis the impact of the needs identified in the first phase.

3. Formulation and Statement of Objectives - There appears to be consensus among the researchers that there is a well defined period of time during which planners formulate specific objectives that must be achieved in order to regain equilibrium within the system. In essence this phase reflects the first series of choices made by the planners. The selection of these choices embodies some estimate of feasibility, for the assumption is almost always made, even if implicitly, that it

can be achieved. Major objectives and goals are defined in such a manner that they are consistent with the more general goals of the organization. Mann and Neff include this activity with such other activities as the determination of strategy, identifying and developing needed skills, manpower allocation, etc. It is suggested by this writer however that a distinction must be made between those activities which will influence the structure of the program and those activities which are designed to enunciate the purpose of the program. The logical sequence of events would seem to be that a determination is made regarding the specific purposes for which a program is being designed and that steps would then be taken to structure the program in such a manner that the objectives of the program might best be achieved.

4. Formal Planning - It is in this phase that the details of scale, staging (programming over time) and staffing are worked out. The entire field of administration becomes relevant. Manpower planning, finances, service integration and resource development are included. This phase should be "flexible enough to pose options and to permit alterations to meet unforeseen contingencies".¹⁹ Each of the four theorists described previously include a formal planning stage in their paradigms. In all cases there is clear recognition given to the existence of a particular stage in the planning process during which formal plans are enunciated and preparation is made to implement the plan.

5. Implementation - Hage and Aiken state that this is the phase in which the program becomes operational. That is, there occurs a transition from concept to reality. This phase usually involves some type of feedback mechanism to assess how the change is proceeding and to allow for the introduction of appropriate alterations to the change. Techniques of implementation are vital and may include consultation with resource people, staff briefings, training sessions and literature distribution. The implementation phase is a very complex process requiring a great deal of skill. Although all of the theorists give recognition to the importance of this phase, very little is written about the actual implementation process itself.

6. Stabilization - Mann and Neff state that in this final phase actions are taken to consolidate and reinforce the patterns of behaviour and expectations which are required under the new system and thus to develop a new equilibrium. This phase can be conceptualized as the ongoing operation of the program. Changes in needs, objectives, budget, roles and activities of staff and clients, physical resources, numbers of staff, screening and admission procedures and changes in management priorities are examined, as are the actions and responses to these changes.

Implicit in this phase is the evaluation component. That is the organizational decision makers make an effort to assess the program in terms of its effectiveness and efficiency in achieving its goals. Kahn adds a note of caution here when he states "Unrealistic fadism about evaluation often results in legislative and bureaucratic mandating of research designs in connection with all program innovation. While the intent may be admirable, the fact remains that measurement of effectiveness requires extreme clarity about the input (the program being tested), control of extraneous factors (in the research sense), and clarity about criteria for effectiveness".²⁰ He goes on to state that it can be unrealistic and even disastrous to mandate formal evaluation where the real need is for an initial period of program development characterized by considerable trial and error.

This then constitutes the conceptual framework within which the Native Clan Organization has been studied. Table II represents a summarized version of the program planning paradigm as developed by this writer.

TABLE II

THEORETICAL PARADIGM OF THE PROGRAM PLANNING PROCESS

PHASE I

Identification - the initial phase of the planning process in which specific problems or needs are identified.

PHASE II

Planning - Informal - a period of reflection in which various ideas are exchanged on an informal basis. Various courses of action are discussed, Preferences are verbalized.

PHASE III

Formulation and Statement of Objectives - a selection of choices, embodying some estimate of feasibility and the specification of goals and objectives.

PHASE IV

Planning - Formal - action steps are taken toward the development of a specific program format including the search for financial, physical and human resources. The end product should be a formal program proposal.

PHASE V

Implementation - the action plan is operationalized.

PHASE VI

Stabilization - the ongoing operation of the program in which there is a continuous attempt to achieve and maintain an equilibrium with the organization of which it is a part.

CHAPTER III

Methodology

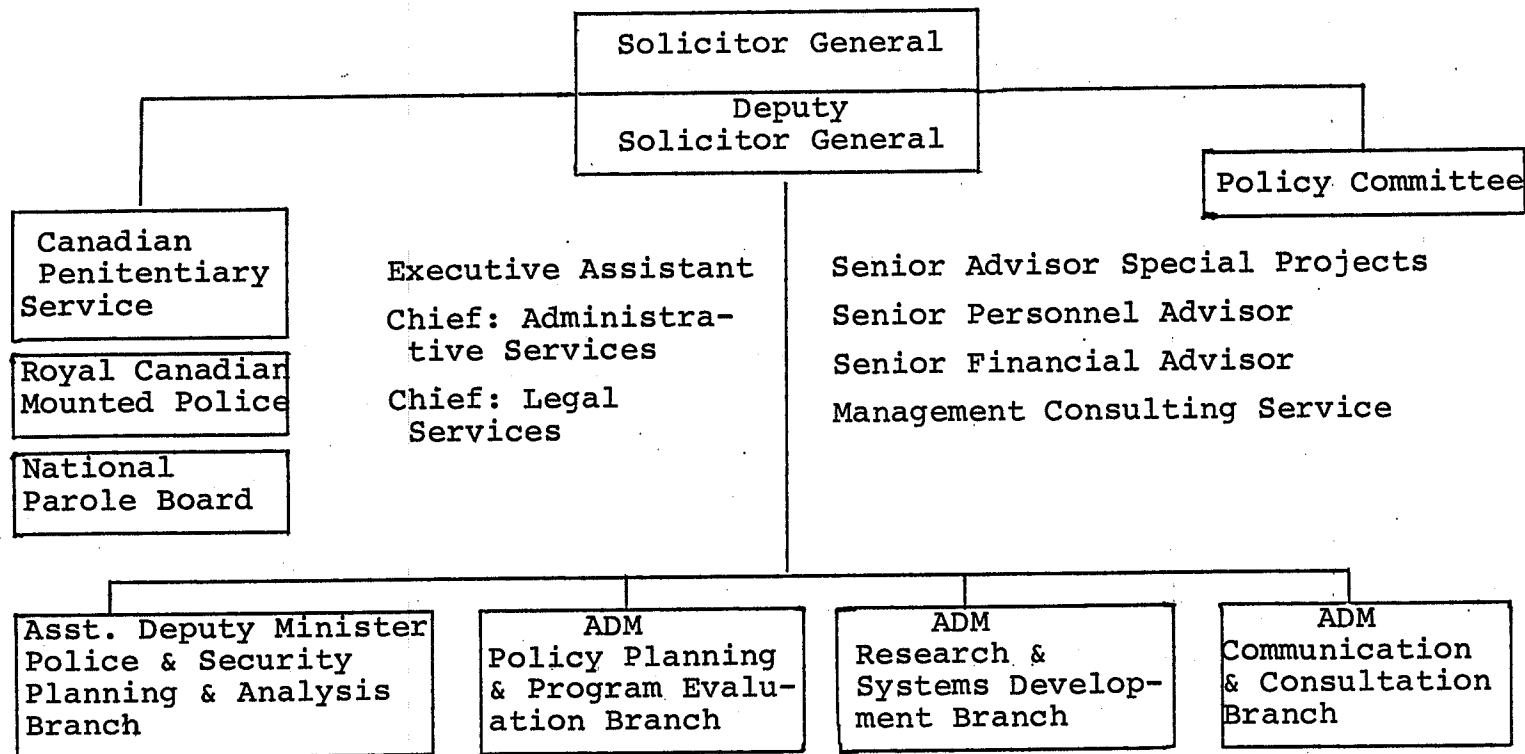
This chapter includes a detailed description of:

- I The Organizational Context of the Study
- II The Sources of Data
- III General Methodological Procedures
- IV The Method of Data Presentation and Analysis

ORGANIZATIONAL CONTEXT OF THE STUDY

Although the Native Clan Organization developed as a result of the efforts of a group of people located primarily in Winnipeg, the program planning process directly involved officials at various levels of the Federal government. The Chart presented below demonstrates the organizational context within which the program planning process must be viewed:

ORGANIZATION CHART - SECRETARIAT OF THE MINISTRY OF THE SOLICITOR GENERAL



The following definitions will be essential to an understanding of the conceptual framework within which this thesis is presented:

- a. Program planning process - a process for the accomplishment of systems change which seeks to maximize the effectiveness of the organization in accordance with its objectives.
- b. Parole - "Authority granted under this (Parole) Act to an inmate to be at large during his term of imprisonment".²¹
- c. Resident (Inmate) - "A person who is under a sentence of imprisonment imposed pursuant to an Act of Parliament of Canada or imposed for criminal contempt of court but does not include a child within the meaning of the Juvenile Delinquents Act who is under sentence of imprisonment for an offense known as delinquency."²²
- d. Parole Supervisor - "A person charged with the guidance and supervision of a paroled inmate."²³
- e. Mandatory Supervision - "Where an inmate to whom parole was not granted is released from imprisonment, prior to the expiration of his sentence according to law, as a result of remission, including earned remission, and the term of such remission exceeds sixty days, he shall, notwithstanding any other act, be subject to Mandatory Supervision commencing upon his release and continuing for the duration of such remission".²⁴

A brief summary of the Ministry's role is also necessary to a complete understanding of the program planning process.

In 1966 Parliament assigned to the Ministry of the Solicitor General responsibility for the Royal Canadian Mounted Police, the Canadian Penitentiary Service and the National Parole Board. The National Parole Board has two arms, the actual board which makes parole decisions and the National Parole Service which functions at the community level. The heads of these three agencies, who have responsibility for administration and programs in their areas, report directly to the Solicitor General.

The Canadian Penitentiary Service receives inmates directly from the courts and is responsible for the administration of sentences of two years or more. Its 54 maximum, medium and minimum security institutions located in eight Canadian provinces provide the full range of treatment and specialized training to help the inmate rehabilitate himself.

The National Parole Board determines whether parole should be granted to inmates, convicted under federal law.

The National Parole Service is dedicated to assisting the offender in becoming a responsible law-abiding member of the community, while it ensures public protection. The Service is responsible for the investigation and preparation of cases for the Board. It is responsible for the supervision

of parolees and for the supervision of inmates, who are not selected for parole but are released on mandatory supervision to serve their remission period in the community.

The development and coordination of Ministry policy is the responsibility of a Secretariat that reports to the Deputy Solicitor General. The Secretariat has four branches, each headed by an Assistant Deputy Minister. The branch which is of most interest to this study is the Communication and Consultation Branch. This branch is responsible for the Ministry's internal and external communications. It fulfills its role through broadly based consultations, demonstration projects, Task Force studies and reviews of provincial correctional services. Perhaps most important for the application of research, it funds and encourages a wide variety of innovative action projects on crime prevention.²⁵

The Native Clan's proposal for funding then, required the coordinated efforts of the Canadian Penitentiary Service, the National Parole Board, the National Parole Service and the Communication and Consultation Branch of the Ministry of the Solicitor General. The Communication and Consultation Branch was in turn responsible to the Deputy Solicitor General and final funding authority lay with the Treasury Board.

II SOURCES OF DATA

Two sources of data were utilized in conducting the study. These were:

1. Documentation, including various memos and minutes, which were made available to the researcher by the Native Clan Organization, the National Parole Service and the Consultation department of the Ministry of the Solicitor General.
2. Interviews of subjects known by the researcher to have been actively involved in the planning process. The respondents included:
 - a. The Chairman of the Board of Directors of the Native Clan Organization.
 - b. The Director of the Native Clan Organization.
 - c. The former Director of the Native Clan Organization.
 - d. The Senior counsellor and parole supervisor of the Native Clan Organization.
 - e. A former liason worker and parole supervisor employed by the Native Clan Organization.
 - f. A former planner and liaison counsellor with the Native Clan Organization.
 - g. A former resident and planner.
 - h. The District Director of the National Parole Service in Winnipeg.

- i. A regional consultant with the Ministry of the Solicitor General.
- j. An assistant Classification Officer in the Penitentiary Service.
- k. A supervisor of Classification in the Penitentiary Service.

Each of the above respondents was selected either on the basis of the writer's personal knowledge of their involvement in the program planning process or because they were recommended to the writer by other interviewees.

III GENERAL METHODOLOGICAL PROCEDURES

1. Documentation - a considerable amount of file material was made available to the researcher. This material was chronologically indexed and analyzed by the researcher in order to factually document the stages of the planning process. Since much of the material is of a confidential nature, reference is only made to the fact that documentation exists to support particular activities which occurred in the planning process. The actual documentation is not included in the study.

2. The Standardized Interview Guide - The program planning paradigm developed in Chapter II was used as the basis for the standardized interview guide contained in Appendix A. Six phases of planning were examined: identification of needs, informal planning, formulation and statement of objectives,

formal planning, implementation and stabilization. Questions relating to each phase of planning arose from two sources:

a. A review of existing literature on the program planning process. Since existing paradigms were arrived at deductively, it was possible to identify specific problem areas for further investigation.

b. Extensive use was made of a questionnaire previously developed by a federal government task force of which this researcher was a member. This questionnaire was administered by the task force to approximately two hundred and twenty-five respondents and was designed to elicit information regarding program development in the field of corrections.

Each subject was given the same introduction to the questionnaire (see Appendix B). Each respondent was asked to respond to all questions to the best of his ability. Interviews ranged from one hour to over three hours in length and were recorded on a standard cassette recorder.

IV METHOD OF DATA PRESENTATION AND ANALYSIS

1. Documentation - All documents including letters, memos and formal proposals were chronologically indexed in such a manner that the date of writing, name and position of sender, name of receiver and subject matter were readily available to the researcher. This indexing procedure was used to allow the researcher to locate specific information for each of the stages of the planning process.

This information was used in conjunction with data received from the interviews in order to clarify discrepancies or to provide additional information where required.

2. The Standardized Interview Guide - As stated previously each of the eleven interviews was recorded on a standard cassette recorder and subsequently transcribed. It was anticipated that very little documentation would exist for the first two stages since by definition there is an informality which almost precludes the recording of data or information. Consequently virtually all data for the first two stages were obtained from the transcribed interviews. Data for the latter four stages were obtained from both the interviews and the document analysis. Recognition was given to the fact that responses to the questionnaire would vary according to the respondent's degree of involvement in the planning process, the degree of accuracy in recalling events and the extent to which the respondent was kept informed of events as the program planning process evolved. Each stage of the planning process was described separately according to the data available from the interviews and from the documents. Any differences in data obtained from the interviews were noted in the discussion.

Following the description of each stage the researcher recorded observations about the events in that stage in terms of the theoretical paradigm.

Finally an overall analysis of the events as they occurred in the program planning process was undertaken. It was possible to identify specific time sequences in the process and to identify areas of overlap and/or omission.

The thesis concludes with the presentation of various problem areas experienced in this research which will require further investigation.

ASSUMPTIONS

The researcher is prepared to make the following assumptions with respect to this study:

- a. The use of personal interviews with a standardized interview guide is regarded as an adequate method of gathering data considering the exploratory nature of this study.
- b. The respondents selected are considered to be the most knowledgeable individuals with respect to the subject matter of this study.

It is assumed that each respondent answered all questions to the best of his knowledge and ability and that to this extent the answers may be regarded as true and valid.

LIMITATIONS

The study has the following limitations which were taken into consideration in the problem-formulation stage of the research:

- a. It will not be possible within this study to evaluate the success of the Native Clan Organization in relation to other rehabilitative programs.
- b. It will not be possible to evaluate the relative merits of the program planning process in this case study.
- c. It will not be possible to evaluate the Native Clan Organization in terms of whether or not it is meeting its stated objectives.
- d. There will be no evaluation of community acceptance or attitude toward the program.
- e. It will not be possible to assess the adequacy of resources in relation to the Native Clan Organization.
- f. There is no assurance that the relationship between two variables found in a given study will be found in other studies.
- g. A hypothesis based upon a single case study is likely to be unrelated to other knowledge or theory. (see footnote 1)

Given these limitations it must also be recognized that intensive case studies are a particularly fruitful method for stimulating insights and suggesting hypotheses for future research into the subject.

CHAPTER IV

Presentation and Discussion of Findings

INTRODUCTION

This chapter consists of three parts. The first part consists of a narrative account of the program planning process as it occurred in the development of the Native Clan program. The second part consists of a stage by stage analysis of events and the concluding part consists of a summary of the entire process, with a comment on the usefulness of our theoretical paradigm.

PART I - DATA PRESENTATIONStage I Identification

In September, 1971, a letter arrived at the offices of the Manitoba Metis Federation which had been written by representatives of the Indian and Metis Brotherhood Organization (I.M.B.O.) in Stony Mountain Penitentiary. In the letter a number of concerns of the native inmates of the institution were specified.²⁶ It was claimed that native inmates were being discriminated against by the National Parole Board in terms of the number of paroles granted to native inmates as compared to the number being granted to non-native inmates. It was stated that the native inmates were not able to participate in institutional rehabilitative programs because of language barriers, illiteracy and cultural barriers.

The letter further claimed that neither the National Parole Board nor the Canadian Penitentiary Service were responsive to these needs and that as a result the native inmate was poorly prepared for release either on parole or at the end of sentence. This in turn resulted in a high recidivism for the native inmate as compared to the non-native inmate. Other concerns expressed in the letter included limited contact with relatives and friends on reserves, a lack of release facilities in either urban or rural settings, relatively few releases on temporary absence as compared with the non-native population and a lack of native counsellors in the institution and in the National Parole Service with whom the native inmate might better be able to relate.

Although the letter was not documented with statistics, the concerns that were expressed aroused the interest of one × representative of the Manitoba Metis Federation (M.M.F.) who decided to accept the invitation to meet with the Indian and Metis Brotherhood Organization in order to determine whether the claims could be substantiated. During the course of that meeting, in October, 1971, the M.M.F. representative became convinced that the concerns that had been expressed were legitimate and that "something had to be done".²⁷ He was aware however that no efforts had been undertaken to document the validity of the native inmates' concerns and that no

concerted effort had been made to enlist the support of either institutional or parole personnel in the development of a program or programs that might be of assistance to the native inmate in alleviating some or all of their concerns.

After hearing the inmates reiterate their concerns and after listening to their demands for more native staff in the institution and for some form of release facility for natives who were released from prison, the M.M.F. representative agreed to help them, although he was uncertain what he would do or how he would do it. He also pledged that whatever action was undertaken would only be done after full consultation with the native inmates themselves.

Stage II Informal Planning

According to the M.M.F. representative's own account his initial concern was to obtain some form of statistical support for the claims being made by the native inmates. He therefore sought the assistance of the Director of the Community Corrections Centre (a federal day release centre located in Winnipeg). The Director provided a statistical breakdown of the inmate population at the Community Corrections Centre from November, 1968, to September 30, 1971 (see Appendix C). With these statistics in hand the M.M.F. representative set out to secure support in principle from a number of people for what he now saw as the need for an "all native"²⁸ community

release centre located in Winnipeg. He met individually with the Director of Stony Mountain Institution, the District Representative of the National Parole Service, representatives from the Manitoba Indian Brotherhood, the Department of Indian Affairs and the provincial department of Health and Social Development. In each case the objective was to inform each organization of the immediacy of the needs of the native inmates and to elicit support in principle for the development of a halfway home in Winnipeg to be operated by and for natives exclusively. The statistic which he pressed most forcefully in support of his position was that only fifteen per cent of the non-native population at the Community Corrections Centre "got into trouble", forty-two and one-half per cent of the native residents encountered similar difficulties (Appendix C). Although the M.M.F. representative made no attempt to validate his belief that a halfway home run by natives would significantly reduce the high incidence of recidivism among natives, his idea was well accepted by everyone he talked to. He received unanimous approval to pursue the development of such a program and was encouraged to develop a proposal for funding from the Department of the Solicitor General.

Prior to developing such a proposal, and in keeping with his promise to consult with the native inmates, the Manitoba Metis Federation representative arranged another meeting in October, 1971, at the institution which included

each of the departmental representatives he had spoken to.

The purpose of that meeting was to:

1. Explain to the natives what actions had been taken since the previous meeting and to ensure that the direction in which he was moving was consistent with the native inmates' expectations.
2. To obtain an open declaration of support for the halfway home concept from each department head, that is, the Director of the institution, the District Representative of the National Parole Service, the representatives from the federal Department of Indian Affairs and the provincial Department of Health and Social Development and the representative from the Manitoba Indian Brotherhood.
3. To encourage all participants at the meeting to elaborate further on needs and/or programs which they felt should be emphasized.²⁹

The first two objectives were readily accomplished with each of the department heads espousing their support for the development of a program, a halfway home in particular. The third objective of the meeting brought forth a number of suggestions including the hiring of native counsellors to work in the institution; hiring of native liaison workers to assist native inmates in maintaining contact with family and friends; and developing educational and vocational training programs in the institution which were specifically tailored to the needs of the native inmate.³⁰

Although each suggestion was briefly discussed, only two were given serious consideration. These were the proposal for an all native halfway home and the suggestion that liaison workers be hired.

The idea of hiring liaison workers was considered to be important for two reasons:

1. Native inmates were, in many instances, virtually deprived of contact with relatives and friends. It was felt that a liaison worker would be in a position to assist family members to visit relatives in the institution and to provide escort for those native inmates who were granted temporary absences to visit in the community.
2. It was felt that a proposal for the hiring of possibly two liaison workers would be economically acceptable to the Department of the Solicitor General and therefore might be implemented in a relatively short time.

The idea of a halfway home for natives was also given serious consideration. It was felt that such a facility would enhance both pre-release planning and community adjustment following release. One of the primary considerations was that native inmates who were released to Winnipeg frequently entered unstable living environments and, if they were from remote communities, were unable to cope with an unfamiliar urban environment.

As a result of this meeting the M.M.F. representative was encouraged, by all who were present, to develop a proposal for funding for the halfway home and to attempt to obtain funding for a liaison worker.

A short time following this meeting the M.M.F. representative met with the Deputy Commissioner of Penitentiaries. They briefly discussed the concept of a liaison worker and the Deputy Commissioner made it known that funds were available in his department for such a program if it was requested. Following this meeting, the M.M.F. representative approached the Manitoba Indian Brotherhood with the suggestion that two of their representatives work with two representatives from the Manitoba Metis Federation in a combined effort to meet the needs of all native inmates regardless of treaty status.³¹ It was felt that this demonstration of solidarity between the groups would provide additional impetus to any requests that were made for funding. This informal agreement between the M.M.F. and M.I.B., in November 1971, was the basis for the formation of a new organization, the Native Clan Organization, although it was not formally incorporated until some time later. Immediately thereafter a letter was drafted by the M.I.B. and M.M.F. requesting funds for the establishment of a halfway home in Winnipeg. This letter, or "application for grant", as it was called, was signed by the President of the Manitoba Indian Brotherhood and the President of the Manitoba Metis

Federation. The application for funding of a native community release centre was based on the intent of the proposed Native Clan Organization "to house and assist at least twenty personnel at a time, with the intentions of utilizing the facilities available to ex-inmates as a drop-in centre".³² The release centre was to be "temporarily restricted to the Native inmates of Manitoba Penal Institutions, until such time as it is well established and could absorb Native inmates fromProvincial Gaols".³² The application did not elaborate further upon the purpose of the program. A rough estimate of costs was included³⁴ and projected staffing requirements were delineated. The positions included a superintendent responsible for the organization and administration of the program; an administrator responsible for the day to day administration of the program; three counsellors, a psychologist, a clerk and house parents who were to be responsible for cooking and house maintenance. The application was written by the M.M.F. representative without assistance from anyone who had participated in the planning thus far and was submitted without further consultation.

While waiting for a reply to the application the M.M.F. and M.I.B. hired a liaison worker, whose salary was to be paid by the two organizations. A letter, dated December 6, 1971, was then sent to the Department of the Solicitor General requesting that the Department reimburse these costs until such time as the position could be absorbed into the staff requirements of the proposed halfway home. A job description



of the liaison worker's position was enclosed with the letter (Appendix D).

On February 2, 1972, a reply was received from the Solicitor General's Department with regard to the submission for funding a halfway house which stipulated that although the submission was "most appropriate" it had to be further developed through "direct discussion and negotiation" with the District Representative of the National Parole Service, representatives from Stony Mountain Penitentiary and a representative from the Correctional Consultation Centre in Ottawa.³⁵

On February 16, 1972 the Director of the Corrections Consultation Centre met with representatives of the M.M.F. and M.I.B., the Penitentiary Service, Parole Service and Provincial Department of Health and Social Development. The submission made to the Department of the Solicitor General by the two native organizations was discussed and it was decided "that a working committee should be established to develop a comprehensive plan for a demonstration project related to the particular needs of persons of native origin during and following incarceration in provincial and federal institutions in Manitoba."³⁶ This decision was consistent with the procedures of the Consultation Centre. Guidelines established by the Consultation Centre indicate that there should be involvement of all concerned agencies and government departments in the development of program proposals. (see Appendix F).

Stage III Formulation and Statement of Objectives

With the decision to establish a formal working committee, or planning committee as it came to be called, formal planning for the development of the demonstration project began. Members of the planning committee included:

1. The Manitoba Metis Federation representative (incumbent Chairman of the Native Clan Organization).
2. The liaison worker hired by the Native Clan Organization.
3. The Director of Corrections for the Province of Manitoba.
4. The Director of the Community Correctional Centre in Winnipeg.
5. An assistant Classification Officer of native origin from Stony Mountain Institution.
6. The District Representative of the National Parole Service.
7. The Assistant District Representative of the National Parole Service.
8. An assistant Parole Officer of native origin.
9. A representative from the federal department of Indian Affairs.

One of the tasks undertaken by the planning committee was to define the objectives of the proposed Native Clan Organization. The initial stated objectives included:

- "1. To develop programs to reduce the high rate of incarceration and recidivism among native people in Manitoba.
2. To promote greater involvement of native persons and organizations in the field of corrections.

3. To promote and develop a better understanding of native people (particularly those in conflict with the law) by government and private agencies involved in the justice and correctional systems.
4. To promote better understanding among native people concerning their rights before the law and how to utilize the legal and correctional services available.
5. To develop programs within correctional institutions in Manitoba to assist native persons toward a more positive adjustment in the community following release.
6. To relate the needs of the individual in a correctional institution to the family and community to which he will return. To develop approaches whereby the individual in trouble and his family are prepared to cope with the problems created by separation through incarceration.
7. To develop programs of counsel and referral whereby community resources in the fields of education, training, employment, housing and other social services may be more readily available for utilization by native persons during and after periods of incarceration." 38

The objectives, as stated above were arrived at only after considerable "battling, arguing and pounding the tables"³⁹ with disagreement centering on what the focus of the program should be (i.e. a halfway home or a more broadly based program). Although all decisions were made by the planning committee as a whole, two people, the Manitoba Metis Federation representative and the representative from the Consultation Centre, were identified as having considerably more influence than the others. They disagreed at some length with each other with regard to the scope of the proposed program.

The Manitoba Metis Federation representative felt that the development of the Native Clan proposal should be restricted to a halfway home while the Consultation Centre representative argued strongly for a more broadly based program that would include the objectives as outlined above. The Manitoba Metis Federation representative stated that the more broadly based program was only agreed to because the end result would be the establishment of a halfway home in Winnipeg. Throughout this process of formulating objectives, the M.M.F. representative communicated with the Indian and Metis Brotherhood Organization in the institution, sharing with them the progress that was being made by the planning committee. The I.M.B.O. in turn was responsible for communicating these general developments to the native inmate population.

Stage IV Formal Planning

The planning committee continued to meet through February and March, 1972. Their activities included the consideration of such topics as the kinds of services that would be provided by the halfway home program, the number and kinds of staff required to operate the program, cost estimates, possible sources of funds, the roles and activities to be undertaken by prospective staff and clients, the effect that the program might have on other programs in operation,

procedures that should be followed in implementing the program and evaluation procedures. Minutes of these meetings were not kept although a synopsis of a few of the meetings was made available to the researcher.

In general terms the planning committee agreed that the demonstration project should include:

- development of special programs for inmates of native origin within the correctional institutions.
- programs of counselling and release planning. Co-ordination and referral to community resources upon release.
- the establishment of a halfway house for native persons released in Winnipeg.
- provision of liaison services for both provincial and federal institutions.
- co-ordination of the activities of Indian organizations in the field of corrections. 40

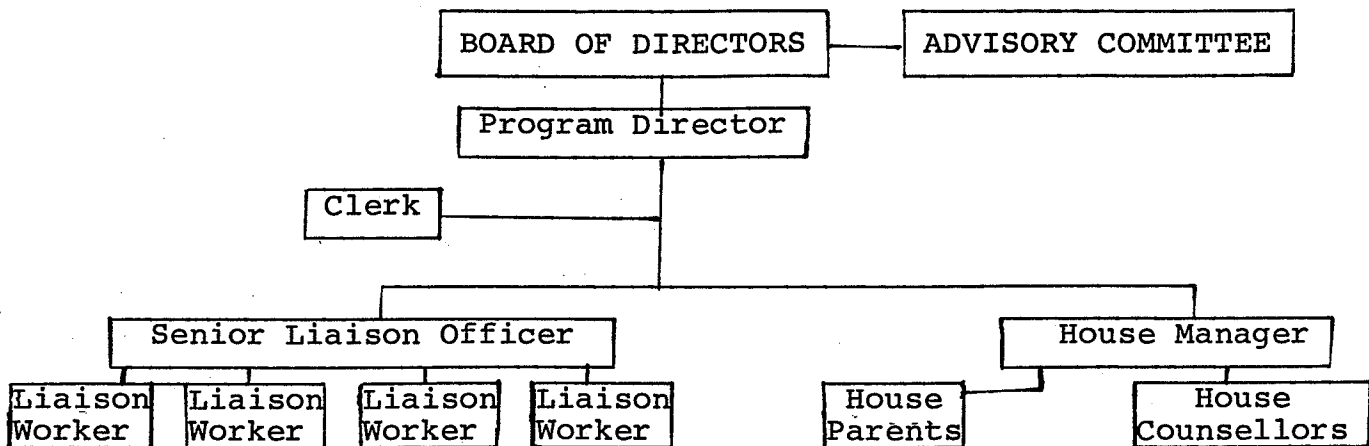
Staffing requirements were also developed as follows:

1. There would be a Board of Directors composed of two representatives from the Manitoba Indian Brotherhood, two representatives from the Manitoba Metis Federation, one representative from the Department of Indian Affairs, and one from the Department of Health and Social Development, one representative from the Department of the Solicitor General and one ex-inmate.
2. An advisory committee to the Board of Directors should be formed and was to include representatives from police, Parole Service, Penitentiary Service, Provincial Health and Social Development, the judiciary, court communicators, a lawyer, University of Manitoba Indian and Metis Association, Winnipeg Native Council, Winnipeg Native Club, Indian and Metis Friendship Centre, Community Welfare Planning Council, Rehabilitative Services, John Howard Society and the United Church Halfway Homes.
3. A project director who would have overall responsibility for the total program.
4. A house manager responsible for the administration of the program.

5. House parents responsible for the care and operation of the halfway house.
6. A program worker to establish counselling and referral programs for residents of the halfway house.
7. A clerk to be responsible for records and accounting.
8. A senior liaison worker to be responsible for the development of a liaison program within the institution, communication between inmates and their home communities and development of counselling and release planning activities.
9. Two liaison workers to work out of the federal institution, one concentrating on communication and relations between inmates and rural families and the other concentrating on program counselling and release planning with inmates planning to reside in Winnipeg on release.
10. Two similar liaison positions were planned for the provincial institution. 41

The planning committee consulted with a representative from the United Church Halfway Homes in order to determine what effect if any the proposed program would have on existing homes in Winnipeg. Although it was not expected that there would be any major effect on the residency rates of the United Church operation, it was stressed that there must be coordination and co-operation between all groups relating to the aftercare of ex-inmates.

The planning committee also addressed itself to the formal structure of the program, both in an administrative sense and in a physical sense. The administrative structure as developed by the planning committee took the following form: ⁴²



In terms of the physical requirements of the home, the planning committee recognized the need for office space to accommodate the program director and his clerk typist. The home was visualized as a large home that would accommodate twenty residents with additional space for counselling and recreation. It was anticipated that a home would be found in central Winnipeg but not in what is referred to as the core area.

Little documentation was available to indicate the content of discussion concerning the proposed budget for the program. However the initial proposal for funding, dated April 19, 1972, provides the following information:

TABLE III
CAPITAL COST OF PROJECT

10	Desks and Chairs	\$ 1,000.00
2	Typewriters	360.00
2	Refrigerators	350.00
1	Stove	200.00
12	Filing Cabinets	720.00
	House Furnishings	6,600.00
2	Secretarial Desks	200.00
4	Vehicles	12,000.00
		<hr/>
		\$21,430.00

Note: Vehicles were required to transport Native Clann Staff and inmates to and from the Penitentiary which is located 32 miles outside the city limits.

TABLE IV
OPERATION & MAINTENANCE FOR ONE YEAR

Salaries	\$102,500.00
Telephone Rental	3,200.00
Equipment Repairs	200.00
House Repairs	500.00
Cleaning Supplies	700.00
Printing & Office Supplies	800.00
Vehicle Operation	3,000.00
Utilities	3,000.00
Office Rent	1,800.00
Linen Rental	800.00
House Rent	12,000.00
Food Costs	11,680.00
Travel for Northern Liaison	10,000.00
General Travel	3,000.00
	<hr/>
	\$153,180.00

TABLE V
PROJECTED SALARIES

Project Director	\$ 12,000.00
Senior Liaison Worker	10,500.00
4 Liaison Workers	38,000.00
House Manager	10,500.00
House Counsellor	9,500.00
House Parents	9,000.00
Clerk	7,000.00
Typist	6,000.00
	<hr/>
	\$102,500.00

The budget, as stipulated in the proposal of April 19, 1972 was representative of costs anticipated for a one year period of time. However, the request for funding was for a period of three years at the end of which time it was anticipated that "new methods and and programs will (have been) developed which, when evaluated through the project, may be incorporated into the operating programs of governmental and private agencies in the corrections field".⁴³ Possible sources of

revenue for the proposed project were discussed and are represented in the following table:

TABLE VI
SUMMARY OF PROJECTED REVENUE

Per Diem Rate	\$ 65,700.00
Provincial Government	19,000.00
Solicitor General	19,000.00
Indian Affairs	20,500.00
Private Agencies	68,550.00
	<hr/>
	\$192,750.00

TABLE VII
SUMMARY OF PROJECTED COSTS

Capital Costs	21,430.00
Salaries	102,500.00
Operations & Maintenance	51,300.00
10% Contingency Factor	17,520.00
	<hr/>
	\$192,750.00

On March 13, 1972 the planning committee met to review the drafts of the proposal prior to making a submission for funding. The Chairman of the Native Clan Organization was given the task of rewriting the drafts into the final form. At that meeting it was decided that the Consultation Centre representative, who only sat with the planning committee on occasion, should be asked to come from Ottawa to review the proposal prior to making a formal submission.

On March 29, 1972 the Chairman of the Native Clan Organization telephoned the Assistant District Representative of the National Parole Service to state that he did not see the need for further discussion with the Consultation Centre and that he wished to proceed with the formation of the Board of Directors immediately and have the Board sign the proposal as it was at that time.⁴⁴ Although this raised some concerns about "short-circuiting the consultation process"⁴⁵ the Board of Directors was formed (from members of the planning committee) and the proposal was signed by all the board members except those who were representatives of the Solicitor General's department (ex-officio members). The proposal was submitted to the Associate Deputy Commissioner of Penitentiaries on April 19, 1972.

On May 9, 1972 a letter, outlining specific concerns regarding the proposal of April 19, 1972 was sent to the District Representative of the National Parole Service from the Consultation Centre. The concerns were expressed as follows:

- "1. The brief as presented does not adequately present a broad perspective. The pilot project should indicate the sociological implications to facilitate the participation of the Indian and Metis people in the correctional process. This is to distinguish the proposal from a half-way house which is considered much more narrow in scope.
2. There is a need to present the problem in brief with a clear statement of objectives referring to previous work such as the Indians and the Law report. In short, the evolving organization should be briefly described in regard to what it is, and what is its purpose by way of service.

3. Considerable stress was placed in the McCaskill report on the need for having staff on reserves. This question should be clarified if an alternate proposal is being developed, and should be enunciated in the brief in more detail.
4. Concern is expressed for the present limited financial position of Departmental Headquarters concerning innovative program resources. The Departmental position should be considered in regard to:
 - i) a broad program involving federal and provincial cost sharing, or
 - ii) a federal program which could be implemented with a broader follow-up involving the provinces, as well as community resources. The provincial and private sector involvement in this planning procedures should be elaborated upon.
5. It is agreed that a Penitentiary Service representative should be included at the Advisory Committee level, and it is felt, however that any Departmental representation on the Board would amount to a conflict of interest...and, therefore should not be authorized. A suggestion is made to develop the project in phases and the start of such a program could be made in the hiring of a project director.
6. It is suggested that any submission to this Department (i.e. the Consultation Centre) should be concise and should not be any more than five or six pages in total."

No immediate response was made to the letter since it was felt that the planning committee should meet with the Consultation Centre representative to obtain more feedback on steps that had to be taken to rewrite the proposal. While waiting for this meeting to take place, the Chairman of the Board of Directors began to solicit funds from the Provincial Department of Health and Social Development, the United Way, the Winnipeg Foundation and the Department of Indian Affairs.

The meeting with the Consultation Centre representative took place on June 14, 1972. The proposal was discussed at some length and the concerns outlined previously were reiterated. The need for a more concise statement of purpose was emphasized and the need to present the program as something more than a halfway home was expressed. The latter concern appears to have arisen from a desire, on the part of the Department of the Solicitor General, to include in the program some aspect that would be of benefit to natives who live on reserves.

It was also felt that there should be some firm indication from private agencies and the provincial government that they would share in the funding of the project. Consultation Centre guidelines specify that the provinces must cost share all demonstration projects. Finally the topics of implementation and evaluation were discussed. The Consultation Centre felt that it would be advisable that the steps in the implementation process be delineated in the proposal and that some indication given that an evaluative component would be built into the program.

The revision of the proposal was left largely in the hands of the Chairman of the Native Clan Organization.

It is not clear why this was so but two possible reasons come immediately to mind:

1. The Chairman of the Board had been carrying the ball, so to speak, since the inception of the idea of the Native Clan. It was customary for him to accept these tasks.
2. All other prominent members of the Board had other duties, unrelated to the task at hand, which would have made it impractical for them to become involved in task oriented activities other than Board meetings.

The Chairman of the Native Clan Organization attempted to integrate each of the concerns that had been expressed into the new proposal and, on July 4, 1972 the revised copy was submitted to the Department of the Solicitor General (Appendix E).

The events that followed this final submission did not require any further "planning" as such and they are therefore presented below in summary form:

1. In July, 1972 the Department of the Solicitor General entered into a contract agreement with the Native Clan Organization for the services of the liaison worker who had, until that time, been paid by the Manitoba Metis Federation and the Manitoba Indian Brotherhood.
2. On August 23, 1972 the Solicitor General entered into a contract agreement with the Native Clan Organization in which the Native Clan agreed to provide food and shelter to inmates released on temporary absence, parole or mandatory supervision for the sum of \$10.00 per person per day to be paid by the Solicitor General.
3. In August, 1972 the provincial government provided funds in the amount of \$19,000 for the hiring of liaison workers to work out of the Provincial Gaol. In the same month the Winnipeg Foundation agreed to pay the cost of furnishing the proposed home.

4. On March 1, 1973 the Solicitor General entered into a contract agreement with the Native Clan Organization under the following terms:

- "- The Native Clan Organization agrees to select and appoint a Project Director who shall organize and develop special programs and activities to facilitate the Native ex-inmates' return to and adjustment in the community;
- The Native Clan Organization agrees that the programs and activities to be developed shall include a residential house operation; the utilization of existing community resources for socialization, education, vocational training, and employment opportunities; the involvement of Native Communities whenever and wherever possible; the establishment of a program advisory committee in the Federal institution in the Province, and, where possible, in the Provincial Institutions;
- This contract shall terminate after one year from the date the Project Director is appointed. The Solicitor General may, however, in his absolute discretion, terminate this contract at any time upon sixty days written notice.
- The Native Clan Organization agrees to provide progress reports every three months and to submit a final report to the Department by April 30, 1974...which shall include, in addition to the development of programs and activities, a financial statement on the expenditure of funds provided by the Department;
- ...the Department agrees to pay the Native Clan Organization of Manitoba \$4,000 on being informed of the name of the person selected and appointed as the Project Director; to pay \$1,800 per month thereafter for twelve months; to pay \$4,400 on receipt of a final report suitable for publication..." 46

On March 12, 1973 the Project Director was hired and the contract came into effect. The activities that followed constitute the next phase of the planning process.

Stage V Implementation

The Project Director, a former working associate of the Chairman of the Board of the Native Clan organization, was assigned primary responsibility for implementing the proposed program. According to the Project Director's own account, he was given a copy of the proposal which had been submitted on July 4, 1972 and was told to "implement the program".⁴⁷ He was given no further instruction other than to be told that he would be given whatever assistance he required by the Chairman of the Board.

After familiarizing himself with the proposal, the Project Director identified three tasks which he felt were priorities. The tasks were:

1. To locate a home in Winnipeg that would most closely approximate the description contained within the proposal.
2. To initiate the first meeting of the Advisory Committee as required under the terms of the contract.
3. To hire house parents and liaison counsellors.

To accomplish the first task, the Project Director secured information from the City of Winnipeg regarding zoning regulations and fire and health regulations. With this information in hand the search for a home began. Newspaper advertisements were the primary source referred to. Numerous homes were visited and within approximately one month a suitable 17-room, three storey home was found in a quiet residential area on the bank of the Assiniboine River.

The Project Director had the option of renting or buying within the limits set by the budget. The home that was selected was for sale only but it was too expensive for the Native Clan to purchase. The Project Director therefore approached an investor who purchased the home and leased it to the Native Clan with an option to buy for \$775.00 per month.⁴⁵

To accomplish the second task the Project Director sent out letters to each person who had indicated an interest in sitting as a member of the Advisory Committee, requesting that they attend a meeting on May 25, 1973.⁴⁹ Letters were sent to the Winnipeg City Police, the judiciary, the office of the court communicators, a lawyer, the University of Manitoba Indian and Metis Association, the Winnipeg Native Council, the Winnipeg Native Club, the Indian and Metis Friendship Centre, the Community Welfare Planning Council, the John Howard Society, the National Parole Service and the Canadian Penitentiary Service. Minutes of the first Advisory Committee meeting held on May 25, 1973 indicate that attendance was poor. The National Parole Service, the Canadian Penitentiary Service and the John Howard Society were represented. The meeting consisted largely of the presentation of activity reports by the Project Director and two liaison counsellors, both of whom were working out of the penitentiary. (Note: one of the liaison workers who had been hired by the Manitoba Metis Federation and Manitoba Indian Brotherhood in December, 1971 was, by the time of this meeting working for the Native Clan Organization).

The third task of the Project Director, the hiring of staff, had been initiated prior to the meeting of the Advisory Committee. As stated above, two liaison counsellors had come on staff, one an ex-inmate and the other a former associate of the Project Director. Newspaper advertisements were not effective in attracting applicants for the position of house parents and in fact house parents were not hired until approximately one month following the opening of the home. One other person was taken on staff early in March, 1973. This was a native Parole Officer who was seconded from the National Parole Service. This staff member was to act as a "Counsellor Supervisor" responsible for supervising "persons who are on parole or who are released from prison under mandatory supervision".⁵⁰ It was anticipated that this staff person would also act as a resource person to other staff members who were not familiar with parole and penitentiary procedures. A long range objective in seconding a parole officer was to eventually develop a system whereby counsellors at the Native Clan might become qualified to act as supervisors of parolees. (note: It is not clear from the documentation nor the interviews where or when this idea was conceived.)

Paralleling the activities of the Project Director were steps being taken by the District Representative of the National Parole Service and the Chairman of the Board of Directors of the Native Clan to ensure that various community

groups were informed about the development of the program and aware of the services it would provide. The Chairman of the Board of Directors met weekly with the Manitoba Indian Brotherhood and the Manitoba Metis Federation with this purpose in mind. Similarly, he maintained close contact with the Native inmates in Stony Mountain. The District Representative of the National Parole Service met with the same groups, explaining to them how native inmates would benefit from the program in terms of parole.

The Chairman of the Board indicated that a conscious attempt was made to avoid publicizing the program except with the native groups and agencies in the criminal justice system such as the John Howard Society and the United Church Halfway Homes. He felt that a low profile would have to be maintained throughout the implementation process and for an unforeseen period of time after the program was established to avoid the possibility of an adverse public reaction, particularly in the community in which the halfway home was to be located. That is, there was some apprehension on the part of the Chairman of the Board of Directors that the public may become fearful of having fifteen to twenty natives, particularly natives with criminal records, living in close proximity with "middle class white society".⁵¹

The Native Clan formally opened the doors to the halfway home on July 1, 1973, four months after the hiring of a Project Director. During the implementation process, two liaison workers, a clerk-typist and a counsellor supervisor had come on staff. No formal training of staff was undertaken. Each liaison worker was provided with a job description and subsequently taken to the penitentiary where they were introduced to staff and inmates. The liaison counsellors were then expected, under the guidance of the Project Director, to meet with as many native inmates as possible on an individual basis, with a view to assisting them in the development of temporary absence and release planning. The Parole Officer on staff fulfilled a similar function at the provincial gaol.

In undertaking all of the above activities, the Project Director was working within the confines of a budget well below that which was developed by the planning committee. Funding sources at the time of implementation as identified in minutes of a Board meeting dated September 26, 1973 are contained in the following Table:

TABLE VIII

SOURCES OF FUNDING AS OF SEPTEMBER 26, 1973

Solicitor General's Department	\$ 30,000
Province of Manitoba	19,000
Canadian Penitentiary Service (Liaison Workers)	35,600
Winnipeg Foundation	10,146
Indian Affairs	10,500
United Way	23,000
United Church	2,100
	<hr/>
	\$ 130,346

The original request had been for \$192,750.

Despite a difference of over \$60,000, none of the people interviewed indicated that the implementation process was adversely affected. Nor was any information made available to indicate where budget cuts were required. However it is evident that at this stage of the planning process, there were fewer staff than had been planned and this would certainly have reduced the effect of the deficit in funding. More specifically, in the implementation phase, the total staff complement consisted of two liaison counsellors, a clerk-typist and a project director. The Parole Officer was salaried by the National Parole Service. The original plan had stipulated that a Senior Liaison Officer, four liaison workers, house parents, a house manager and a house counsellor would be required. All of these positions were filled at varying stages after the halfway home was opened.

Attempts to identify specific monitoring and evaluative techniques in this stage were unsuccessful. It was stated by the Project Director that he attempted to secure information from the Consultation Centre with regard to a means whereby his activities might be evaluated but no answer was forthcoming. He stated that monitoring of staff activities during the implementation stage was his responsibility and was accomplished primarily by means of informal meetings with the liaison counsellors. The Board of Directors was not involved in the implementation phase in any meaningful way. That is, the Board only learned of activities that had been undertaken

after the fact.⁵² The Chairman of the Board of Directors was the only Board member actively involved in providing leadership to the Project Director.

With the opening of the halfway home on July 1, 1973 we now proceed to the final stage of the program planning process.

Stage VI Stabilization

Having developed to the stage at which it was accepting native inmates as residents in the halfway home, the Native Clan Organization entered the stabilization stage of the planning process. This stage is presented under five headings:

1. Needs and Objectives
 2. Roles and Activities of Staff and Clients
 3. Staff Training
 4. Financial Considerations
 5. Evaluation
-
1. Needs and Objectives

Although it was not specified in previous stages of the planning process, there was not an expectation on the part of the planners that all of the needs of the native inmate or ex-inmate as specified in the proposal would be met

by the Native Clan Organization. Several of these people interviewed, including the Chairman of the Board of Directors, the District Representative and Assistant District Representative of the National Parole Service, indicated that only over an extended period of time would the needs of the client become increasingly fulfilled by the organization. The Chairman of the Board of Directors in particular made it clear that once the program was operational the primary objective was to attract enough clients to the home so that the home would justify itself. The final program proposal and the objectives contained therein were not given any significant consideration. The home was, in effect, simply a place where clients could obtain room and board at very reasonable rates. Supervision and counselling was minimal. There were no screening procedures whereby applicants to the home might be assessed for suitability and/or motivation.⁵³

After a period of about one year, the Native Clan staff became aware that some form of selection criteria must be developed if the home was to be effective in providing a stable living environment for its clients.⁵⁴ Staff members of the Native Clan freely admit that their inexperience in counselling techniques and the lack of screening procedures led to several disruptions in the home and the abuse of the home by some clients. As the staff became experienced in interviewing techniques and counselling techniques and as they

began to assess prospective clients the disruptions and abuses in the home became less frequent. The staff in turn was to a large extent freed from the necessity of dealing with crisis situations and began to concentrate its energy in the development of programs both within the home and in the provincial and federal institutions, which enabled them to meet more of the needs of their clients. More will be said with regard to program development later.

In general terms there appears not to have been any change in the perception of the needs or objectives of the clients on the part of the Native Clan staff. Each person interviewed by the researcher indicated that the needs and objectives as presented in the proposal were, as far as possible, complete. Although it is not a purpose of this thesis to evaluate the Native Clan in terms of how well it recognizes needs and carries out objectives, it is useful to document the activities which were being carried out at this time. Staff worked in two areas: institutions and the halfway home. The activities in which they engaged in each setting were as follows:

A. Institutions

1. Personal counselling
2. Assistance and supervision on temporary absences
3. Processing applications for residency in the halfway home
4. Arranging family visits
5. Providing personal assistance regarding education and employment preparatory to release
6. Referrals and follow-up
7. Community involvement

B. Halfway Home Activities

1. Shelter
2. Food Services
3. Temporary Financial Assistance
4. Group Counselling
5. Vocational Counselling and Referral
6. Employment Counselling and Referral
7. Social Re-orientation
8. Recreation

(See Appendix F for a complete description of each of the above activities - from a report dated June 1, 1974)

The ability of the Native Clan to fulfil its objectives has gradually increased in the three years since it opened the halfway home. It would be extremely difficult to make a more precise statement with regard to the meeting of specific objectives since the Native Clan Organization did not make any formal attempt to assess itself in this regard in the initial phases of its operation.

2. Roles and Activities of Staff and Clients

The Native Clan has grown significantly in terms of the number of staff it employs. There are now eighteen full-time staff employed by the organization. These include a Director, a Senior Counsellor, the house parents, an administrative clerk, a clerk typist and liaison counsellors who work out of Stony Mountain Penitentiary, Headingly gaol and the various courts in Winnipeg. A bus driver is also employed to transport staff, inmates and their families between the gaols, courts and halfway home.

As the staff of the Native Clan increased so did the activities in which they engaged. Their roles have expanded to include not only individual pre-release planning in the institutions and accompanying inmates on temporary absences but also the following:

- a) Group counselling and individual counselling is provided for all residents of the home. Weekly discussions are held in the home which are usually concerned with alcohol education and the development of various life skills. Individual counselling is available at all times and may be initiated by either staff or clients.
- b) Vocational and employment counselling are provided on an ongoing basis. Referrals are made to appropriate social agencies as required.
- c) A social orientation program is available for those inmates who originally come from remote northern communities. This program is coordinated with penitentiary and parole staff and usually involves some form of gradual release from the penitentiary in which the inmate visits the halfway home, meets other residents and is "introduced" to Winnipeg gradually.
- d) Parole supervision is provided by Native Clan staff who are in turn accountable to the National Parole Service for maintaining the standards of supervision required by the Parole Act. Only those staff members who have undergone a training period with the National Parole Service may be designated as parole supervisors.
- e) A program of organized sport is provided which includes hockey, baseball, bowling etc. Informal recreational activities are also encouraged and includes dart tournaments, ping pong tournaments, picnics, swimming outings, hobbies, crafts, etc. An attempt is made to encourage residents to participate in activities which are culturally meaningful to them such as pow wows, singing and dancing.
- f) The Native Clan staff have also initiated a program whereby referrals are made to the home by the courts. Staff members attend court sessions on a daily basis and encourage the placement of Natives, who are on remand or on bail, in their halfway home.
- g) Finally, all staff members are encouraged to develop creative program ideas and submit them to the Director for consideration and discussion. One idea that has been put forward is that of opening other homes in northern Manitoba. To this end the Native Clan purchased a home in The Pas, Manitoba but, because of community resistance in that area, it has not been opened. Another creative concept that has been developed is that of a wilderness camp for native juveniles. This program is still in the planning stages. 56

With this obvious increase in staff and program activity, client participation also increased. In most instances clients are encouraged but not required to take part in those activities which have some interest or meaning for them. All clients are expected to either seek regular employment or to engage in some form of vocational or educational training. Where a client is experiencing a particular problem such as alcoholism or difficulties with his family, he is strongly encouraged to seek help either from those programs which are available in the home or from an outside source.

Clients are also encouraged to meet among themselves regularly to discuss their preceptions of the Native Clan and to formulate and present any ideas or problems they have with regard to the operation of the home and its programs. Clients are also invited to attend weekly staff meetings, bringing with them their ideas and concerns.

Despite the growth in staff and client related activities, communications within the organization have remained quite informal with the exception of the weekly staff meetings. The Director and the Senior counsellor are available at all times for consultation with staff or clients. There is also easy access to the Chairman of the Board of Directors, who has an office in the same location as the administrative staff of the Native Clan. This is not meant to imply, however, that the Board of Directors plays a significant role in the operation of the organization. In fact the criticism has been made that although the Chairman of the Board of Directors plays a key role in the administration of the organization, the Board of Directos is only informed ex post facto of key decisions

made by the Chairman.⁵⁷ Those persons who raised this criticism expressed the opinion that for this reason the Board of Directors was not able to fulfill its role effectively in directing the overall operations of the organization.

3. Staff Training

As stated previously, when the program was initially implemented there was no staff training made available to staff members. Since then an active effort has been made to involve the staff in counsellor training sessions through a program sponsored by the Department of Colleges and University Affairs. Staff are also encouraged to attend university with a view to obtaining a basic understanding of criminology, psychology and sociology. Finally efforts have been made to involve the Native Clan staff in a short term training program with the National Parole Service in order that they might become qualified as parole supervisors.

4. Financial Considerations

Current information regarding budget estimates was not made available to the researcher. However, the following information was made available for the year ending March 31, 1975 and provides some indication of the sources of funding since July 1973.

TABLE IX
SOURCES OF FUNDING FOR YEAR ENDING MARCH 31, 1975

Canadian Penitentiary Service	\$ 18,600
Solicitor General's Department	35,000
Province of Manitoba	22,000
National Parole Service (per diem)	46,000
National Parole Service (fee for service)	4,500
Temporary Absence (per diem)	2,400
United Way	13,000
Other (unspecified)	2,400
	<hr/>
	\$143,900

In comparing these sources of funds with those contained in Table VIII, it is apparent that the Native Clan has moved away from the concept of "block grants" in the private sector and has moved toward the concept of providing a service to government for a fee. Discussions with Native Clan personnel reveal that this has been a conscious attempt on the part of the organization to become a self-sustaining operation that is not caught up in a yearly search for funds.⁵⁸ It was anticipated by the people interviewed that although all grants as such would be terminated by the summer of 1976 (including block grants from the Solicitor General's Department and the United Way), the Native Clan Organization would be able to sustain itself on the basis of fee for service and per diem rates.

5. Evaluation

As has been pointed out previously, efforts were undertaken in both the planning and implementation phases to obtain assistance from the Consultation Centre in the development of an evaluative component. Although the Consultation Centre acknowledged that an evaluation component was necessary, no action was taken to develop it.⁵⁹ A considerable amount of concern was expressed by the Chairman of the Board of Directors in this regard. He stated that the only "reporting mechanism" utilized by the Native Clan was in the form of quarterly reports to the Solicitor General's Department (with copies to other funding bodies) and there was never any formal feedback in response to these reports. Consequently the Native Clan never received any information in terms of either its contribution to the correctional system or as a follow up appraisal of its degree of success in meeting its stated objectives.⁶⁰

Despite these apparent shortcomings, the Native Clan staff have developed an awareness of those areas of the program that need to be strengthened. Additional steps that might be taken to increase program effectiveness as suggested by the respondents included:

1. That more stringent criteria for screening prospective residents must be developed by the organization.
2. That residents be made more accountable to both staff and other residents for undesirable behaviour.
3. That all liaison counsellors be required to participate in the parole supervision program offered by the National Parole Service.
4. That there is a need to develop and strengthen relationships between the Native Clan staff and other social agencies, especially in the Criminal Justice System.
5. That line staff in the Native Clan be made more accountable to their immediate superiors.
6. That more stringent criteria be developed for assessing applicants for liaison positions.
7. That the Board of Directors assume a more responsible role in the administration of the program.

It is significant to note then that despite the lack of a formal evaluative procedure, an informal evaluation appears to be taking place in that staff and administrators alike recognize weaknesses in the program. It must be stated however, that the funding bodies neither solicited nor received information that might have been valuable in assessing the program and that the onus has always rested with the Native Clan to recognize areas of the program that need strengthening and to take appropriate action.⁶

PART II DISCUSSION OF FINDINGS

Stage I Identification

All of the theorists mentioned in Chapter II suggest that the initial phase of the program planning process involves the recognition or identification of factors which indicate that the organization is not accomplishing its stated objectives. One of the objectives of the Canadian Penitentiary Service is, as stated previously, to provide a full range of treatment and specialized training to help the inmate rehabilitate himself. Our data suggest that the native population of Stony Mountain Penitentiary did not feel that this objective was being accomplished. They therefore drew up a list of grievances and sent them to the Manitoba Metis Federation, asking that a representative from that organization meet with them to discuss the grievances and to discover what action the Manitoba Metis Federation might take on behalf of the native inmates.

None of the concerns expressed by the native inmates was substantiated with statistics. Specific solutions to the problems being expressed were not identified. Nor were solutions forthcoming during the meeting with the Manitoba Metis Federation representative. Rather, a number of alternatives were generated and a commitment was received from the representative to assist the native inmates in some unspecified manner.

The process of identifying needs was, in this case, one of problem sensing, as described by Kast and Rosenzweig.⁶² That is, a general awareness developed, among the native inmates, that the organization was not meeting their needs. In the terminology of Kast and Rosenzweig a gap was identified between a current condition and a desired condition. The response on the part of the Manitoba Metis Federation representative in attempting to gather statistical data in support of the native inmates' claims and his efforts to obtain support from key organizational personnel is consistent with Kahn's conceptualization of the initial phase of the planning process. That is the M.M.F. representative conducted a "variety of preliminary explorations including efforts to clarify the right to plan, to create a planning unit..."⁶³ By successfully completing this task, the M.M.F. representative made it possible for the informal planning phase to begin.

In analyzing the identification stage of the program planning process it was difficult to assign a particular time at which planning began. Although we know that a letter was sent to the Manitoba Metis Federation outlining the concerns of the native inmates, we do not know how long the native inmates were involved in assessing their situation prior to this date. We do know that the Indian and Metis Brotherhood Organization (I.M.B.O.) was formed some four years prior to the letter of September, 1971 and we can assume that the organization was formed in response to the particular needs of the Indian and Metis.

However, it is beyond the scope of this thesis to analyze the activities of the I.M.B.O. during this four year period (i.e. from 1967 - 1971). Similarly we have not attempted to identify changes in government policy toward Indian and Metis groups in the community during this period. Yet we are aware that the government was meeting with Indian groups during this time and was encouraging native communities to elaborate upon their needs and to make suggestions with regard to how government might become more responsive to their needs.⁶⁴ There is some indication then that the external environment influenced the readiness or willingness of both the organization (i.e. the Department of the Solicitor General) and a group outside of the organization (the Manitoba Metis Federation) to respond to the needs of the native inmate.

The issue of native people and the law had not been seriously addressed until the autumn of 1964 at which time discussions were initiated by the Department of Indian Affairs with the Canadian Corrections Association. The discussions related to special legal problems the Indian people of Canada were meeting, as reflected in a high frequency of appearances in court, jail committals and recidivism. These discussions led to the passing of a resolution, in December, 1964, suggesting that a broader study be undertaken of the administration of justice as it relates to Indian people. A national study was therefore undertaken, under the chairmanship of Dr. Gilbert C. Monture. In August, 1967 the Monture report, Indians and

the Law, was published and a number of significant recommendations were made (Appendix H).

The report was tabled in the House of Commons on October 24, 1967. On the initiative of the Minister of Indian Affairs and Northern Development an interdepartmental committee, composed of representatives of the Departments of Justice, National Health and Welfare, the Secretary of State, Solicitor General and Indian Affairs and Northern Development was established to examine the recommendations made in the Monture Report, and to determine what action might be taken to facilitate, where desirable, the implementation of the recommendations.⁶⁶

The consensus of opinion of the members of the workgroup and virtually all correctional staff consulted was that "the past and present record in relation to the native offender, is not synonymous with success. There is an overall need for more experimentation coupled with careful evaluation of all programs, but especially those dealing with offenders of native ancestry".⁶⁷ It is apparent then that circumstances would mitigate in favour of the idea of the Native Clan Organization.

The informal planning phase as we have described it is a period during which various ideas are exchanged and preferences expressed. A plan is almost invariably a product of some degree of creative thinking. The creative thinking

process is stimulated by the existence of a problem which must be solved or an objective that must be ascertained.

In our study of the Native Clan, the Manitoba Metis Federation representative had been confronted with the problems of the native inmate. He did not know what the solution(s) to these problems might be nor did he know how valid the complaints were. However, having been confronted with the problem, he engaged in activities which were designed to inform others about the problem, elicit various ideas and preferences that might offer a solution to the problem and also to gather both statistical and moral support for any further planning activities in which he might engage. More precisely, the activities that the M.M.F. representative undertook in this stage included:

1. Gathering statistical evidence to support the claim that inmates who were released to the community experienced a higher recidivism rate than non-native inmates.
2. Visiting key figures in the Department of the Solicitor General and elsewhere, explaining to them the problems of Native inmates and asking for their support for further planning to resolve the problems.
3. Calling together the key figures mentioned above to a meeting with the Native inmates, encouraging an open expression of ideas and preferences and encouraging the group to narrow their preferences to one or two possible alternatives. In carrying out this activity the M.M.F. representative was also obtaining tacit approval from all who were in attendance for any further planning activities in which he might engage.

It has already been pointed out that the concept of an all native halfway home had been developed prior to the

calling together of the key figures mentioned above. It is perhaps worth speculating here on just how open the expression of ideas was at this meeting. It seems quite likely that the M.M.F. representative would have perceived the political expediency involved in inviting government representatives to respond openly to the native inmates with regard to the halfway home suggestion. If this was the case, then the "informality" of this phase was not so much characterized by a free expression of ideas as it was by a discourse which was directed by the MMF representative to achieve preconceived goals -- that is a commitment from the government representatives that they would support the development of a halfway home. This type of hidden agenda is not discussed in organizational theory on program planning but, in this instance at least, there is the very real possibility that political factors were influential in this particular stage of the planning process.

The M.M.F. representative carried out two other actions in this stage which might also be termed political in the sense that they were designed to influence key decision makers in Ottawa to respond favourably to a request for funding. The two actions which were undertaken were:

1. Amalgamating the influence of a treaty indian organization, the Manitoba Indian Brotherhood with a non-treaty organization, the Manitoba Metis Federation, to form a single organization, the Native Clan, which would act on behalf of all native inmates regardless of treaty status.
2. Taking positive steps to hire a liaison worker as an employee of the Native Clan Organization and then asking the government to pick up the cost as part of an as yet undeveloped proposal.

This demonstration of leadership ability and creative thinking must also be viewed as an important part of the informal planning stage. This is particularly so in that the key planner was not a person who was well established in or well known to the organization (the Ministry of the Solicitor General) that would be most affected by the introduction of the new program.

Although he represented two native organizations that were known in Ottawa, neither the M.I.B. nor the M.M.F. had, until that time, actively supported any of the concerns being expressed by native inmates. In fact neither organization had, until this time, responded to the concerns of the Indian and Metis Brotherhood Organization in the penitentiary. Consequently the issue of credibility had to be dealt with prior to making a formal request for funding.

This process of gathering supports, exchanging ideas, expressing preferences, delineating alternatives and demonstrating creative and leadership ability is not taken into account by most of the planning theorists described in Chapter II. Kahn and Mann and Neff do give partial recognition to these activities but they do not differentiate them as constituting a separate stage in the program planning process. In this case a very definite time period encompassing these activities can be identified, beginning with the first involvement of the M.M.F. representative and ending with the formation of a formal planning committee some three months later.

The activities which occurred during this three month time frame are distinctive from the preceding stage in that there occurred a generation of ideas in response to the identification of needs. The activities are distinct from those in the following stage in that there is no evidence that each of the alternatives were explored in depth nor that any comprehensive planning was involved in terms of the far reaching effects of the alternatives selected.

It is also important to recognize that in this stage there is an opportunity for planners to engage in activities that are not so much designed to encourage the development of alternatives as they are to obtain formal commitments to goals that are already perceived to be desirable by key planners. It is perhaps not too strong to suggest that it is in this phase that under the table agreements are made or hidden strategies are developed. Whatever the course of events though, the appearance of full participation by all interested parties is maintained and the opportunity does exist for participants to put forward ideas which they feel are appropriate at that stage.

Stage III Formulation and Statement of Objectives

The process of formulating objectives was undertaken by a planning committee which was formed, as was pointed out previously, at the request of the Ministry of the Solicitor General. In our analysis of the preceding stage it was

pointed out that an indepth analysis of alternatives was not undertaken until after the formation of this committee. It was only in the context of defining objectives that alternative program directions were considered. This is consistent with our concept of this stage in that this is in effect the first series of choices made by the planners. Each of the objectives had to be within the realm of feasibility, and acceptable to the Ministry of the Solicitor General.

The setting of objectives must be regarded as central to the purpose of the proposed new program. We have observed that there was spirited discussion among planning committee members in the formulation of objectives. This discussion served to identify which of two diverging paths the proposed program would follow. That is, the program would either be simply a halfway home or it would be a much more elaborate program that would serve a much broader purpose such as developing special programs for native inmates, coordinating the activities of Indian organizations in the field of corrections, etc. It is suggested here that only when such conflicting points of view are resolved, can further planning take place for the development of a program. In this particular case study the more broadly based program was selected since it was felt that this would be more consistent with the overall goals of the Ministry of the Solicitor General.

This is not to suggest that the halfway home was inconsistent with the expectations of those who wanted the more broadly based program. Indeed the halfway home was never an issue. Rather the issue revolved around how many other services would be provided by the Native Clan Organization. The native planners felt that if they were to obtain any concessions from government, they would have to insist strongly that they be given the one thing that was most important to them -- the all native halfway home. There was a fear that if this point was not strongly pushed, then it would be lost in the bureaucratic shuffle and the Native Clan may find itself locked into providing services which it considered to be of secondary importance.

Stage IV Formal Planning

The formal planning phase is characterized by those activities which Mann and Neff refer to as "planning for change". That is problems and objectives are reviewed and revised.

In capsule form the following activities were undertaken by the planning committee in this stage:

1. Organizational policy considerations of the Ministry of the Solicitor General were undertaken. In the light of specific objectives set, broad guidelines were established to assist those responsible for preparing the plan. It was determined that the program would take the form of a demonstration project over a three year period. This policy determination was important to the planners since it provided:

(a) a commitment from the organization to support the plan over a specific period of time (provided of course that the plan met the expectations of the organization during that period of time).

and

(b) a specific time frame within which the planners could project the various phases of development of the program.

2. Budget considerations were undertaken including personnel requirements, capital expenditures and operations and maintenance.
3. A determination was made with regard to the size of the project. That is, staff requirements, anticipated numbers of clients to be served and physical requirements such as office space and the size of the halfway home were decided upon.
4. Possible sources of community support were identified both in terms of financial support and in terms of the provision of ancillary services such as through Manpower, Welfare, etc..
5. Efforts were made to secure the cooperation of other agencies in the criminal justice system such as the police, the courts, the John Howard Society and the United Church Halfway Homes and a decision was made to form an advisory committee composed of various interested groups.
6. The roles and activities of potential staff were defined as was the role of the Board of Directors.
7. The role expectations for potential clients were defined.
8. It was determined that assistance would be required in providing an ongoing assessment or evaluation of the project.
9. Finally a project proposal was drafted and submitted to the organization for funding.

This stage of planning then is characterized by deliberate task oriented activities carried out by a readily identifiable group of planners. The tasks were subject to analysis by the planning committee itself as well as by a coordinating-consultative body (the Consultation Centre). It should be noted that although the Consultation Centre representative was identified by the respondents as a member of the planning committee, his role appears to have been that of a consultant in that he only attended meetings when asked to do so. Further, the Consultation Centre representative had the responsibility of ensuring that the program proposal met the departmental requirements of the Solicitor General.⁶⁹ It must be noted here, however, that the Consultation Centre representative was based in Ottawa and provided consultative services throughout the country. Because of commitments elsewhere and because he was the only representative of the Consultation Centre at that time, his input in the planning process was limited.

Kahn has stated that the planning process should not be conceived of as a linear or deductive process.⁷⁰ It is a process that is subject to review and reconsideration on an ongoing basis. This element of planning is demonstrated in our case study in that the submission made by the planning committee (in effect by the Board of Directors) on April 19, 1972 received a number of criticisms from the Consultation Centre as described previously, and the planning committee had to make a number of

revisions in the proposal. This process of acquiring feedback and re-evaluating steps already taken in the planning process is an integral part of planning and, in this case, appears to have been the means by which the organization (the Solicitor General's Department) ensured that the program would be in line with Departmental policies.

Another aspect of this phase of the planning process cannot be overlooked. The actual impetus to plan began not within the Ministry of the Solicitor General, but outside of it. Yet once the planning had begun, the actual control over what was an acceptable plan lay in the hands of the Consultation Centre, a branch of the Ministry of the Solicitor General. This issue of control should not be lightly treated since without Consultation Centre approval, there would be only the slightest possibility of obtaining funds for a halfway home. At the same time one must recognize that the actual planning group consisted of a mix of government and non-government representatives. Consequently there was also a degree of control exerted by government within the planning group itself. This dual control, in the one instance over the right to fund and in the other over the planning process itself, ensured that the Native Clan program would be consistent with departmental policy.

Johnson, Kast and Rosenzweig have pointed out that planning is an integrative activity which should seek to maximize the total effectiveness of the system.⁷¹ Frequently

in complex organizations, planning is carried out by specialized functional or staff groups. This was not the case in this instance. Although the planning committee did include representatives from the Solicitor General's department, other people from outside of the organizational system were also included. With the possible exception of the Consultation Centre representative, none of the planners appear to have had a specialized knowledge of the program planning process in that their primary occupations were not related to program planning as such. The planning committee was, in effect, a heterogeneous mix of various people in the correctional system and outside of it who shared a common interest in the welfare of native inmates. It was this common interest that brought the group together rather than specialized capabilities in program planning. It was in effect a coming together of producers and consumers of service.

Again it is possible to identify a specific time frame within which the activities in this stage were carried out. That is, the first formal planning activities began with the creation of a planning committee on February 16, 1972. Deliberate task oriented activities were carried out which led to a final program proposal on July 4, 1972. At this point the planning committee was to all intents and purposes dissolved although it was later reconvened as a Board of Directors.

For a period of almost five months then a readily identifiable group of individuals carried out tasks which we have referred to as formal planning activities.

Stage V Implementation

The implementation phase, as we have described it is the period of time encompassed by the formal acceptance of the proposal by means of a contract and the point at which the program becomes operational. In the case of the Native Clan, these dates were easily identified. The activities engaged in during this period of time were primarily directed toward the implementation of the plan as described in the final proposal.

We will look at this four month period of time only from the point of view of its impact upon the planning process.

The activities that were undertaken included:

1. Assigning responsibility for implementing the plan.
2. Recruiting staff to carry out the program.
3. Locating a suitable community based residence.
4. Developing evaluation procedures.
5. Informing interested parties, including funding bodies, other agencies and potential clients of progress being made in operationalizing the program.
6. Seeking expert guidance when necessary.

Each of the above activities was performed by two people, one from the planning committee and one newly hired person who had no previous knowledge of the planning process.

It was the responsibility of the former planning committee member to inform the new staff person of all that had gone into the planning of the program and to give general guidelines to be followed in the implementation process. Hage and Aiken have pointed out that techniques of implementation are vital and require a great deal of skill. The skill or leadership provided in this phase came not from previous experience in implementing programs but from a knowledge of all that had gone before in the planning process and a clear conception of the tasks that would have to be undertaken to operationalize this specific program.

Some of the task described are sequential (e.g. hiring a project director who then recruits staff and then provides them with leadership or training) and some are simultaneous (while staff are recruited, hired and trained, the community is involved through the process of recruitment as well as through the use of other agency representatives as resource people in the implementation process). Our data indicates for example that the Director of the United Church Halfway Homes was called upon to assist in locating a suitable residence.

There is no documentation available which suggests that either the planning committee or the Consultation Centre was involved in the implementation process. We have already indicated that the planning committee (Board of Directors) was only informed about implementation proceedings after the fact. Certainly the Board of Directors was not regarded as a

source of expert guidance despite a long involvement in the planning process. Similarly the Consultation Centre was only approached for guidance in terms of developing an evaluation procedure. The Consultation Centre did not respond to this request. Nor is there any documentation available to suggest that the Consultation Centre had any wish to become involved in the implementation process. Two well informed groups, then, ceased to function in the planning process following the final submission for funding.

The reasons for this are not clear. But one must look back to earlier phases of the planning process for the answer. It will be recalled that the formation of the planning group, the scheduling of meetings of the planning group, the chairing of planning group meetings, the writing of proposals, etc., all fell fairly consistently into the hands of the M.M.F. representative. Any input that planning group members had in the process occurred only during meetings. When approval for funding was given, the planning committee ceased to meet. In fact the planning committee had by this time become the Board of Directors and the Chairman of the Board of Directors was the M.M.E. representative who by this time was so used to organizing and planning that he simply called together the Board of Directors to let them know what he had been doing. This dysfunctional aspect of the Board of Directors was an artifact of the members former, relatively inactive roles, on the planning committee.

The activities engaged in by the Project Director in consultation with the Chairman of the Board of Directors were primarily geared toward the structuring of the program to the point at which it was possible to begin providing a service. This stage of planning encompassed approximately four months, culminating in the opening of the halfway home on July 1, 1973.

Stage VI Stabilization

The concept of routinization or stabilization implies that steps are taken to develop a new equilibrium for the system. Actions are taken to consolidate and reinforce patterns of behaviour and expectations that are required to ensure that the program does what it is supposed to do. Also implicit in this phase, according to the theorists, is an evaluation component.

In the case of the Native Clan, our ^{research} findings suggest that this stage was characterized by a growth in staff; increased program activities for clients; the development of staff training programs; the search for community supports; the development of relationships with other social service agencies; and the development of credibility within the criminal justice system. Budgeting and manpower assignment were major tasks of the administrators. A system of reporting to the funding bodies was developed in the form of quarterly reports.

The activities described above suggest that this was a period of growth and change rather than a period in which some form of equilibrium was sought. The major thrust of the program was not to "consolidate and reinforce patterns of behaviour". The concept of stabilization then must be seriously questioned. Certainly the notion of a static equilibrium must be challenged in these circumstances. The activities described above are strongly reminiscent of a new cycle of planned change. All activities up to this point have been geared toward the acquisition of financial and human resources and not toward the provision of service to inmates and parolees. Planning for service delivery had been largely an exercise on paper up to this time. After the home opened and staff were hired, the primary concern was to begin to offer a service. Initially this included room and board for released offenders and some counselling services for inmates who had not yet been released. Within a year however the program included personal counselling for residents in the home and for inmates; assistance and supervision on Temporary Absences; processing applicants for the halfway home; arranging family visits for inmates from reserves; education, employment and alcohol counselling; referrals to other social agencies; and developing and maintaining relationships with other native organizations.⁷² This stage is in fact the beginning of an ongoing process in which needs are identified and new program activities are designed and implemented.

The word, stabilization, implies rigidity and a resistance to change. Given the development of program activities described above, and the expansion of staff from two liaison counsellors in the beginning to eighteen now, and the continuing development of programs in new areas (the Native Clan now has several workers who attend court daily to ensure that natives are aware of their rights in the criminal justice system) it is almost superfluous to suggest that the Native Clan is attempting to reach the point where change is minimized. Rather this stage might best be regarded as simply the post implementation stage consisting of ongoing operations, replanning and evaluation.

A word of caution is necessary with regard to evaluation. A specific evaluation mechanism was not utilized by the Native Clan nor by the funding bodies. A formalized feedback mechanism was developed however in the use of quarterly and annual reports. There is no evidence to suggest that this was not acceptable to the funding bodies. In fact it has already been pointed out that an evaluation of the program was never sought by the funding bodies.

Something must also be said about the apparently ineffective role of the Board of Directors since the Native Clan became operational. It will be recalled that the Membership of the Board of Directors was the same as for the

planning committee. It is apparent that throughout the planning process, the M.M.F. representative was the most influential member of the planning committee. We have said that this was largely due to the fact that other committee members were not free, because of other commitments, to participate more actively in planning the program. With the implementation of the program, the planners became Board members and the M.M.F. representative became the Chairman of the Board. The Board members remained a relatively passive group while the Chairman of the Board retained his active and aggressive involvement in the operation of the program. It is very likely that some of the difficulties described previously, such as in the implementation process or in the early operation of the program, might have been avoided if the Board had been more actively involved. Certainly in terms of the ongoing operation, it would be advantageous to utilize the Board members to the fullest extent.

PART III SUMMARY

In reviewing the overall program planning process, it is apparent that there exist certain natural stages through which the Native Clan developed. In assessing the suitability of our theoretical paradigm as a reflection of the actual process these natural stages have some importance. This is

particularly so in as much as the theoretical paradigm employed to gather data was derived deductively rather than inductively. The following natural stages have been identified by the researcher as being as closely representative of the actual process as possible.

Stage I Identification

This stage encompasses a period of time and a cluster of tasks which focus primarily on the recognition of unmet needs.

Stage II Informal Planning

This second stage encompasses a period of time and a cluster of tasks which have as their focus an exchange of ideas and an expression of alternatives by which the needs identified in the previous stage might be satisfied. There is also an opportunity in this stage to informally set goals and gather necessary supports for those goals while giving the appearance of being receptive to new ideas.

Stage III Formal Planning

The third stage of the program planning process begins with the formation of a formal planning body and encompasses a series of task oriented activities which include a selection of choices, the specification of goals and objectives and the development of a specific program format, including the search for financial, physical and human resources.

Stage IV Implementation

This is the stage in which the plan is translated from a concept to a reality. It is in this stage that the adequacy of planning is put to its first test. A well designed plan that allows for contingency factors will greatly facilitate the implementation process.

Stage V Stabilization

This phase can be more properly referred to as the post-implementation period. It includes all those activities which are a part of the ongoing operation of the program as well as new planning activities and the development of evaluative and/or feedback mechanisms.

The above paradigm more accurately reflects the program planning process in this instance than does the paradigm used to collect data. This paradigm differs from our initial one only in so far as the setting of objectives is identified as a part of the formal planning stage. The reason for this change is simply that no attempt was made to set objectives until after the formation of a formal planning committee.

CHAPTER V

CONCLUSIONS

This thesis represents a beginning effort at conceptualizing the program planning process. Derived from both theory and practice the model described previously can provide guidelines for further study into the subject. The model or paradigm should not be regarded as a "recipe" for program development but rather as an analytic tool which provides a framework for thinking about program development, not only in government departments but in smaller organizations such as social work agencies.

Assuming that a paradigm of program planning is developed on the basis of many more case studies than just this one, it is imperative to understand the uses that such a model might be put to:

1. The paradigm can assist the administrator or planner to classify programs according to their stage of development. This will help to ensure that essential tasks or activities are not omitted or ignored.
2. It can assist in the development of guidelines or standards regarding the length of time required to complete each stage. This in turn will allow for the projections of a time frame within which the overall program may be expected to develop.

3. It encourages the delineation of evaluative criteria for each phase thus allowing for more effective program development.
4. Knowledge of all that has gone before will allow for the identification of those factors that will influence program implementation.
5. Such a model will allow for the study and analysis of earlier as well as existing programs, thereby contributing to additional knowledge of program development.

FACTORS INFLUENCING THE PLANNING PROCESS

A number of factors can be identified which influenced the program planning process. These factors included the political climate, correctional trends and philosophies, the established need for the program, the degree of support from external agencies and the internal milieu. It is probable that these factors will to a greater or lesser degree influence the development of other programs.

A. The Political Climate

The initiation of the Native Clan Organization was favorably influenced by the contemporary political climate. The native movement was very much to the fore and the study, *Indians and the Law*, which had been published in 1967 under the auspices of the Canadian Corrections Association was still of current interest.⁷³ In 1968 the Departments of Justice, National Health and Welfare, the Secretary of State, the Solicitor General and Indian Affairs and Northern Development