

The Pre-Evaluation Assessment of the Settlement Component of the Immigration Program: Draft Report, Prepared for Program Evaluation Branch, Strategic Policy and Planning

1983

The Institute of Urban Studies





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THE PRE-EVALUATION ASSESSMENT OF THE SETTLEMENT COMPONENT OF THE IMMIGRATION PROGRAM: DRAFT REPORT, PREPARED FOR PROGRAM EVALUATION BRANCH, STRATEGIC POLICY AND PLANNING

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THE PRE-EVALUATION ASSESSMENT OF THE
SETTLEMENT COMPONENT OF THE
IMMIGRATION PROGRAM

Draft Report

Prepared for:
Program Evaluation Branch,
Strategic Policy and Planning

Prepared by:
Institute of Urban Studies
University of Winnipeg
September, 1983

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1.0 INTRODUCTION

1.1 Purpose and Scope

This report is the pre-evaluation assessment of the Settlement Component of the Immigration Program. It has been prepared with the guidance of the principles set forth by the Office of the Comptroller General (OCG)(1981) as stated in Principles for the Evaluation of Programs by Federal Departments and Agencies. The purpose of the assessment is to determine means by which the several programs and services of the Settlement Component may be evaluated.

It should also be noted that the Immigration Program consists of three Components--Recruitment and Selection, Enforcement and Adjudication, and Settlement. This report constitutes one of three pre-evaluation assessments which have been conducted concurrently of the three Components of the Immigration Program.

1.2 Organization of the Report and Research Approach

Chapter 2 provides a profile of the Settlement Component which includes a historical review of government involvement in immigrant settlement activities as well as the Component's mandate and objectives, resources available, and a detailed description of the 5 sub-component activities--Adjustment Assistance Program, Immigrant Settlement and Adaptation Program, Transportation Program, Refugee Sponsorship and Destination: The Matching Centre, and Programs for Special Needs Refugees. The latter constitutes Part B of the

chapter and provides information on objectives, operations, and impact and effects. The Component is summarized through the use of a logic model. Through the use of this graphic display of the Component's logic, it is possible to identify potential issues.

Chapter 3 presents the evaluation issues and questions which have been derived from the review of the Settlement Component and determines priorities based on Component-specific considerations and on the coverage issues and questions provide the general evaluation issues set out by the OCG (1981).

Chapter 4 sets out several evaluation approaches which can be used to address the issues and questions. A critical assessment of the approaches is given. Costs of conducting the approaches are attached.

Finally, Chapter 5 groups the approaches into evaluation options based on a variety of considerations and constraints. A preferred option is recommended.

In conducting this assessment a number of informational sources were used--existing documentation, secondary data on immigration and evaluation, and in-person interviews with CEIC staff and representatives of non-governmental organizations with ISAP funds. An ongoing dialogue between the consulting group and the national headquarters staff was most useful in verifying information and in finalizing evaluation issues and questions.

2.0 PROFILE OF SETTLEMENT COMPONENT OF THE IMMIGRATION PROGRAM

Part A - Background

2.1 Historical Review of Canadian Policy on Immigration and Immigrant Settlement

The historical review that follows highlights the attitudes and major policy directions of Canadian immigration. It is interesting to note the strong and ongoing tie between immigration and labour market needs. Through selective immigration, Canada advanced its economic growth. Also interesting, and very understandable in light of the first point, is the cyclical nature of immigrant intake levels. When economic circumstances improved, intake increased and when circumstances worsened, intake decreased. A final point which should be made, is the shift, in the past 20 years, to a more humanitarian approach to immigration. Canada admits refugees annually and through the Departments of Employment and Immigration and Secretary of State, endeavour to facilitate immigrant settlement and integration into Canadian society.

Post-confederation policy on immigration was founded in the British North American Act which established immigration as an area of concurrent jurisdiction between federal and provincial governments. From the outset, the federal government assumed responsibility for the formation of policy and processing of applications, while the provinces were responsible for settlement. (Dirks, 1977) The federal government quickly established immigration legislation (1869) and located an immigration branch in the Department of Agriculture.

Activities were directed at populating unsettled lands and increasing agricultural activities.

Immigration policy in the 1900's continued to stress the movement of agriculturalists of European and American descent. Immigration was a major tool used to fulfill demographic and economic goals. These goals were not explicitly stated nor was there a well-structured means of controlling settlement. Ethnic enclaves/farm communities resulted which were neither anticipated or desired by the federal government. (Editorial and Information Division, 1951)

The period 1900-1915 saw a major increase in immigration and sustained high annual intake levels (greater than 100,000 per annum). (Kalbach, 1974) Federal legislation was amended in 1906 and responsibilities for its implementation, transferred from the Department of Agriculture to the Department of Interior. The legislation allowed for more control and regulation of immigrant intake and subsequent intake indicated that the process was very selective. Approximately 40% of the arrivals were from the British Isles; 30% were from the United States; and the large majority were seeking work in agriculture.

World War I and the period prior to World War II was highlighted by greatly reduced immigration and by exclusion of persons from certain countries, or of particular ethnic/religious backgrounds. Refugee intake was also limited to those with farming experience and/or financial resources. A British Family Settlement Scheme was

established providing special transportation and settlement arrangements to farm families. (Editorial and Information Division, 1951) This was provided in co-operation with provincial governments. For the most part settlement of immigrants prior to World War II was the responsibility of the immigrants or the agency/company bringing them to Canada. The CNR, CPR, and Hudson's Bay Company were instrumental in this role.

The post World War II period, from 1947 to 1957 saw the movement of one million immigrants to Canada. Immediate efforts were made to accommodate the families of Canadian soldiers, demobilized Free Polish soldiers, and war refugees. According to the Prime Minister of the day, Canadian policy would aim to foster the growth of the Canadian population, and to ensure careful selection and permanent settlement of such numbers as could be advantageously absorbed in the national economy. Canada did not wish to make a fundamental alteration of its population through mass immigration, in particular large-scale immigration from the Orient.

To fulfill this mandate several steps were taken:

1. A Settlement Service was established, placing settlement officers throughout the country.
2. A Department of Citizenship and Immigration was established in 1950.
3. In 1951, the Assisted Passage Loan Scheme began providing funds for transportation costs of immigrants with occupational skills in high demand. In 1955, this program was expanded to include dependents.
4. In 1952, a new Immigration Act was passed.

5. In 1953, formal federal/provincial discussions began to annually establish immigration levels and selection criteria in light of provincial needs.
6. In 1957, federal funds were made available for immigrant needs in their first six months in Canada. (Treasury Board Minutes 512072, February 1, 1957).

The most significant events of the 1960's were:

1. The removal of the immigration policy which was explicitly discriminatory on the basis of race. New regulations emphasized universality, education, skills, training, family reunion, and humanitarianism. A point system for assessing immigrants of the independent or nominated relative class was introduced. In 1969, Canada acceded to the UN Refugee Convention and Protocol (1951). (Richmond, 1974)
2. The creation of the Department of Manpower and Immigration, and the disbanding of Settlement Service. The new Department provided services to employers and employees, and it was believed that immigrants should utilize services available to all Canadians, for their settlement needs. Limited additional financial assistance remained. Assisted Passage Loans also remained.

In 1970, the Assisted Passage Loan Scheme was extended to all immigrants whose financial capabilities were limited. There were several refugee movements during the decade - Tibetans, Ugandan Asians, Latin Americans, Lebanese, and Vietnamese - who utilized this program. As Table 1 shows, the total number of immigrants to Canada held relatively constant from 1966 to 1981. Cyclical fluctuations which appear very similar to economic cycles occurred. (Pertchins, 1975) The proportion who were in need of assistance - refugees and designated classes - grew significantly from 4.2% in 1972 to 28.2% in 1980. There was a growing demand on private organizations and voluntary agencies for settlement services, and this in turn led to pressure on the federal government for financial support. (CEIC, 1982)

Table 1- IMMIGRATION BY CLASS, 1966-1981

YEAR	TOTAL	FAMILY CLASS		ASSISTED RELATIVES		INDEPENDENT		REFUGEES AND DESIGNATED CLASSES	
		NUMBER	PER CENT	NUMBER	PER CENT	NUMBER	PER CENT	NUMBER	PER CENT
1966	194,743	66,562	34.2	-	-	128,181	65.8	-	-
1967	222,876	74,427	33.4	-	-	148,449	66.6	-	-
1968	183,974	38,307	20.8	35,040	19.1	110,627	60.1	-	-
1969	161,531	33,548	20.8	39,084	24.2	88,899	55.0	-	-
1970	147,713	32,263	21.8	35,151	23.8	80,299	54.4	-	-
1971	121,900	33,450	27.4	29,328	24.1	59,122	48.5	-	-
1972	122,006	33,019	27.1	30,692	25.2	53,115	43.5	5,180	4.2
1973	184,200	41,677	22.6	44,278	24.0	95,886	52.1	2,359	1.3
1974	218,465	54,232	24.8	53,161	24.3	109,406	50.1	1,666	0.8
1975	187,881	64,124	34.1	45,727	24.3	72,464	38.6	5,566	3.0
1976	149,429	60,830	40.7	32,528	21.8	44,320	29.6	11,751	7.9
1977	114,914	51,355	44.7	26,114	22.7	30,145	26.2	7,300	6.4
1978	86,313	45,540	52.8	17,199	19.9	19,319	22.4	4,255	4.9
1979	112,096	46,763	41.7	11,474	10.2	25,980	23.2	27,879	24.9
1980	143,117	51,039	35.7	13,531	9.4	38,213	26.7	40,334	28.2
1981	128,500	51,000	39.6	17,586	13.7	44,814	34.9	15,100	11.7
1966-1981	910,837	245,107	26.9	109,275	12.0	556,455	61.1	-	-
1971-1981	1,568,821	533,029	34.0	321,618	20.5	592,784	37.8	121,390	7.7
1966-1981	2,479,658	778,136	31.4	430,893	17.4	1,149,239	46.4	121,390	4.9

Source: Annual report to Parliament on Immigration Levels, 1982

In 1973, the Canadian Immigration and Population Study began a comprehensive review of immigration policy. From the study, a Green Paper on immigration was prepared and tabled in the House of Commons in 1975. A new Immigration Act was tabled in the House in 1976 and was proclaimed in 1978. Also in 1978, five federal-provincial immigration agreements were signed - Nova Scotia, Quebec, Saskatchewan, Prince Edward Island, and New Brunswick.

The most significant immigrant movement of the 1970's was the influx of 60,000 Indochinese refugees in 1979 and 1980. The movement was unique both in size and in that it involved "a type of 'partnership' between the Canadian people and government at all levels which was sudden and unlike anything that had happened before in the settlement field". (EIC, 1982:1). Looking back on this movement and the programs put in place to facilitate it, several concerns can be noted.

1. Employment was generally available to refugees but in jobs with lower wages and in occupational categories which represented a downward movement. Language was a major barrier and training in language needed to be employment-oriented.
2. Government and agency services for immigrant needs were found to be insufficient and unable to respond to such a large group with significantly different cultural backgrounds. This was particularly noted for Canada Employment Centres. Also noted was the lack of linkages between Employment and Immigration Centres. (EIC, 1981)
3. Second wave migration was common with many refugees leaving their original destinations in order to seek employment elsewhere. Movements from small urban or rural locations to larger urban centres was common.
4. Sponsorship was most effective when done by a well-organized and structured group such as a church group. Smaller, less structured groups often experienced financial difficulties and were incapable of providing necessary settlement assistance.

5. While government-assisted refugees were the heaviest users of settlement services from voluntary organizations, privately-sponsored refugees increasingly used these services as the one-year sponsorship period drew to an end. This trend was expected to continue.
6. "The financial resources available to agencies engaged in refugee settlement appear to be inadequate in relation to the job they are doing. This inadequacy and year-to-year uncertainty contribute to instability, demoralization and loss of good professional staff. Also, much time is spent applying for grants. Given the capability of voluntary and special service agencies to provide settlement services, the Government should devise more ways of supporting these agencies financially and by assisting in coordination of the services provided. It is the view of the study team that the voluntary sector, properly supported, can provide the needed services more adequately than the Government directly, and at considerably less cost." (DPA Consulting Ltd., 1982:v)

For settlement activities at the federal level, the new legislation and regulations and the Indochinese movement had significant impact. Primarily a mandate for operation of settlement programs and services was recreated. A Refugee Status Advisory Committee and a Special Advisory Board were formed. The Assisted Passage Loan Program became the Transportation Loan Program of Settlement Branch. Federal funds to assist newly arrived, indigent immigrants continued under the Adjustment Assistance Program (AAP) and new programs were created.

1. In 1976, grants to non-governmental organizations began under the Immigrant Settlement and Adaptation Program (ISAP), the objective of which was to financially support non-governmental organizations who provided settlement services to newly arrived immigrants.
2. The Indochinese refugee movement led to three initiatives:
 - (i) Programs for Special Needs Refugees
 - (ii) Refugee Settlement Liaison Program
 - (iii) Indochinese Refugee Settlement Grants Program

The latter two programs ended in 1981 with the decline in this movement.

As Table 2 shows, Quebec, Ontario, Alberta, and British Columbia received the largest number of immigrants (91% of total immigration) and 88% of the total refugee and designated classes group in 1981.

The most recent initiative with significant meaning for settlement policies and programs is the joint Canada Employment and Immigration Commission and Department of Secretary of State Task Force on Immigrant Settlement/Integration and Language Training. It is anticipated that new policy and programs will result from the Task Force and its subsequent discussions with provincial governments and non-governmental organizations.

2.2 Component Mandate and Objectives

2.2.1 Legislative Mandate

With the enactment of the 1976 Immigration Act, Canada, for the first time, has a stated settlement objective.

to encourage and facilitate the adaptation of persons who have been granted admission as permanent residents to Canadian society by promoting co-operation between the Government of Canada and other levels of government and non-governmental agencies in Canada with respect thereto

(Immigration Act, 1976, 3(d))

Explicit in the Act, is the mandate for creation of programs which advance funds to immigrants in need of settlement assistance. Section 121 of Part VII provides for loans to be used for:

- a) paying the costs of establishing that they and their families may be granted admission

Table 2

IMMIGRATION BY CATEGORY AND BY PROVINCE OF INTENDED DESTINATION, 1981

	NFLD.	P.E.I.	N.S.	N.B.	QUE.	ONT.	MAN.	SASK.	ALTA.	B.C.	N.W.T.	YUKON	NOT STATED	TOTAL
FAMILY CLASS	174	17	481	341	7,185	23,575	2,346	623	6,174	9,950	25	51	77	51,019
CONVENTION REFUGEES AND DESIGNATED CLASSES	26	11	119	76	3,233	5,489	817	645	2,723	1,700	3	6	123	14,971
Convention Refugees	1	-	8	3	206	352	22	33	96	35	-	-	46	802
Designated Classes	25	11	111	73	3,027	5,137	795	612	2,627	1,665	3	6	77	14,169
INDEPENDENT IMMIGRANTS	279	91	802	570	10,645	25,754	2,195	1,131	10,391	10,349	51	61	339	62,021
Assisted Relatives	59	10	141	83	1,975	8,154	609	383	2,344	3,808	7	6	10	17,589
Retirees	20	16	78	66	284	778	33	26	116	624	-	-	22	2,063
Entrepreneurs	5	-	6	5	132	425	13	-	87	227	-	-	-	900
Self-Employed Persons	14	20	76	74	1,114	1,845	313	60	423	1,161	2	16	10	5,128
Other Independent Immigrants	181	45	501	342	7,140	14,552	1,227	662	7,381	4,529	45	39	297	36,941
Not Stated	-	-	-	-	-	-	-	-	-	-	-	-	-	-
TOTAL	479	119	1,402	987	21,063	54,818	5,358	2,399	19,248	21,999	82	118	539	128,611

Source: Recruitment and Selection Branch, CEIC. Taken from Annual Report to Parliament on Immigration Levels, 1982

- b) paying the costs of obtaining transportation to Canada, and transportation from the port of arrival to the place of destination in Canada for them and their families
- c) paying the reasonable living expenses of such persons and their families, and such other expenses as are prescribed in order to assist those persons in establishing themselves successfully in Canada.

Subsections (a) and (b) are provided through the Transportation Loan Program (formerly Assisted Passage Loan Program). Subsection (c) is provided through the Adjustment Assistance Program (AAP). The authority to provide loans is further explained in the 1978 Immigration Regulations (See Appendix A, Schedule A-3).

Implicit in the objectives of the Immigration Act (1976), is the direct provision of services to immigrants by the federal government. The Minister responsible for immigration and the designated federal agency, Canada Employment and Immigration Commission, have a mandate to establish operational policy, and deploy staff to this end. The Immigrant Settlement and Adaptation Program (ISAP) is one means by which services are being provided. In this case, services are purchased on a fee-for-service basis from non-governmental organizations as allowed for in the Terms and Conditions of ISAP and as approved by the Treasury Board.

Also noteworthy is the tie made between settlement and increased participation by agencies, outside of the federal government, in policy making and program delivery. The emphasis on Provincial involvement is further noted in the 1976 Act in Part VII, Section 109, Consultations and Agreements with Provinces.

- (1) The Minister shall consult with the provinces respecting the measures to be undertaken to facilitate the adaptation of permanent residents to Canadian society and the pattern of immigrant settlement in Canada in relation to regional demographic requirements.
- (2) The Minister, with approval of the Governor-in-Council, may enter into an agreement with any province or group of provinces for the purpose of facilitating the formulation, co-ordination and implementation of immigration policies and programs.

Settlement programs and services also contribute towards the fulfillment of other statutory immigration objectives. These are:

- 3(a) to support the attainment of such demographic goals as may be established by the Government of Canada from time to time in respect of the size, rate of growth, structure, and geographic distribution of the Canadian population
- 3(b) to enrich and strengthen the cultural and social fabric of Canada, taking into account the federal and bilingual character of Canada
- 3(c) to facilitate the reunion in Canada of Canadian citizens and permanent residents with their close relatives from abroad
- 3(g) to fulfill Canada's international legal obligations with respect to refugees, and to uphold its humanitarian tradition with respect to the displaced and the persecuted
- 3(h) to foster the development of a strong and viable economy and the prosperity of all regions in Canada

(Immigration Act 1976, Part I, Objectives)

2.2.2 Settlement Objectives

The Settlement Component of the Immigration Program states its objective to be "to facilitate the settlement and adaptation of

recently arrived permanent residents (immigrants and refugees) so they may become fully participating members of Canadian society as quickly as possible."

Three classes of immigrants exist and the Settlement Component offers services to them to varying degrees. The three classes are:

1. family class
2. independents
3. refugees.

The independent class includes along with the principal applicant their immediate family (spouse and dependent children). It also includes entrepreneurs, self-employed, assisted relatives and retired people. The principal applicants in this class are selected based on points which are allocated on the basis of the factors of age, education, adaptability, occupational demand, occupational skill, arranged employment, knowledge of English and French, relatives in Canada and employment opportunities in the area of destination. These factors make up the point system which has been in effect since 1967. The size of the independent class varies with changing labour market demand. The assisted relative component of the independent class is segregated when examining immigration by class because assisted relatives are required to be sponsored by a relative in Canada and are selected on the basis of a modified set of selection criteria.

The family class immigrants are family members or intended spouses of Canadian residents who have undertaken to sponsor them. The size of

the annual intake of this class depends on the number of approved sponsorship applications put forward by Canadian residents. The numbers tend to rise due to family reunification following periods of high independent class and refugee intake. The proportion of family class immigration has grown in recent years as the numbers of independent and refugee class immigrants have decreased.

The refugee class of immigrants includes the "convention refugee" as per the Geneva Convention and also designated groups admitted on compassionate grounds. The size of the refugee class fluctuates from year to year depending on the world refugee situation. There were rapid increases in refugee intake during the 1979-1980 Indochinese refugee program making up just over 1/3 of the total annual immigration.

The Act also allows for consideration of special circumstances whereby an immigrant can be admitted on a Minister's permit. This power has been used with increasing frequency in recent years.

To achieve its objective and to assist the various classes of immigrants, the Settlement Component delivers a variety of programs and services at posts abroad, at ports of entry and at final destinations. Loans under the Transportation Program are available to all admissible immigrants for the purposes of reuniting families, resettling refugees and bringing to Canada independent immigrants whose skills are needed in Canada.

Similarly to transportation loans, other types of assistance originate abroad. All classes of immigrants receive counselling and

information concerning Canada and refugees receive additional assistance. Through the Matching Centre (See Section 2.8) and Programs for Special Needs Refugees (See Section 2.9) the abilities and needs of refugees are matched with the needs and support capabilities of Canadian destinations, again, in the hope that the refugees will settle early and successfully.

Once in Canada, services, in the form of reception and orientation, and programs are available. These programs tend to concentrate on refugees for two reasons. The first is that independent and family class immigrants are assumed to have other sources of assistance and thus do not need government input and secondly, financial assistance is only available to indigent immigrants and independents and family class immigrants, by definition, are not indigent. The Adjustment Assistance Program (AAP) has a mandate "to provide financial assistance for the basic needs of newly arrived indigent immigrants" and the Immigrant Settlement and Adaptation Program (ISAP) is intended "to facilitate the economic, social and cultural adaptation of recently arrived immigrants to Canadian society."

2.3 Component Description

The basis for the current division of federal responsibility for immigrant settlement and adaptation between CEIC and the Department of the Secretary of State (SOS) is the 1974 Cabinet Document on Immigrant Integration. This document delegates to CEIC responsibility for short-term economic integration of individual immigrants. SOS is

primarily responsible for medium and long-term social and cultural integration of immigrant groups. Subsequent years of operation have led to the conclusion that such a delineation of responsibility is not satisfactory. In response, a joint review was initiated by the two responsible departments in 1981. This initiative will be discussed further in Section 2.3.3. Pending changes in the mandate which may result from the ongoing review, CEIC and particularly the Settlement Component of the Immigration Program are responsible for immediate immigrant settlement needs.

2.3.1 Organizational Structure

Chart B-1 (Appendix B) indicates the organization of CEIC including the Immigration Program and Settlement Branch. Within the Settlement Branch of National Headquarters, activities are divided into policy formulation and program delivery. As Chart B-2 (Appendix B) indicates, the Director of Settlement Branch directs activities within four areas of responsibility:

1. policy
2. operations
3. planning and control
4. transportation programs.

Settlement Branch has a relatively small staff administering funds for a variety of services and five programs. The programs are described in Sections 2.5 to 2.9.

Chart B-3 (Appendix B) provides more detail of the line communication/direct authority and functional direction/co-ordination

activities of the Immigration Program. The Settlement Branch reports directly to the Executive Director of Immigration and has a functional or co-ordinating relationship with the Recruitment and Selection Branch in National Headquarters and with the Settlement offices in each region. Delivery of Settlement programs is also carried out by staff of Canada Employment Centers (CEC) of the Employment Program and Canada Immigration Centers (CIC) of the Immigration Program. A functional relationship exists between the regional Settlement offices, the CECs, and the CICs of the regions. Primarily the regional Settlement staff provide interpretation of policy and procedures to the Centres. The distinction between functional direction and line communication has significant implications for policy formulation, financial planning, and program delivery as will be discussed later.

2.3.2 Complementary Activities and Programs

While each Settlement activity has its unique mandate, operation, and delivery system, there are some common elements. Most significant is the fact that Settlement Branch (NHQ) does not directly deliver any services or programs to immigrants but rather that other branches of CEIC or other government or non-governmental agencies do so. For example, services, which include reception and counselling, are provided by employment personnel in the CEC and by non-governmental organizations through ISAP. AAP is delivered by CECs. Transportation loans are delivered overseas by personnel of the Department of External Affairs.

Another significant element is the extent to which Settlement activities are tied to and enhanced by the services and programs of other governmental agencies. For example, SOS and the Multiculturalism Program provide direct services and indirect services through non-governmental organizations to immigrants to ensure their long-term integration into Canadian society. Many groups receiving ISAP funding also receive SOS and Multiculturalism funds.

Provincial participation in the establishment of immigration levels and labour market needs also extends to participation in settlement of immigrants. An example of this role is the part various provincial agencies play in the settlement of special needs refugees. Newfoundland and Manitoba have entered into agreements with the federal government concerning intake and co-ordination of services for these refugees. Language training is delivered by provincial and local educational institutions who enter into funding arrangements with the federal government under the National Training Act, or who extend the services unilaterally. Non-governmental organizations are also providing language training.

Within CEIC, other programs facilitate immigrant settlement. These are primarily employment activities of the Labour Market Development Program which are delivered by CECs across Canada. Employment activities include:

1. National Training Act
2. NEED Program
3. Employment counselling and placement
4. Program for the Employment Disadvantaged (PED)

The extent to which other government and non-governmental agencies are involved in the delivery of services and programs to immigrants makes the development and operation of a settlement program very complex. Co-ordination of functions and effective communication are of primary concern so as to ensure that activities are not conflicting, overlapping or omitting vital services. Effective communication of available services to the client group also becomes a primary concern.

2.3.3 Present Environment/New Initiatives

As stated above, the number of agencies and range of services assisting immigrants in settling and adapting to Canadian society are large and complex. The process of settling and adapting is also complex and quite variable, being dependent on the cultural, social and economic background of the immigrant. With large increases in the number of refugees admitted and diversification of socio-economic backgrounds (in conjunction with broadening of places of origin, it was recognized that present mandates and operations were not as effective as desired.

Also, the Immigration Program was changing its policy direction response to new economic conditions. Immigrant intake was emphasizing

employment potential and the provision of services upon arriving in Canada were to be carefully monitored for cost effectiveness and control.

In response, a number of reviews were begun. In 1980, a review of ISAP was begun which involved Settlement Branch, Multiculturalism Branch of SOS, and provincial and non-governmental agencies. Some changes have been made to this program (as will be reflected in the following program description) and other changes are expected to occur. In 1981, a joint Task Force was established by SOS and CEIC to consider Immigrant Settlement /Integration and Language Training. The Task Force had a much broader scope than the ISAP review and will affect many Settlement Component activities including ISAP. The Task Force submitted an extensive report with recommendations for CEIC, SOS, and for Settlement activities at the federal level.

The three major recommendations were:

1. That, consistent with the recommendations of this report, the federal responsibility for immigrant settlement/integration be divided between EIC and SOS and that their respective mandates be clearly defined to reflect this division.
2. That this division make the settlement responsibilities, that is those pertaining to direct and initial access needs, be those of EIC; such responsibilities normally to be discharged within a one year policy perspective.
3. That this division make the continuing integration programs the responsibility of the SOS; such responsibility to include efforts to create a responsive and tolerant host society.

From this report, more detailed examinations began which involved discussions with provincial and non-governmental organizations. These

discussions have concluded, and submissions to respective federal Ministers and from Ministers to Cabinet have been made at the time of writing this study.

With regard to CEIC's role, through the activities of the Settlement Component, the emphasis will be on:

1. An enriched package of programs for immigrants in their first year in Canada. AAP and ISAP will receive greater funds and language training will be expanded in order to cope with divergent needs and capabilities of immigrants.
2. Improving the administrative aspects of ISAP and stabilizing ISAP funds thus allowing non-governmental organizations the opportunity for medium-range planning and development. Immigrants beyond the first year of residency in Canada would also be eligible to receive ISAP services and thus the ISAP agency can claim staff time spent delivering settlement services to all immigrants.
3. Improve the operation, monitoring and financial controls of AAP and to explore alternative means of providing income support (use existing social assistance systems rather than distributing AAP funds through CECs.)

2.4 Component Resources and Relationship to Estimate Program

In preparing forecasts of settlement activities and resource needs Settlement Component must rely upon the projections of immigrant intake which are prepared by the Recruitment and Selection Component. In 1981, a three-year planning cycle for immigrant intake was introduced which laid the groundwork for longer range planning and the capability of government and non-governmental organizations to determine future settlement and integration resource needs.

Annually, Settlement Branch (NHQ) prepares a budget forecast of its funding requirements to operate its programs and to meet the settlement needs of immigrants as defined in its programs. The budget figures are included in the Main Estimates for the Immigration Program of CEIC which are submitted to Cabinet and then Treasury Board for approval. Settlement Component's operating expenditures are included in Vote 20 of the Estimates while program contributions are covered by Vote 25.

Table 3 indicates the operating, capital and grants and contributions budgets which each Component of the Immigration Program required from 1981/82 to 1983/84. In reviewing this table, it can be seen that:

- a) Settlement has, by far, the smallest operating and capital budget while Enforcement and Adjudication has the largest. It should be noted however, that Settlement programs are primarily delivered by staff of other CEIC components or other government agencies and thus the actual costs of operating Settlement's activities are not reflected by these tables.
- b) Settlement is the only Immigration Component with a grants and contributions budget. From this budget, funds are drawn for AAP and ISAP.

Settlement is also the smallest Component of the Immigration Program in terms of person-years authorized. (Table 4) Again, this table does not reflect the person-years expended by other government agencies.

Table 5 presents data only on the Settlement Component. From this table, it can be seen that:

- a) for the fiscal years 1981-82 and 1982-83, estimates were far exceeded by expenditures particularly in the grants and contribution category.
- b) each year's expenditures indicates that operating and capital costs are a much smaller proportion than grants and contributions.

TABLE 3
 IMMIGRATION PROGRAM
 OPERATING AND CAPITAL EXPENDITURES AND GRANTS AND CONTRIBUTIONS FOR THE FISCAL YEARS
 1981-82 to 1983-84¹
 (Thousand of Dollars)

FISCAL YEAR	RECRUITMENT & SELECTION				ENFORCEMENT & ADJUDICATION				SETTLEMENT				ADMINISTRATION				GRAND TOTAL	
	Operating	Capital	Grants & contributions	Total	Operating	Capital	Grants & contributions	Total	Operating	Capital	Grants & contributions	Total	Operating	Capital	Grants & contributions	Total	Vote 20	Vote 25
	(Vote 20)	(Vote 20)	(Vote 25)		(Vote 20)	(Vote 20)	(Vote 25)		(Vote 20)	(Vote 20)	(Vote 25)		(Vote 20)	(Vote 20)	(Vote 25)			
1981-82	15,720	22	--	15,742	38,441	31	--	38,472	2,603	8	22,812	25,423	17,672	400	--	18,072	74,897	22,812
1982-83	14,280	55	--	14,335 ²	43,014	29	--	43,043	4,134	4	29,976	34,114	19,415	286	--	19,701	81,217	29,976
1983-84	15,679	57	--	15,736 ²	45,249	31	--	45,280	4,337	5	30,495	34,837	20,277	310	--	20,587	85,945	30,495

1. 1981-82 were actual expenditures; 1982-83 were forecast expenditures; 1983-84 are estimates.

2. Including Refugee Status Advisory Committee expenditures: \$14,280,000 operating expenditures and \$35,000 capital expenditures for FY 1982-83; \$1,636,000 operating expenditures and \$35,000 capital expenditures for FY 1983-84.

Source: Employment and Immigration Canada, 1983-84 Estimates, Part III, Expenditure Plan.

TABLE 4
 IMMIGRATION PROGRAM
 PERSON-YEARS FOR THE FISCAL YEARS
 1981-82 to 1983-84^{1/}

Fiscal Year	Recruitment & Selection	Enforcement & Adjudication	Settlement	Administration	Total
1981-82	576	1,071	75	476	2,198
1982-83	610 ^{2/}	1,078	78	463	2,229
1983-84	495 ^{2/}	1,163	100	456	2,214

^{1/} 1981-82 were actual figures; 1982-83 were forecast figures; 1983-84 are estimates.

^{2/} Including Refugee Status Advisory Committee: 23 person-years for Fiscal Year 1982-83 and 23 person-years for Fiscal Year 1983-84.

Source: Employment and Immigration Canada, 1983-84 Estimates, Part III, Expenditure Plan.

NOTE: Settlement person-years (actual 1981-82) were not available from Expenditure Plan - data taken from Employment and Immigration Information System (EIIS).

TABLE 5

COMPARISON OF ACTUAL OR FORECAST EXPENDITURES
WITH ESTIMATES FOR THE FISCAL YEARS 1981-82 to 1983-84

SETTLEMENT COMPONENT
(THOUSANDS OF DOLLARS)

	1981-82		1982-83		1983-84	
	Estimates	Actual Expenditures	Estimates	Forecast Expenditures	Estimates	
Operating	1,060	2,603	3,772	4,134	4,337	
Capital	11	8	4	4	5	
Grants & Contributions	10,533	22,812	4,646	29,976	30,495	
TOTAL	11,604	25,423	8,422	34,114	34,837	

Source: The Estimates of the Government of Canada (Blue Book), The Treasury Board, Fiscal Year Ending March 31, 1982, Fiscal Year Ending March 31, 1983 and Fiscal Year Ending March 31, 1984.

- c) generally, operating costs have been consuming an increasing proportion of total annual budgets.

Part B - Elements and Structure

It should be noted that not all immigrants require or use all of the programs funded by CEIC through Settlement Branch. Also it should be noted that an immigrant using a number of programs will progress through them in a typical fashion. The typical flow of immigrants using settlement programs is shown in Chart 1. While each program contributes towards the achievement of certain statutory objectives, it is the cumulative effect of the programs which encourages and facilitates immigrant settlement.

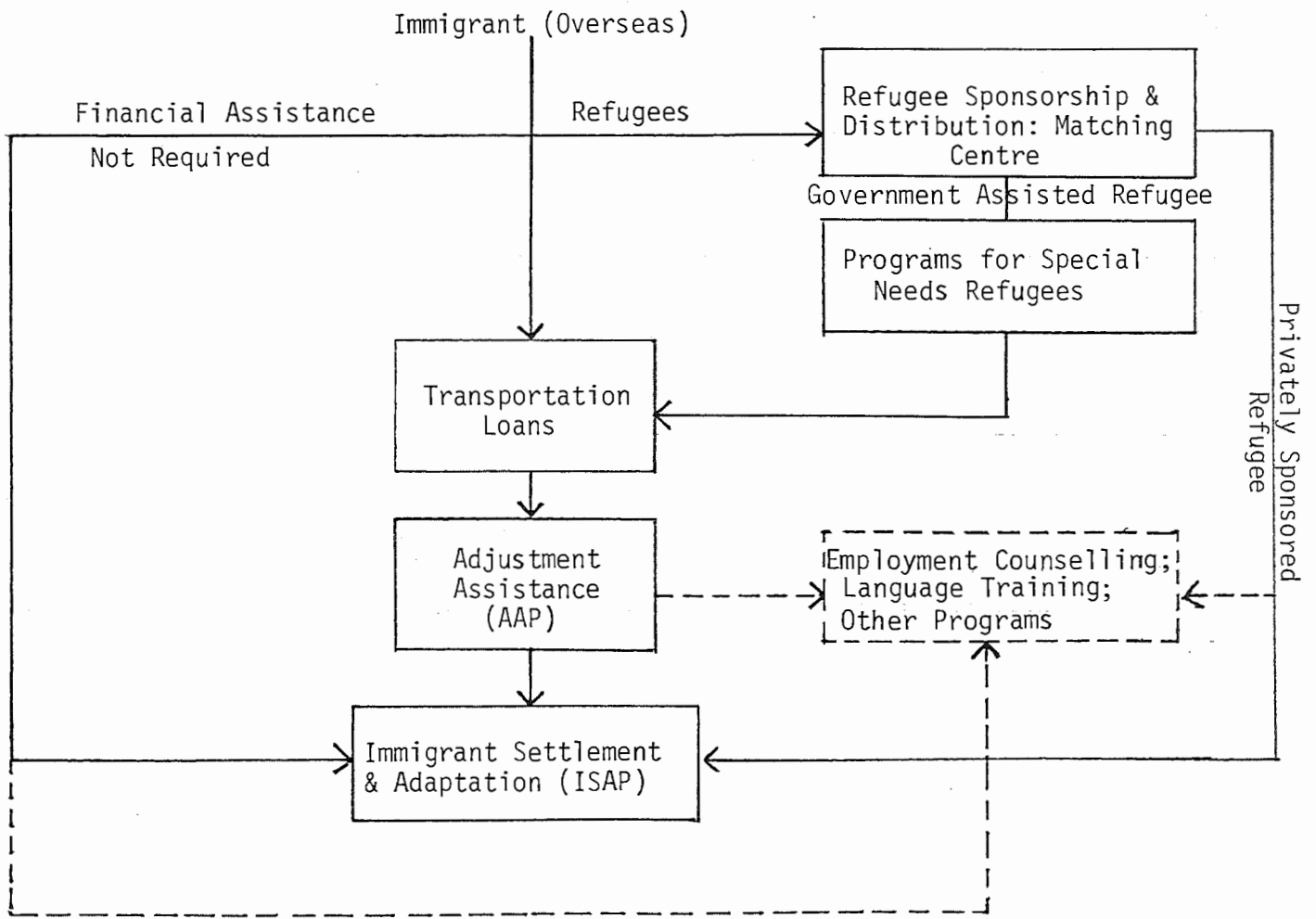
2.5 Adjustment Assistance Program (AAP)

After World War II, there was a major influx of immigrants to Canada. The federal government took a number of steps to assist them, including the provision of funds to meet the daily needs of immigrants in their first six months in Canada (Treasury Board Minutes 512072, February 1, 1957). The assistance continued with varying funding support until 1978. After the passing of the 1976 Immigration Act and the 1978 Immigration Regulations, the Adjustment Assistance Program continued assistance to newly arrived immigrants with no support.

Prior to 1979/80, the level of expenditures in this program fluctuated with the level of immigrant intake but generally remained relatively low (below \$1 million in 1960's and below \$3 million between 1970 and 1978). As Table 6 shows, expenditures increased

Chart 1

Typical Flow of Immigrants
Using Component Sub-Activities
of Settlement Branch



--- not Settlement programs

Table 6
Funds Expended through
Adjustment Assistance Program (AAP)

Year	Total Value (\$000's)
1978/79	2,716
1979/80	16,611
1980/81	32,866
1981/82	20,298
1982/83	25,815
1983/84*	27,351

* Projected

Source: The Estimates of the Government of Canada (Blue Book) for the above noted fiscal years as provided by the Treasury Board

dramatically in the fiscal year 1979/80. This is due to the large influx of Indochinese refugees and the availability of AAP contributions for one year after arriving in Canada.

AAP produces two products or outputs - loans and contributions. (See Chart 2). As will be discussed later, the identification of whether costs are eligible for contributions or for loans has not been consistent. This is in part due to program guidelines being unclear. From Chart 3 it appears that the number of delivery agencies involved in AAP is limited but it must be recognized that there are 450 CECs across Canada. With such a decentralized delivery system, operational guidelines must be very explicit in order to avoid incorrect interpretations.

2.5.1 Objective

To provide financial assistance for the basic needs of newly arrived indigent immigrants.

2.5.2 Authority

Loans can be made under AAP as provided for in the Immigration Act 1976, in Sections 115 (1)(t) and 121 and in the Immigration

Chart 2
Outputs of AAP

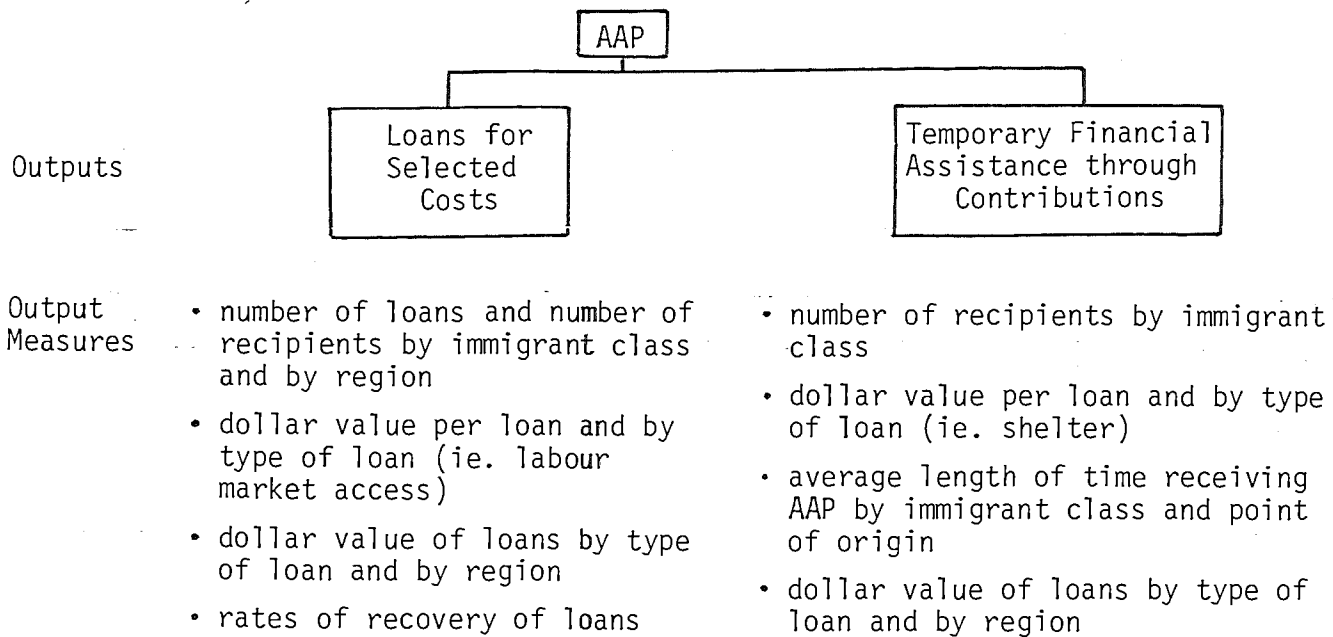
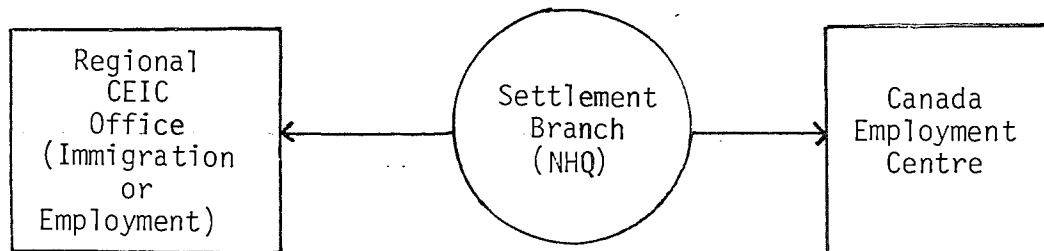


Chart 3
Agencies Assisting Settlement Branch in the Delivery of the AAP



Regulations 1978, in Sections 45 through 48 (See Section 2.2.1 and Appendix A for these portions of the legislation).

Authorization for non-recoverable contributions came from the Treasury Board approval of program authorizations and amendments.

2.5.3 Funding

Loans are drawn from the Consolidated Revenue Fund in a manner similar to Transportation Loans. AAP contributions are annually authorized as part of the Estimates process. Settlement Branch includes in its budget an allocation for AAP expenditures (Vote 25) and operation (Vote 20) which is then included in the Main Estimates for CEIC. Both Cabinet and Treasury Board must approve the Estimates.

2.5.4 Description/Eligibility

Newly arrived immigrants with no means or inadequate means of support can receive funds for basic necessities for one year. Normally sponsored refugees, assisted relatives and entrepreneurs would not be eligible. Basic necessities include food, clothing, shelter, and essential furnishing and household articles. Funds are provided up to a level equal to prevailing provincial welfare rates. Both income and assets, which can be liquidated, are considered in determining the level of assistance which will be provided. These funds are a contribution.

Assistance may be refused, discontinued or reduced if:

1. persons, without valid reasons, abandon employment or refuse any reasonable offer of employment
2. persons refuse to avail themselves of appropriate training or rehabilitation measures recommended by the Canada Employment Counsellor
3. persons refuse to avail themselves of advantages which may be received from other sources.

Contributions are also made to handicapped refugees and their dependents for costs of travel between the port of entry and final destination.¹

Loans are available for items such as tools and examinations and organizational fees (union or professional) required to allow labour market participation. Loans are also available for basic needs of life in cases where immigrants are awaiting the arrival of funds or assets to Canada and where financial hardship exists until they are received. Damage deposits for rental accommodation can be included in AAP loans.

1. The Terms and Conditions of AAP as approved by the Treasury Board indicate this cost is eligible for a contribution but some confusion exists as the Immigration Manual and Employment Manual do not refer to this cost.

2.5.5 Operation/Delivery System/Output

AAP funds are processed as follows:

1. AAP funds are provided by CEC officials. An immigrant, upon arrival at his /her destination, will be received by CEC officials who will assist in initial settlement including registering as available for employment.
2. An employment counsellor will also review requests for adjustment assistance. An AAP Contribution Agreement (Emp 3102) is completed by the counsellor and signed by the applicant.
3. Contributions are advanced on a weekly basis or monthly for rent. For basic household needs, a maximum of \$600 per individual without accompanying dependants or \$1,500 per couple can be authorized as well as a maximum of \$300 per additional dependant living in the same accommodation: a dependant here means a person who is a member of the applicant's family as defined in the Immigration Regulations under the heading of "members of the family class" and who, by reason of age or disability, is mainly dependent upon the applicant for support. For labour market access needs, a maximum of \$1,000 may be authorized. Authority to sign agreements or undertakings to repay may be delegated to positions no lower than CEC Manager/District Manager to a maximum of \$2,500 and a limit of \$1,000 for labour market access needs. Authority to sign agreements or undertakings to repay may be delegated to positions no lower than employment counsellors and immigration officers for amounts up to \$2,100 and a limit of \$1,000 for labour market needs. Full authority to sign transportation warrants may be delegated to Immigration officers abroad or in Canada. The Auditor General's Report (1982) indicates that this portion of the regulations is an occasion circumvented through the issuance of a series of cheques of lower dollar value.
4. Recipients are required to submit receipts for all expenditures. The submission of receipts is clearly outlined in the Employment Manual and the Terms and conditions of AAP approved by the Treasury Board, but is unclear in the Immigration Manual.
5. Loans are advanced as required and an 'Undertaking to Repay' must be completed and signed prior to the advancement of funds. Only one loan and one interest rate will apply. If a previous loan is still outstanding (for example, transportation loan) the new loan warrant will be added and bear the same interest rate. Payments and loan term will be adjusted accordingly.

6. The Terms and Conditions of AAP indicate that recipients of assistance must be interviewed at least once a month by an employment counsellor. The Employment Manual does not indicate this requirement.
7. CEC officials must submit monthly summary reports of AAP funds expended indicating the number of persons assisted by class and country of origin and by type of assistance provided. Quarterly reports also indicate average cost funds and average length of time on Training Allowance Subsidy (Temp 817, Imm 1395, and Temp 834).

2.5.6 Impact and Effect

Immediately upon arriving in Canada many immigrants are in need of a wide variety of goods and of financial support. Sources of support available to Canadians - welfare, unemployment insurance - are not available to them. AAP is a temporary means of providing financial support to indigent immigrants until the individual finds employment or is eligible for another form of assistance.

AAP has had some unintended effects on immigrants and operational difficulties have arisen. Unintended effects include:

1. CEC staff have responsibilities for which they receive minimal training. Operation of a social assistance program and coping with language and cultural differences of clients, without benefit of training, cast doubt on the appropriateness and efficiency of operation. A related problem is the question of the mandate of CEC staff. Employment preparedness and placement is the primary mandate and staff feel pressured to minimize time on administering AAP.
2. Guidelines for AAP allow for a great deal of interpretation of who is eligible and what is eligible. At the CEC level and more so, at the regional office level, interpretation is occurring which is creating inconsistencies in the delivery of the program across Canada. Areas of inconsistency include:

- a) level of assistance and conformity to welfare rates
- b) eligibility of item for a loan versus a contribution
- c) "topping-up" the language training allowance with AAP funds
- d) who is eligible for AAP funds in an extended family or atypical household group
- e) requirements for receipts for expenditures
- f) eligibility of items such as emergency medical needs, maternity costs, inter-city movement, telephone calls
- g) frequency of interviews at CEC
- h) eligibility for special immigrant services after obtaining employment
- i) evaluation of assets and requirements to liquidate them
- j) when a client is no longer eligible for AAP due to obtaining employment.

To expand on the last point, different interpretations are being used to determine the eligibility of immigrants for AAP when a short period of employment has occurred. Ineligibility to return to AAP varies from one day to one month of employment. In some cases, if difficulty exists in transferring the immigrant to welfare (municipality will not accept the client), then AAP continues for the full year. In cases of ongoing employment, contributions are being given to "top-up" the first month's wages while in other cases loans are being made as an interim measure prior to receiving the first paycheck.

- 3. Immigrants and CEC staff perceive the present practice of attaching AAP loans to previous transportation loans as inequitable. Past fluctuations in interest rates will result in the AAP loan having an interest rate attached to it which is much higher than current rates. In some cases, immigrants are foregoing a need rather than accepting the loans.
- 4. At the regional level, financial accounting procedures are being increased. A procedure which is becoming widely used, contrary to National Office requests, is the forecasting and committing of funds for a newly arrived immigrant on the assumption that funds will be needed for a 12 month period. The result is that the official record of expenditures is significantly greater

than the actual funds expended to date. A regional program budget may appear totally committed within a few months. Funds, for immigrants who arrive subsequently, may not be available and finally, a review of AAP files indicates that staff neglect to "decommit" funds when AAP is no longer being claimed.

5. Financial accounting procedures are difficult and program guidelines are unclear on the procedures to follow when transferring an immigrant from AAP to language training allowance and back again. It is during this period that inconsistencies are greatest in determining loans versus contributions. The clients have great difficulties understanding the financial arrangements and their responsibilities with regard to loans.
6. The AAP Contribution form (Emp.3102) is not being used as provided in any of the offices visited which means its use as a monitoring tool is very limited.
7. Control and monitoring of AAP and language training funds requires a means of central record control or effective cross-referencing so as to avoid double funding of immigrants or overpayments.
8. A prevalent CEIC staff attitude is that "a job is a job" and the immigrant should take any job rather than waiting for one that is considered more appropriate. This attitude, along with increased pressure to constrain program spending have resulted in not giving immigrants the opportunity to use training programs; deterring them from making full use of labour market access loans; and in making job placement inappropriate to the skills and experience of the immigrant. This is particularly true for professionals. In the case of illiterate immigrants or immigrants from greatly different cultural backgrounds, the question of extensive language training and orientation prior to job placement arises.
9. The inherent tie of AAP to labour market access and the emphasis on immediate needs as opposed to long-term adjustment results in the program not meeting the needs of:
 - a) illiterate
 - b) professionals
 - c) women and
 - d) elderly.

2.6 Immigrant Settlement and Adaptation Program (ISAP)

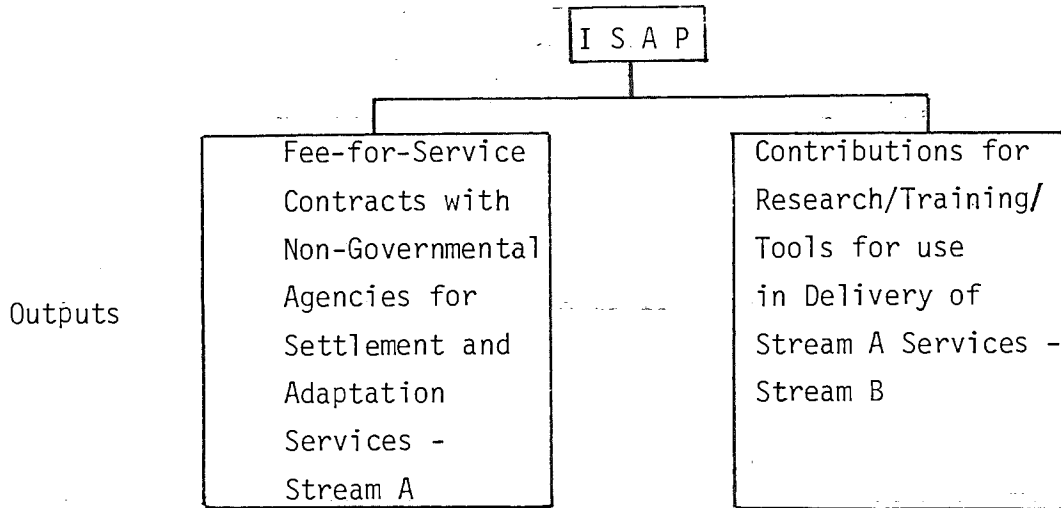
Non-governmental agencies such as ethnic, community, church, and other non-profit organizations have been providing voluntary services to immigrants for many years. These services have been vital to the adaptation and integration of immigrants in Canada. With large influxes of refugees from countries quite dissimilar to Canada, the demand for voluntary services in the 1970's grew dramatically. This led to pressure on the federal government for financial support.

One result of the mid-1970's review of immigration policy was the creation of ISAP which would fund non-governmental agencies to provide certain services to recently arrived immigrants. Services had been purchased in years prior but with the creation of ISAP, funding increased significantly. Following four years of operation it was determined that ISAP was not fully satisfactory under its present terms and conditions. A review was initiated and is ongoing. It is expected some major changes will be made to the program, following completion of a program evaluation in 1984.

Chart 4 indicates the outputs of ISAP which are fee-for-service contracts and contributions for projects which will assist in the delivery of settlement services. The latter is provided under Stream B of the program. Table 7 indicates expenditures under ISAP. A number of agencies are involved in the delivery of ISAP and these are shown on Chart 5. The CEIC staff and Regional Review Boards evaluate and process applications for contracts and contributions

Chart 4

Outputs of the ISAP



Output Measures

- number of contracts signed by region
- dollar value of contracts by region and by type of service
- number of clients served by type of service and length of time in Canada
- number of person-years of service provided by type of service
- range of hourly rates by type of service and by region
- number of projects funded by region
- dollar value of contributions by region

Table 7

Immigrant Settlement and Adaptation Program - Stream A

Year	ISAP Expenditures	No. of Contracts
	(\$000)	
1978/79	1,394	78
1979/80	1,466	86
1980/81	2,033	87
1981/82	2,482	135
1982/83	2,885	132
1983/84	3,144*	120**

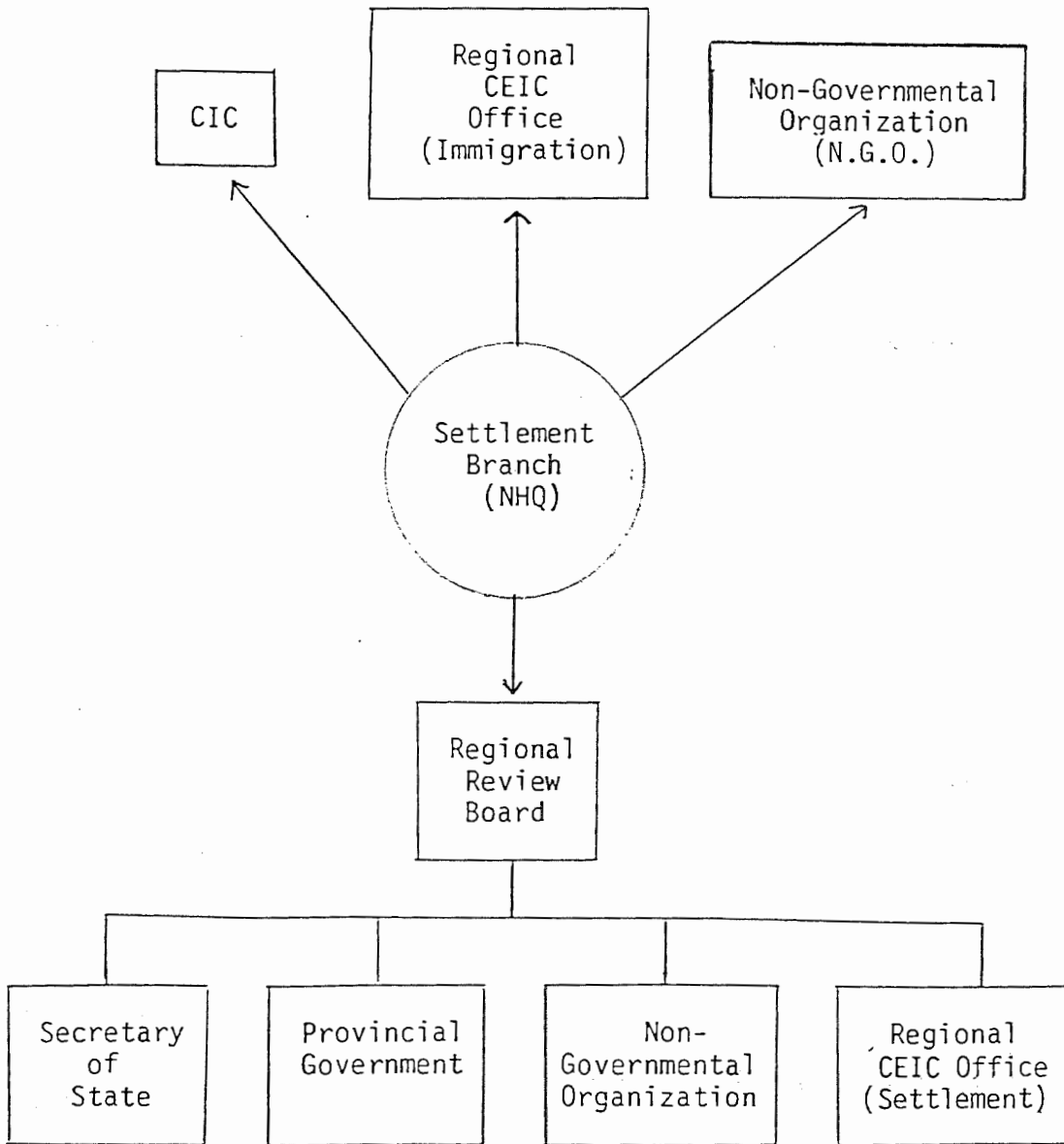
* Projected

** As of July 7, 1983, 105 Stream A contracts and 5 Stream B contracts

Source: The Estimates of the Government of Canada (Blue Book)
for the above-noted fiscal years, as provided by
Treasury Board

Chart 5

Agencies Assisting Settlement Branch in the Delivery of the ISAP



while the non-governmental organizations (N.G.O.) receive the contracts and contributions and deliver settlement services and products useful in these services.

2.6.1 Objective

To facilitate the settlement and adaptation of recently arrived permanent residents of Canada so that they may become participating members of Canadian society as quickly as possible through providing financial assistance to voluntary organizations to:

1. under Stream A, provide direct and essential settlement and adaptation services
2. under Stream B, undertake projects which will contribute to improved settlement and adaptation services.

2.6.2 Authority

In June of 1974, a decision was made by Cabinet to provide funding support to non-governmental organizations who provide settlement services to immigrants. The Immigration Act, 1976 requires that the federal government act, in co-operation with non-governmental agencies, in its efforts to settle immigrants. This is found in the Objectives of the Act 3(d). To this end, ISAP was created with program authorizations approved by the Treasury Board.

2.6.3 Funding

ISAP contract fees and contributions are annually authorized as part of the Estimates process. Settlement Branch includes in its

budget and allocation for ISAP contributions (Vote 25) and operation (Vote 20) which is then included in the Main Estimates for CEIC. Both Cabinet and the Treasury Board must approve the Estimates.

2.6.4 Description/Eligibility

Under ISAP, voluntary organizations are contracted to provide the following services:

1. Stream A: direct and essential immigrant settlement and adaptation services.

Eligible services include:

- a) Reception:

Welcoming at ports of entry and points of destination to establish a link with the community.

- b) Information:

Practical advice on all aspects encountered in daily life.

- c) Interpretation:

Facilitation in communication.

- d) Accommodation:

Assistance in obtaining living accommodation consistent with needs and resources.

- e) Documentation:

Completion of applications, forms, or other documents for official or like purposes.

- f) Translation:

Written translation of certificates, documents or other papers, as evidence of status, qualifications, claims, etc., from a foreign language into English or French, or from English into another language.

g) Escort:

Accompaniment between points in a community.

h) Referral:

Direction to an official or other person who has the authority or capacity to deal with a particular need.

i) Advocacy:

Advice to plead, defend, or maintain a cause before a third party, provided the support required is relevant to successful integration into a Canadian community.

j) Counselling:

Advice on matters relating to institutions, services and facilities in Canada and the economic, social and cultural habits and manners of the community, including guidance in any of these matters which cause difficulty in understanding or impede adaptation to community.

These services are purchased through a fee-for-service contract between the organization and CEIC. The maximum contract duration is 12 months.

2. Stream B: projects which will contribute to improved settlement and adaptation services, including activities such as organizational planning, consultation, research and staff training. Funds for projects are provided as non-recoverable contributions.

Under Stream A, the maximum dollar value contracted per voluntary organization is limited to \$150,000 in any 12 month period. Under Stream B, the maximum dollar value of a contribution to an organization to undertake a project is limited to \$20,000 in any 12 month period.

To be eligible for consideration for financial assistance under ISAP, an organization must be:

1. non-profit (normally registered as a charitable organization under the Income Tax Act)
2. authorized, in accordance with existing laws, to provide the services and have the capacity or be able to develop the capacity to do so
3. recognized by, and known to be acceptable to, its target population
4. providing the services free of charge and without regard to marital status, age, sex, race, religion, colour, national or ethnic origin, physical handicap in matters related to employment, or conviction for which a pardon has been granted
5. governed by a board or executive body of which at least two members are Canadian citizens working for the organization on a non-salaried basis
6. managed by a person who is a Canadian citizen or permanent resident of Canada
7. staffed, if staff are salaried employees, by persons who are Canadian citizens or permanent residents of Canada.

With the exception of Stream B, "umbrella" organizations are not eligible for funding. An "umbrella" organization is a voluntary organization which manages and/or co-ordinates the activities of other voluntary organizations providing settlement and/or adaptation services but does not itself provide such services.

2.6.5 Operation/Delivery System/Output

An ISAP contract or contribution is reviewed as follows:

1. The voluntary organization completes the Application for Financial Assistance (Imm 1190) and submits it to a CEIC staff person responsible for the geographic area in which the service will be provided. Applications and proposals for funding must demonstrate:

- a) The services to be provided are within the objectives of the Program, and do not duplicate those operated by the federal government, other levels of government or private organizations in the community.
 - b) Alternate sources of funding have been identified and considered.
 - c) The budget submitted is a realistic representation of all anticipated expenditures as well as income, if applicable.
 - d) That any reports as identified by the Canada Employment and Immigration Commission as a condition of funding are submitted.
 - e) Such other information as may be desirable in permitting the Commission to assess the activities of the organization in relation to the objective will be provided.
2. The officer evaluates the application. The evaluation will concern itself with the history, objectives, geographic scope of activities, organizational structure, clientele, services offered, financial situation, premises, public acceptance, and any other matter that may contribute to the proper assessment of the organization. This data recorded on form Imm 1189, is then transmitted to the Regional Review Board or Committee for evaluation and decision.
 3. The Regional Review Board consists of officials from the local departments of Immigration and Secretary of State as well as representatives from appropriate provincial departments and private sector organizations.
 4. Applications for funding together with the evaluation of the organization and the recommendation of the Regional Review Board/Committee are then referred to National Headquarters for concurrence by the Minister prior to signing a contract (Imm 1191). The authority to sign contribution agreements including amendments may be delegated by the Minister at a maximum dollar limitation of \$50,000 to a position not lower than Regional Director-General/Director of Immigration, and at the full amount including amendments to the Regional Executive Director/Director General. The authority to approve expenditures by certifying their compliance with the terms of the Contribution Agreement may be delegated by the Minister to the Regional Director/Chief

of Settlement to a maximum of \$10,000, the Director-General/ Director of Immigration up to a maximum of \$50,000 and the full amount to the Regional Executive Director/Director General.

5. ISAP funded organizations are obliged to report monthly on services provided. The local CEIC official is obliged to periodically review the organizations to ascertain whether the terms and conditions of their ISAP contracts are being met. Also the CEIC official will quarterly submit a summary report of ISAP services provided in the region indicating the hours of service by activity, number of clients served, and number of voluntary and salaried staff employed during the period (Temp 824, Imm 1194, and Imm 1195).

2.6.6 Impact and Effect

In addition to the intended effects, as outlined in the program objectives, unintended effects have also resulted from the operations of the program. They are:

1. Data requirements and review procedures, imposed upon N.G.O.'s, for the evaluation, reporting and monitoring processes of Stream A vary significantly between regions, locales and individual staff persons. Many supplementary forms have been created at the regional level. Inconsistency in demands result and criteria for decision-making on eligibility and performance are also inconsistent.
2. Other procedural inconsistencies have negatively affected the operation of Stream A, performance of CEIC and N.G.O. staff, and co-ordination of CEIC and N.G.O. efforts. These are:
 - a) whether to notify to N.G.O.'s of newly arrived immigrants
 - b) establishment of service rates
i.e. one rate for all services within the N.G.O.
and varying rates between the N.G.O.'s in
the locale versus

rates which vary with the nature of the service but are consistent for all N.G.O.'s in the locale.

individuals incapable of coping with circumstances such as sponsorship breakdown and poor economic conditions which have resulted in unemployment.

4. Agencies are expanding their programs and staff to provide services to immigrants which duplicate services found elsewhere. The creation of this parallel set of services is most evident in the areas of counselling on health, psychological and family problems. The perception is that immigrants cannot obtain services from "mainstream" agencies. The mainstream agencies are insensitive and incapable of coping with their special needs (cultural and language), and immigrants will forego needs rather than attempt to use them. The experience of some N.G.O.'s who have received referrals from mainstream agencies, would support this perception.
5. CEIC staff are referring to N.G.O.'s individuals who are not eligible for ISAP services. i.e. individuals claiming refugee status

CEIC staff is also seeking assistance from N.G.O.'s for services not eligible under ISAP. i.e. preparation of resumes (employment preparedness)

6. Stream B creates greater communication between CEIC staff and N.G.O. staff during the development of project proposals. This communication contributes to improved ongoing relationships in both Stream A and Stream B operations.

2.7 Transportation Loans

Prior to World War II, the British Family Settlement Scheme was established to provide transportation and settlement assistance to immigrant farm families. This action was followed, in 1951, by the Assisted Passage Loan Scheme which provided funds for transportation costs of immigrants with occupational skills in high demand. In 1967, the program assisted any independent immigrant from Europe who qualified for admission to Canada and in 1970, the program was extended to all immigrants. Following the extensive review of immigration in the mid-1970's and the enactment of new legislation, the program was renamed the Transportation Loan Program.

Loans became available to all admissible immigrants and in the late 1970's funds were largely used by refugees and indigent immigrants (See Table 8). The total value of loans increased significantly while the percentage of funds recovered decreased. In the Auditor General's Report to the House of Commons (March, 1982) the level of recovery of funds was noted as an area requiring remedial action.

The present Transportation Program includes loans and services. Chart 6 indicates the products or outputs of the Transportation Program. Chart 7 provides a visual presentation of the government and non-government agencies who play a role in the delivery of the Transportation Program. This chart highlights the complexity of program delivery and the need for co-ordination and clearly articulated program guidelines.

2.7.1 Objective

To help reunite families, resettle refugees, and bring to Canada independent immigrants whose skills are in high demand and who lack funds for transportation purposes.

2.7.2 Authority

Transportation loans are authorized and operational guidelines provided by the Immigration Act 1976, in Sections 115 (1)(t) and 121. Further instructions are found in the Immigration Regulations 1978, Sections 45 through 48, for the issuance and recovery of loans (See Section 2.2.1 for these portions of the legislation).

Table 8

Transportation Loans by Number and Value of Loans
and Status of Recipient, 1978/79 to 1983/84

Year	Total Number of Loans	Immigrant Class				Total Value of Loans (\$000)	Monies Recovered (\$000)
		Refugee and Designated	% of Total	Independent and Family	% of Total		
1978/79	1,283		not available			1,282.3	807.4
1979/80	16,292		not available			23,204.9	1,119.8
1980/81	18,347	18,072	98.5	275	1.5	23,506.9	3,690.5
1981/82	7,809	7,134	91.4	675	8.6	8,506.5	7,002.2
1982/83	9,523	8,079	84.8	1,444	15.2	10,359.1	9,054.8
1983/84*	6,300	4,800	76.2	1,500	23.5	-	-

* Projected based on estimated immigrant intake and historical data on immigrant loans.

Source: Public Accounts, Supply and Services Departmental Reporting Systems (DRS)

Chart 6

Outputs of Transportation Program

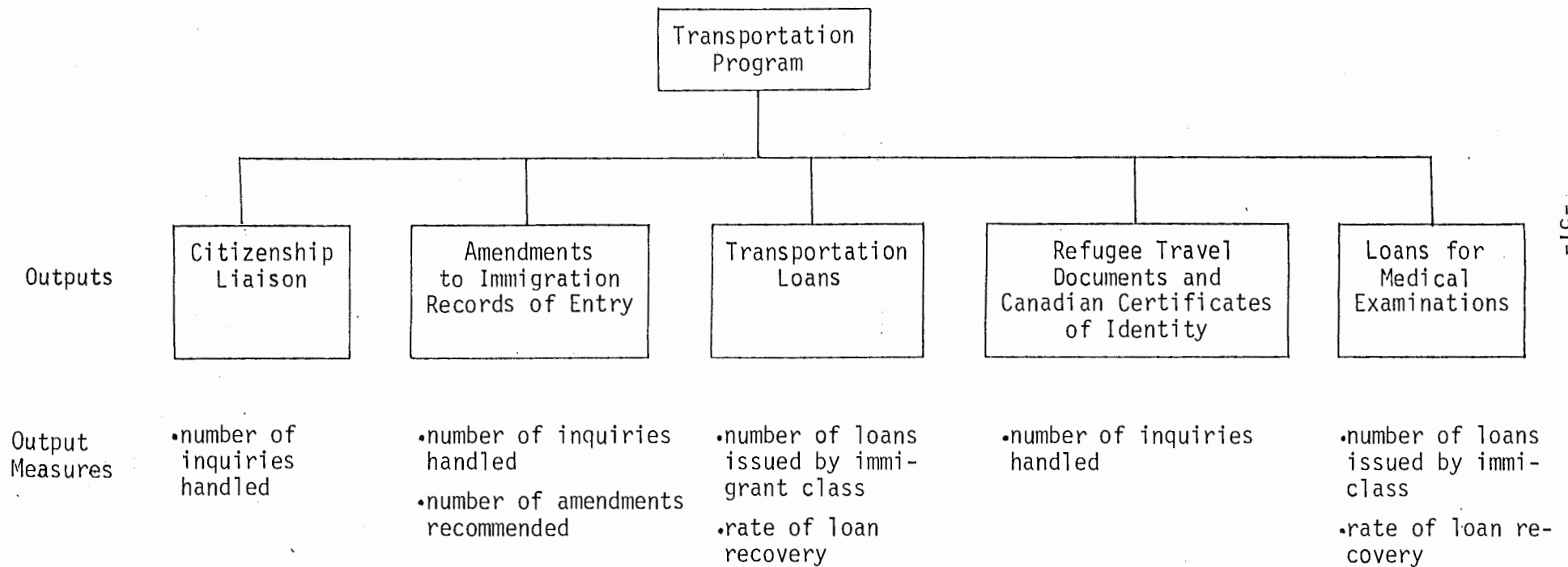
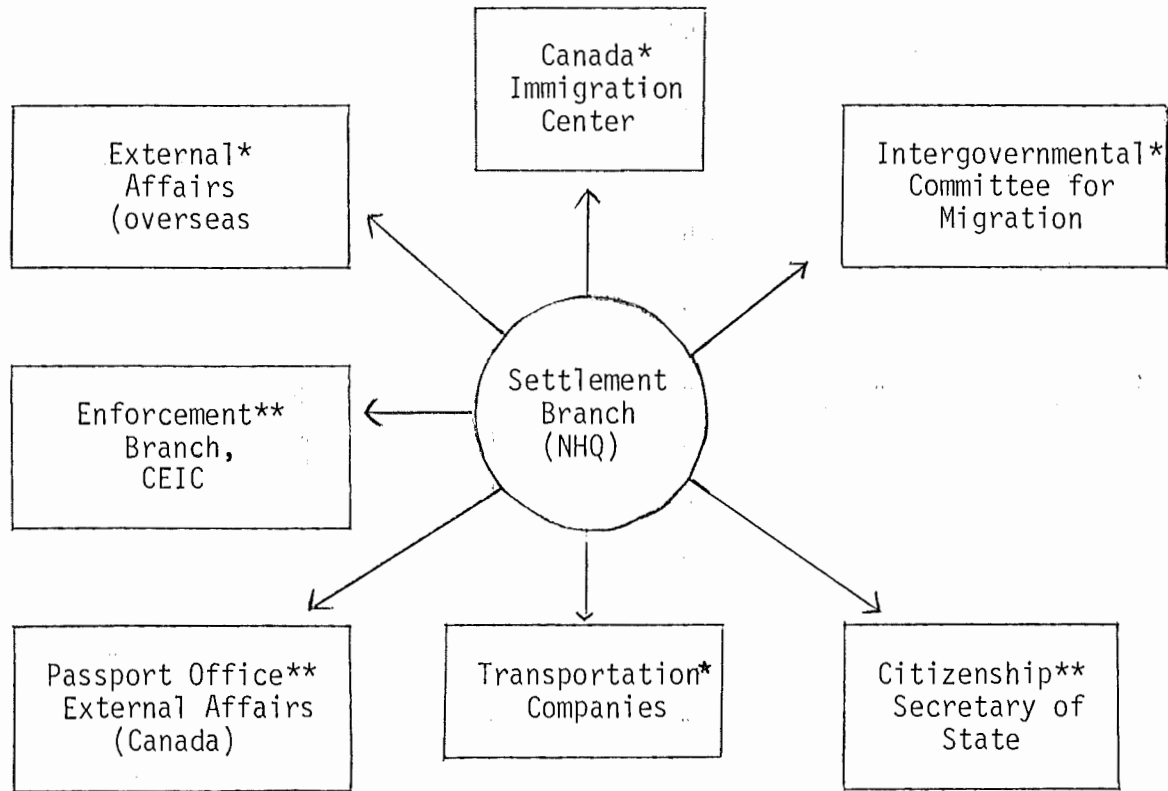


Chart 7

Agencies Assisting Settlement Branch in the
Delivery of the Transportation Program



* Transportation Loans

** Relates to services of Transportation Program (eg. Citizenship Liaison)

2.7.3 Funding

Loans are drawn from the Consolidated Revenue Fund which has been established by Parliament. The fund limit is \$60 million. The fund is perpetuated by the repayments made by borrowers. Thus, the level of available funds fluctuates based on the level of loan demand and loan recovery.

2.7.4 Description/Eligibility

Transportation loans assist admissible immigrants who do not have the financial means (personal or from another source) to pay transportation costs. Transportation costs include the transport of the immigrants and their dependents with a limited amount of personal belongings (usually clothing only) from their place of origin to a port of entry in Canada and to the final destination or settlement point. An additional cost which can also be included in the transportation loan is a medical examination which is required in establishing admissibility.

As identified in the Immigration Regulations, loans can be made to the immigrant or a relative in Canada who is sponsoring dependents for immigration to Canada. Loans are interest-free for convention refugees and specially designated classes who are admitted for humanitarian reasons (Immigration Act 1976, 115 (1)(d) and 6 (2)). For other immigrants, loans bear interest at an annually established rate. The Immigration Regulations provide guidelines for the repayment of loans including frequency of payments and duration of the loan based on its size. Provision is also made for deferral of payments in cases of hardship (See Schedule A-3).

2.7.5 Operation/Delivery System/Output

The processing of a transportation loan is as follows:

1. The immigrant, when establishing admissibility to Canada indicates to the overseas immigration officer (External Affairs Visa Officer) whether transportation assistance is needed. The officer then determines admissibility as an immigrant and eligibility for the loan. If eligible the officer completes form Imm 500 - "Transportation Warrant and Undertaking".
2. The immigrant presents the Transportation Warrant to a transportation company who issues tickets and return copies of the form to the overseas officer, indicating the cost of transportation.
3. The overseas officer completes and has the immigrant sign an "Undertaking to Repay".
4. The original of the Transportation Warrant, along with an invoice, is sent by the company to Settlement Branch (NHQ) for payment.
5. With confirmation of arrival of immigrants, the transportation company is paid by Settlement Branch (NHQ).

This process varies under certain circumstances:

1. For refugees, the Intergovernmental Committee for Migration (ICM) assists in establishing admissibility. Thus, the Imm 500 for each immigrant is sent to ICM who arranges medical examinations and, for those approved by the Visa officers for admission to Canada, transportation. ICM is able to obtain substantial cost discounts due to the quantity of medical and transportation services they purchase. ICM submits the Imm 500 terms along with a statement of costs (EI 2865) to the Settlement Branch for payment. ICM charges a fee for their services which becomes part of the loan amount. Settlement Branch pays ICM upon confirmation of arrival of the immigrant.
2. When transportation cannot be arranged in the country of origin of the immigrant or when a relative in Canada is arranging transportation, the Imm 500 is issued by an officer of a Canada Immigration Center (CIC). The "Undertaking to Repay" is signed either by the immigrant (overseas) or the relative in Canada.

2.7.6 Services of the Transportation Program

Three services are carried out by the personnel responsible for the Transportation Program:

1. Refugee Travel Documents (RTD) and Canadian Certificates of Identity (CCI)

Applications for RTD's and CCI's are filed with the Department of External Affairs (DEA) and Passport Office, who obtain from Transportation Program clearance as to the applicant's status in Canada before a RTD or CCI can be issued.

2. Citizenship Liaison

Applicants for citizenship or claims to citizenship whose immigration status is in doubt and that status will have a bearing on their application are referred to Transportation Programs for determination and rulings on their status under the Immigration Act.

3. Amendments to Immigration Records of Entry

Requests to amend or correct vital information on Immigration records of entry are made through the CIC's to the Transportation Program personnel who will review the request and supporting documents to establish if the request is legitimate and comes within the terms under which such an historical document can be amended (for example, clerical error leading to wrong date of birth).

These services require the review of data held in transportation loan files and other immigration records and then a ruling on the appropriateness of the request under the Immigration Act. These rulings with appropriate documentation are returned to the government office requesting the review.

2.7.7 Impact and Effect

Transportation loans (including medical examination costs) have assisted individuals/households to immigrate to Canada. In recent years, refugees have been the main recipients of loans. While effectively meeting its program objective, some other unintended effects have resulted:

1. A combination of poor economic conditions and a higher proportion of funds going to immigrants with no firm employment prospects, has resulted in a lower rate of loan repayment and reduction of the loan fund. Continuation of this pattern can deplete the fund. Availability of travel assistance is affected.
2. The existence of the program encourages immigrants to seek admission to Canada and is a positive factor in the decision of relatives in Canada to sponsor family members.
3. Importing of skilled labour has reduced pressure on Canadian educational/training systems to develop adequate curriculum and apprenticeship programs for developing Canada's labour pool.
4. Inconsistent with the stated objectives of this program are the services (2.7.6) provided by Settlement staff.

2.8 Refugee Sponsorship and Destination: The Matching Centre

The Matching Centre serves two purposes (produces two outputs) which complete the recruitment and selection process. Chart 8 outlines these outputs. Like transportation loans, the Matching Centre has significant interaction with overseas officers as well as a number of different agencies in Canada (See Chart 9).

Chart 8

Outputs of
Refugee Sponsorship and Destination:
The Matching Centre

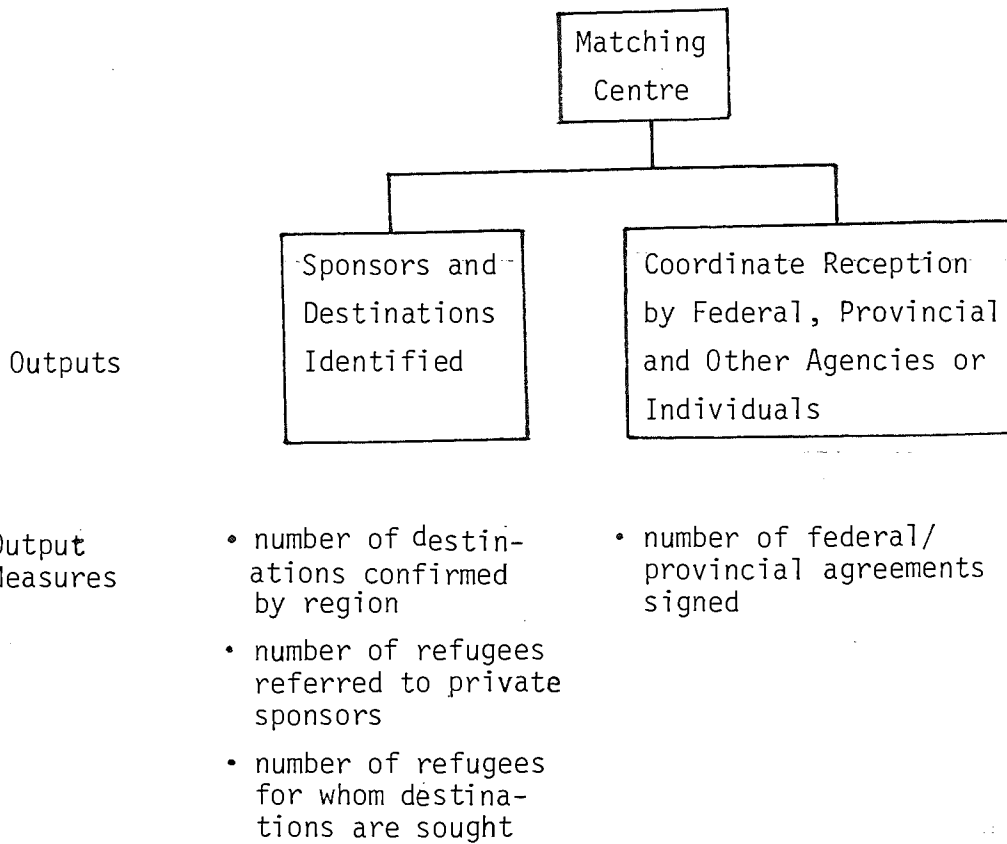
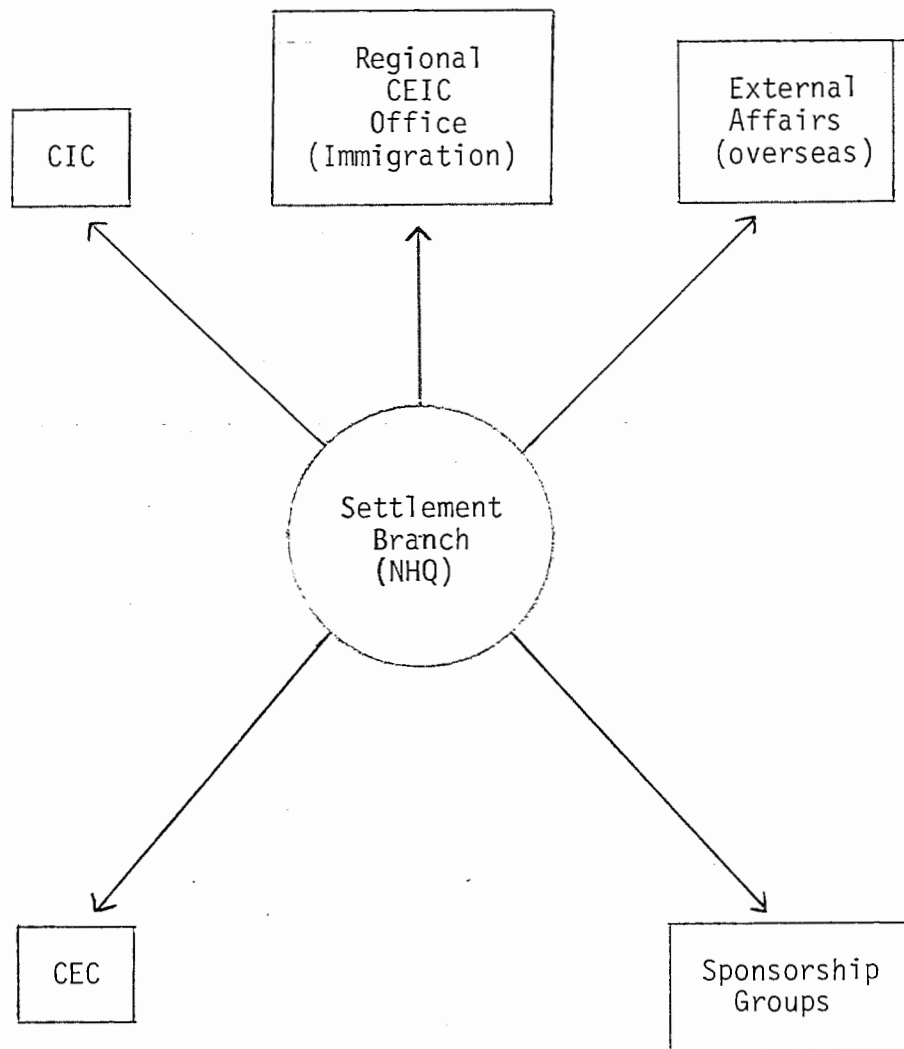


Chart 9

Agencies Assisting Settlement Branch (NHQ) in
Delivery of Matching Centre Operation



2.8.1 Objective

To place refugees (including members of designated classes) coming to Canada in locations where the prospects for early and effective settlement are greatest.

2.8.2 Authority

No legislative authority exists for this activity. The Matching Centre is a service required for the successful completion of the recruitment and selection process. There is no program funding but rather an allocation of staff time or the provision of this service so that statutory objectives of the Immigration Act, 1976 pertaining to international policy and humanitarian obligations may be met. This function also assists in placing refugees in regions where their skills are in short supply (Objective 3(h) of 1976 Immigration Act).

2.8.3 Funding

Settlement Branch includes in its operating budget (Vote 20, not a separate line item) an allocation for staff time which is then included in the Main Estimates for CEIC.

2.8.4 Operation/Delivery System/Output

The operational guidelines found in the Immigration Manual are presently being revised to provide clearer and more detailed information on this operation. The following description of the Matching

Centre process incorporates the new guidelines. The process is as follows:

1. The overseas immigration officer (External Affairs Visa officer), at the time of approving admission to Canada as a refugee immigrant, will submit a Destination Matching Request to Settlement Branch (NHQ). This is a telex providing all the pertinent information about the immigrant and dependents.
2. In cases where government settlement assistance is sufficient to meet the refugee's needs, the Matching Centre reviews the Request and contacts regional offices, CIC or CEC, to inquire about appropriate destinations.
3. In cases where additional assistance is required, the Matching Centre refers to an inventory of private sponsor groups for acceptance of the refugee.
4. Within five days of the Request, the Matching Centre will send a telex to the overseas officer indicating the results of the matching process.
5. When transportation has been arranged, the overseas officer will send a Notification of Arrival by telex to Settlement Branch (NHQ) and to the regional offices, CEC or CEC, giving details of who is arriving when and sponsorship information where applicable.
6. A representative of the local CEC receives the immigrant at the port of entry and final destination.

The Employment Manual will also be revised to correspond to the Immigration Manual.

2.8.5 Impact and Effect

Through the Matching Centre, refugees are found Canadian destinations sensitive to their needs and to the needs of the host community. Where possible, labour market needs and labour skills of the refugee are matched. The location of relatives is also considered

While an attempt is made to rationally distribute newcomers throughout the various regions, no specific demographic goals exist which can guide this process.

Unintended effects of this function are:

1. In the attempt to rationally distribute refugees, some newcomers are placed in locations they find unacceptable -- few persons of similar ethnic/cultural background, limited employment opportunities - and this has resulted in a "second wave" of migration. Typically, the movement is from small urban or rural locations to medium and large urban centres. In Quebec, a movement to English-speaking centres is occurring.
2. Second wave migration:
 - a) reduces the reliability of projected intake figures (regionally and locally) and can stress program allocations of staff time and contributions in other settlement programs.
 - b) reduces the capability of the labour market at the final destination, to absorb the available labourers.
 - c) increases the development of ethnic enclaves.
3. Collection and communication of necessary information and co-ordination of travel and reception between the overseas post and CEIC staff is inconsistent particularly during large refugee movements. This can result in inappropriate placements and in second wave migration.

2.9 Programs for Special Needs Refugees

This program came into being in 1978 during the large influx of Indochinese refugees. While the other programs initiated to cope with this movement ended in 1981, the Special Needs Program was retained. This program, like the Matching Centre, is a service co-ordinating the final placement of refugees. The two services are provided by the same staff and operate similarly.

As Table 9 indicates, activity under this program has increased over time. Annually, intake levels are established based on federal/provincial discussions of regional capabilities to meet the needs of this client group. The outputs of this program are similar to those of the Matching Centre but are expanded by the need to produce special needs assessments for these refugee groups. Chart 10 outlines the outputs and Chart 11 represents the agencies involved in the delivery of this program.

2.9.1 Objective

To admit and settle special needs refugees (including members of designated classes) who, under normal circumstances, would not qualify for admission to Canada but who, with some additional settlement assistance, are capable of achieving self-sufficiency within a reasonable period of time. These programs permit a humanitarian Canadian response to the international requirement for the resettlement of disadvantaged refugees. Programs are:

- Handicapped Refugee Program
- Tubercular Refugee Program
- Joint Assistance Program
- Unaccompanied Minor Program

2.9.2 Authority

Similarly, to the Matching Centre, no legislative authority exists for this function. The statutory objectives of the Immigration Act, 1976 pertaining to the international policy and humanitarian obligations provide the mandate for operation of this program.

Table 9

Number of Admissions under Programs
for Special Needs Refugees

	Calendar Years				Cumulative
	1979-80	1981	1982	1983	
Handicapped Refugee Program (1)	0	11	18	-	29
Tubercular Refugee Program	13	466	376	14	869
Joint Assistance Program (2)	0	139	111	-	250
Unaccompanied Minor Program	380	72	21	3	476
Total	393	688	526	17	1,624

(1) 1979-80 statistics are not available for the Handicapped Refugee Program.

(2) The Joint Assistance Program was not introduced until mid-1980.

Source: CEIC, Settlement Branch communication, August 17, 1983.

Chart 10

Outputs of the Programs for Special Needs Refugees

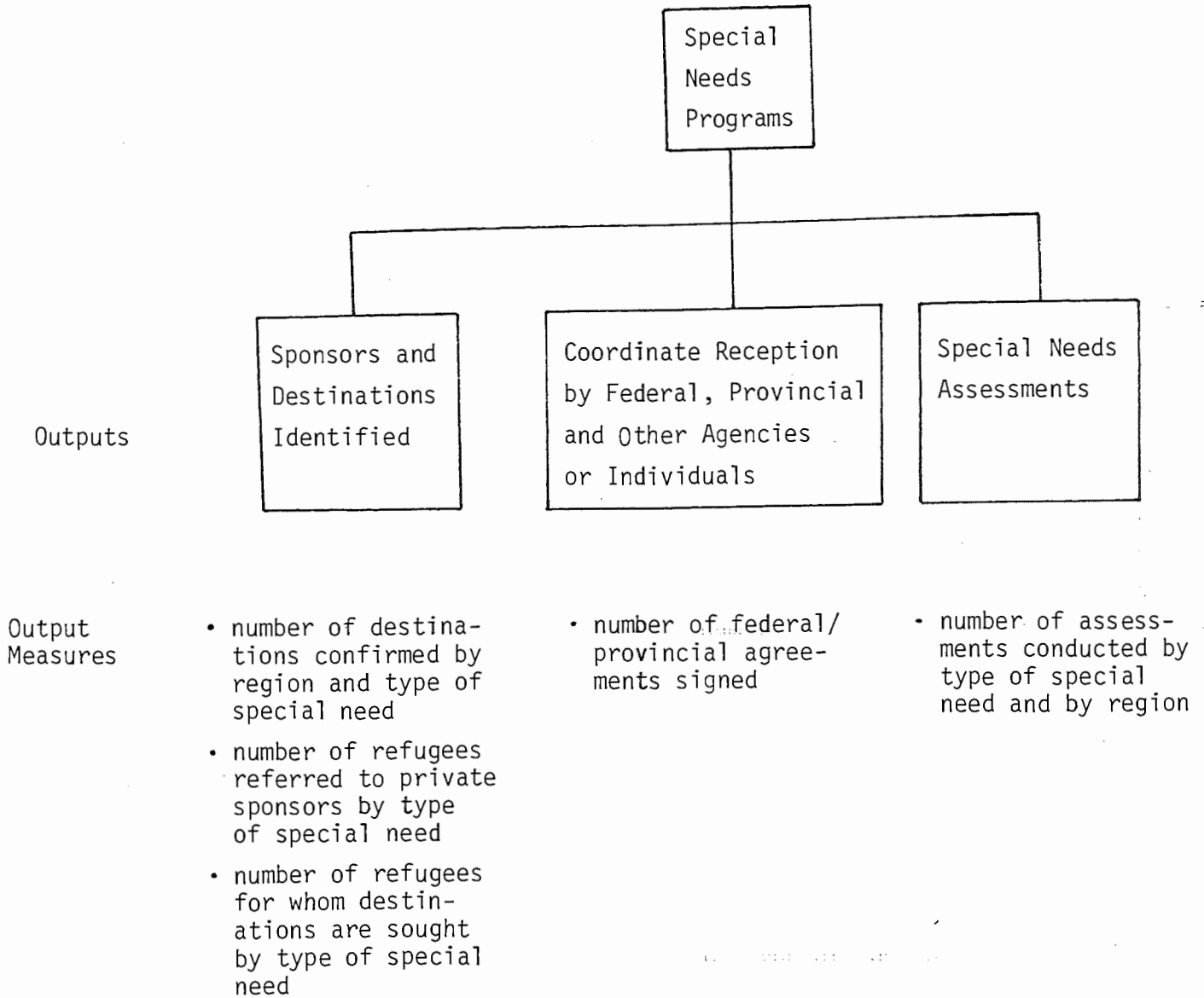
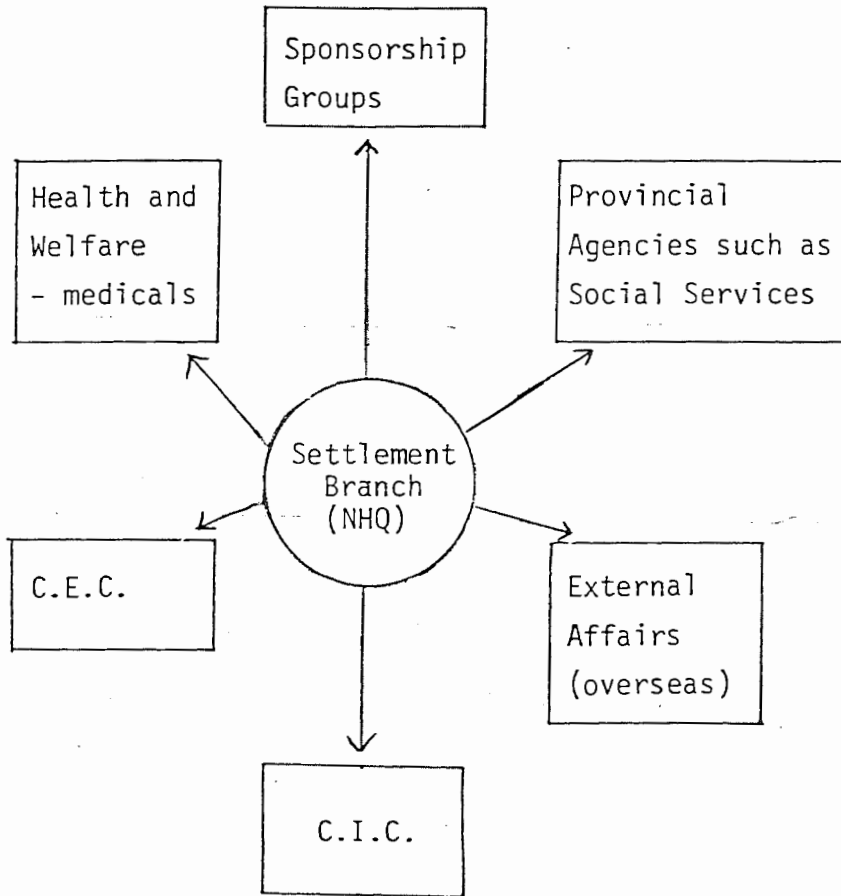


Chart 11

Agencies Assisting Settlement Branch (NHQ) in the Delivery of Programs for Special Needs Refugees



2.9.3 Funding

As with the Matching Centre, an allocation for staff time and costs are included in the operating budget (Vote 20) of Settlement Branch which is then included in the Main Estimates for CEIC.

2.9.4 Description/Eligibility

The four programs are operated in conjunction with the provinces and with private groups in the case of Joint Assistance and Unaccompanied Minors. Financial and other assistance is provided to the special needs refugees through various combinations of federal and provincial government programs and private sector contributions.

Handicapped Refugee Program: Under this program, the provinces are consulted prior to the admission of refugees who are likely to require special provincial health or medical services after their arrival in Canada. Medical records of the refugees are made available to the provinces of destination to assist them in treating these individuals upon arrival.

Tubercular Refugee Program: This program is essentially the same as the Handicapped Refugee Program but is especially designed to process refugees with tuberculosis.

Joint Assistance Program: This program allows member groups of national organizations who have signed an agreement with the

Commission to sponsor special needs refugees. The federal and provincial governments provide general settlement services to the refugees, while the private groups undertake to provide special assistance such as employment, child care, transportation, and psychological support for a one-year period.

Unaccompanied Minor Program: Through this program, private groups that satisfy federal and provincial government standards sponsor minor refugee children who have lost, or cannot be reunited with, their parents. The private group undertakes responsibility for the child until the age of majority is reached.

The Minister has signed agreements respecting special needs refugees with the provinces of Newfoundland and Manitoba. These agreements, which encompass the four separate programs described above and consolidate them into one process, provide for the admission of a negotiated number of special needs refugees per year, the identification of individual settlement needs, and the co-ordination of federal, provincial, and private sector services to meet these needs.

2.9.5 Operations/Delivery System/Output

These programs are co-ordinated by the Matching Center and the basic process as described in 2.8.4 applies. The exceptions relate to special requirements of this client group which must be met in determining a final destination. For example, the family receiving

custody of an unaccompanied minor must be evaluated and approved prior to a placement being made. For handicapped and tubercular refugees, the appropriate provincial agencies must concur with the placement. In some cases, the onus for evaluating the placement lies with the provincial agencies. Several federal/provincial agreements exist on the intake of special needs refugees.

2.9.6 Impact and Effect

Positive intended and unintended effects have resulted from this program. The intended effects are outlined in the program's objectives. The unintended effect is the creation, by provincial agencies, of policies related to special needs refugees which will facilitate their settlement in Canada. Negative unintended effects have also occurred and these, too, relate to federal/provincial co-ordination of intake.

1. Lengthy delays can occur in processing federal and provincial approvals of admission and in some cases, this has resulted in loss of sponsorship or refugees seeking admission elsewhere.
2. Since a limited number of provinces have entered into federal/provincial agreements or established guidelines for admissions, regional concentrations of refugees occur and preferred destinations may not be granted.

2.10 Summary of Component Activities and Component Logic Model

The following discussion will summarize information provided for each of Settlement Branch's programs and services by categories: components, outputs, effects - both intended and unintended, and program and statutory objectives.

Settlement, as an activity component of the Immigration Program, has five sub-components:

1. Adjustment Assistance Program (AAP)
2. Immigrant Settlement and Adaptation Program (ISAP)
3. Transportation Program
4. Refugee Sponsorship and Destination: Matching Centre
5. Programs for Special Needs Refugees

The first three sub-components are programs while the last two sub-components are services which co-ordinate the placement of refugees.

A variety of outputs exist - recoverable loans, non-recoverable contributions, services, and fee-for-service contracts. Noteworthy are the loans for medical examinations. While these examinations are required in order to ascertain admissibility and despite the fact that legislation refers to loans for the purpose of "paying the costs of establishing that they and their families may be granted admission" (Immigration Act 1976, 121 (1)), the cost of medical examinations was not originally intended to be included in transportation loans. This practice began with the processing of Indochinese refugees and is now common.

Settlement activities have produced both intended and unintended effects. The intended effects, which are often identified in the documentation as program objectives, must be considered in the context of ultimate objectives. Does achievement of the immediate and intermediate effects lead to the attainment of the ultimate objectives? Outputs and the method of delivery of programs and services also affect attainment of objectives. In other words, do the

programs, as officially defined and as operated, lead to the fulfillment of short and long-term objectives?

The immediate intended effects primarily deal with locating a final destination for immigrants, assisting them to reach that destination, and fulfilling daily needs. Intermediate effects strive for decreased dependency on settlement agencies and increased independence. Independence includes labour force participation and use of institutions, available to all Canadians. Language capabilities are central to obtaining independence. Ultimate effects are the facilitating and encouragement of successful settlement of immigrants, and through their participation in Canadian society, enhancement of economic, social and cultural conditions. Another intended effect is the co-operation of various levels of government and non-governmental organizations in settlement activities.

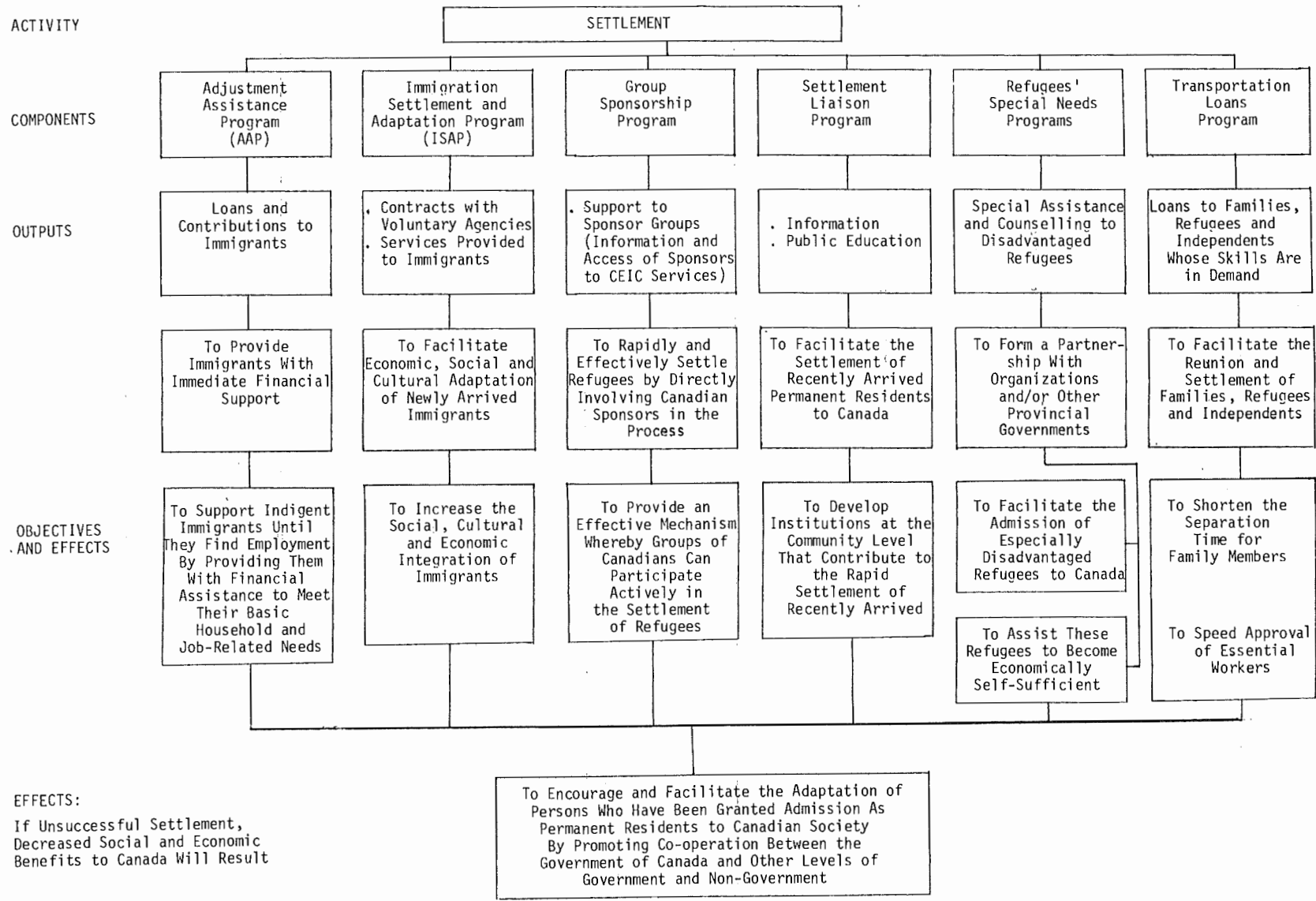
Unintended effects are usually the identified problems. What is required that was not planned/budgeted for but now appears necessary to attainment of objectives? What is occurring that hinders operation and attainment of objectives? What activity is taking place which is inappropriate in light of stated objectives? All three types of unintended effects have been identified. For example in AAP, operational guidelines and procedures have caused confusion and inconsistencies in expenditure of funds and subsequent monitoring. Also in the Transportation Program, the services provided appear inconsistent with program objectives. One must ask, should these services be part of the Transportation Program? Positive unintended effects are often

incorporated into the documented objectives. While the effects are positive, the incorporation of them can lead to the accumulation of conflicting objectives and a program with confused overall direction.

The ultimate objectives of Settlement are drawn from the Immigration Act, 1976. These statutory objectives deal specifically with settlement and with broader issues of co-operative public/private action, enhancement of Canadian society, humanitarianism, and foreign policy. While settlement can contribute significantly, these broader issues require action from a number of agencies. A focus of the discussion in Chapter 3 will be the extent to which settlement activities can contribute to attainment of the ultimate objectives. Also of interest, is the definition of the ultimate objectives to allow for definition of program objectives and measurement of success.

Chart 12 is an accountability model which was prepared by the Office of the Auditor General in 1982. It represents Settlement Branch's programs and services as they existed at that time. The logic model prepared for this report updates and expands it. Chart 13 - Logic Model of Settlement Components of Immigration Program - is a visual and schematic summary of settlement activities. Its purpose is to allow the reader to quickly obtain an understanding of the scope and type of current settlement activities; their relationship to ultimate objectives - largely objectives of the Immigration Act, 1976; the means of obtaining these objectives - outputs, program objectives and intervening effects, and finally, unintended effects that occur.

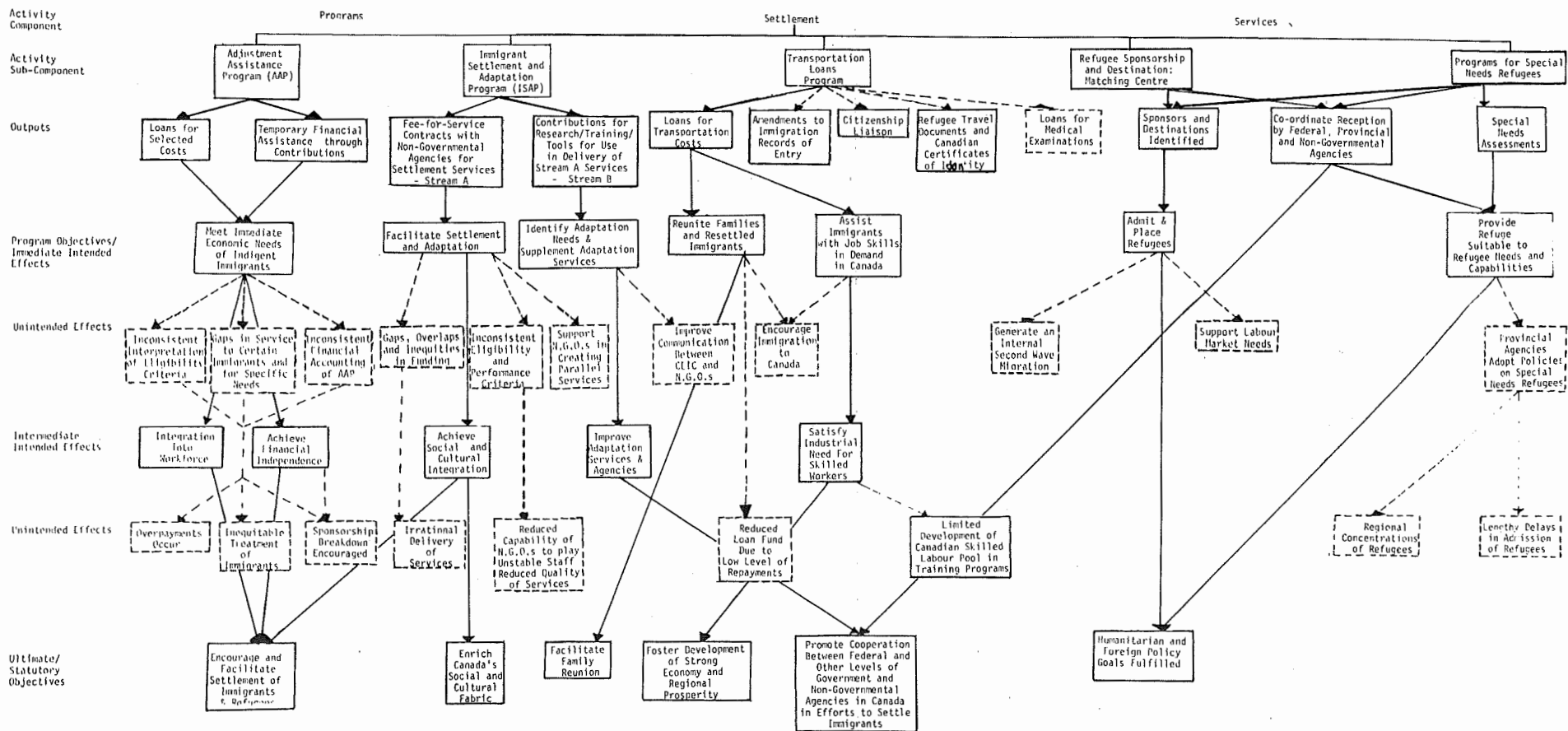
Chart 12
Accountability Model



Source: Report of the Auditor General, March, 1982.

Chart 13

Logic Model of Settlement Component of Immigration Program



----- Unintended Effects

Note: As of June, 1983

Note: The Refugee Sponsorship Destination: Matching Centre and Programs for Special Needs Refugees are one operational function which is located in the Settlement Branch (NIHQ).

3.0 EVALUATION ISSUES AND QUESTIONS OF THE SETTLEMENT COMPONENT AND THEIR PRIORITIES

A number of issues and associated questions concerning the Settlement Component of the Immigration Program emerge from the Component profile. Some of the issues and questions were identified in the Report of the Auditor General (1982) and others were discussed in the CEIC/SOS Task Force documentation and other program documents. Consultations with national and regional CEIC staff and representatives of non-governmental organizations provided the remainder.

The issues have been grouped into four broad areas:

- . Settlement Needs: A Definition of Settlement
- . Program Effectiveness
- . Program Structure and Delivery
- . Financial Control and Administrative Consistency

A series of specific questions are posed for each which will form the basis for the subsequent evaluation plan.

In the final section of this chapter, the questions are ranked by importance. The assignment of priorities will facilitate the development of evaluation options where choices in approach may be necessary due to limitations of time and resources.

Since the Settlement Component includes a number of programs, the first approach used in ranking issues is to examine them on a program basis. Do priorities vary by program? Based on the different ranking of questions, how best can the evaluation be designed?

The other approach which will be used in ranking issues is based on the Office of the Comptroller General's Principles for the Evaluation of Programs by Federal Departments and Agencies (1981). The OCG suggests that issues and questions can be grouped under four headings: program rationale, impacts and effects, objectives achievement and alternatives. Program rationale queries the extent to which the objectives and mandate of the program are still relevant and activities and outputs are consistent with the objectives. Impacts and effects address the intended and unintended results of program operation. Objectives achievement questions whether objectives have been fulfilled and alternatives asks whether better ways of achieving objectives can be developed. Priorities can be assigned based on the extent to which the issues and questions address the four areas.

3.1 Settlement Needs: A Definition of Settlement

The Settlement Component through its programs provides for some of the most basic and immediate needs of the immigrant--transportation, shelter, food and clothing. Through ISAP's fee-for-service contracts, CEIC provides a greater range of services for a lengthier period of time which will cope with personal and social needs.

A concern with the Settlement Component's program objectives involves the distinction which may be made between short-term and long-term success in adapting to Canadian life. Policy must reflect both short-term and long-term expectations of immigrant settlement and the role various programs and services will play in fulfilling

these expectations. Richmond (1982) states:

"An over-emphasis upon the short-run economic integration of adult male immigrants overlooks the need for longer-term services designed to facilitate social integration. Failure to implement such programs now will generate greater economic costs later." (p. 90)

There are financial limits to what the government can support in the way of settlement/adaptation programs. While spending more money on settlement/adaptation programs may reduce future expenditures which result from immigrants who remain apart or isolated from Canadian society, there is undoubtedly a point of diminishing returns. For example, an immigrant may be placed in a job that satisfies the family's immediate needs, but that job may be in an insecure or declining sector of the labour market. Thus the individual becomes unemployed in the medium or long-term and again requires government support. A more ambitious program of retraining or skills upgrading might have precluded such a result, but to what extent could such special training be financially justified? If we broaden the discussion to include social considerations, we could also identify issues such as language acquisition, health and social awareness, and continuation/stabilization of family bonds which will affect the success of settlement/adaptation of the entire family. Again, there is the question of the most efficient use of government resources, based on sound information concerning immigrants' settlement/adaptation needs and experiences.

Questions

1. Is there an appropriate balance between the concern for employability and economic self-sufficiency of immigrants and the concern with their broader social needs?
2. What is the basis for expenditures under the Transportation Program, AAP, and ISAP, and is it appropriate?
3. Is the basis for destination matching appropriate and is sufficient data available to allow optimum placements?

It is apparent that immigrants have divergent capabilities and needs and that settlement activities of Settlement Component must be flexible enough to cope with this divergence. For example, the individual who is fluent in English and from a Western culture, will settle quickly and require a limited amount of assistance. In contrast, the individual who is illiterate and from a dramatically different culture, will require intensive and extended settlement assistance. In order to shape programs to meet needs, greater understanding of the process of settling is essential. Therefore, a broader scope of research than the existing studies on the economic adaptation of immigrants, is necessary and findings must be directly tied to the rationalization of settlement activities.

Question

4. What have the settlement experiences of Canadian immigrants been, and how are these experiences related to their personal characteristics and the social, economic and cultural milieu from which they have come?

Discussions with national, regional and local CEIC staff indicate a divergence of opinions on the existence of operational criteria and the appropriateness of existing criteria for measuring the effectiveness of programs in settling immigrants. Consensus does exist on the need for such criteria which is based on a measurable definition of successful settlement.

Furthermore, the review of operational manuals, the terms and conditions of programs, and monitoring and claim forms, also reveal a lack of criteria for measuring successful settlement but rather the use of time limits for determining when settlement services will cease. Operational criteria for AAP concentrate on determining present income inadequacies and validity of claimed expenditures. For ISAP, criteria deal with eligibility of the agencies for funding and, to a limited extent, with efficiency of service delivery. Many of the operational difficulties encountered in these programs are attributed, by CEIC and N.G.O. staff, to the lack of an overall mandate or understanding of successful settlement and to the lack of criteria by which immigrant progress or program results can be measured.

Questions

5. How is immigrant settlement to be defined in operational or observable terms and what level of programming is required to achieve a reasonable assurance of success?
6. What factors must be considered in establishing a settlement definition?

There are some general concerns with respect to finances and administration. Primary among them is the question of needs assessment and budgetary planning. Budgets for AAP seem to have been based on incremental increases, in previous years, rather than on an analysis of unit costs and volume of activity. Expenditures are "off-loaded" onto provincial or local governments when possible, and this issue is a contentious one in federal-provincial discussions.

Nor are ISAP budgets based on a rational needs assessment. Rather, a funding formula is used which it has been suggested, creates administrative costs for non-government organizations which are not reimbursed or covered under the purchase of services. The funding criteria also penalize organizations which are efficient or have other sources of funding by paying them less for the same service than others. This is clearly a question of keeping costs to a minimum.

A budgetting procedure is needed which assesses needs and costs on some rational basis, along with a data system capable of measuring these costs and changes in them.

Question

7. What budgetary planning process is currently in use, and what changes are needed in order to base budgets on a needs assessment approach? What information systems are required to support budget planning and control processes?

3.2 Program Effectiveness

The question of the objectives of any government activity is

crucial to the undertaking of an evaluation of the activity. It is through the setting of objectives that needs are identified and the intended effects of the program are articulated. The objectives should provide an indication of the extent to which the programs will address the identified needs. In reviewing settlement objectives, a number of questions should be addressed:

Questions

8. How have ultimate objectives been set?
 - (a) Do they address recognized and previously unfulfilled needs?
 - (b) Are they closely tied to those of other agencies and thus require co-ordination?
 - (c) Do they contribute to a broader set of governmental objectives?
9. Do immediate and intermediate objectives logically progress to the attainment of the ultimate objectives?
10. Are the objectives measurable? Can attainment be perceived and visually identified?

It is clear that ISAP developed historically in response to activities and pressures by various non-governmental groups. There is now a pressing need to examine what ISAP can and should do in terms of the range of needs of the immigrant population. Clarity of objectives and rationalization of services is particularly needed in ISAP. Throughout our discussions with those delivering ISAP, there was the perception that no overall mandate or rationale exists. ISAP funding is provided to a variety of organizations, which may be

organized along ethnic lines, geographic lines, or in other ways. They may deliver some or all of the services eligible under ISAP. ISAP funds may constitute a very large portion of their total budget or a very minimal proportion.

Moreover, the lack of a clear definition or concept of successful settlement has allowed a situation to develop in which ISAP simply consists of a set of discreet activities with no overall rationale. These activities--counselling, interpretation, escort service, information, etcetera do not comprise a comprehensive set of settlement activities. The special needs of the illiterate, the professional, the housewife, and the elderly are not met under present criteria.

Question

11. What are the objectives and scope of ISAP and how should these be translated into a set of program activities and procedures?

As with ISAP, the objectives of the Transportation Program must be considered. Is this program a settlement activity or is it more closely related to the activities of other Components of the Immigration Program. The services of the program appear particularly incompatible with the objectives of the Settlement Component.

Question

12. Is the Transportation Program an appropriate activity for the Settlement Component?

The Settlement Component is charged primarily with responding to individual immigrant needs but its activities are also shaped by

broader concerns. Government policy-makers and program personnel assess immigration and settlement for its relative contribution or disruption of Canadian society. This issue raises the question of social equity and the effects of immigration and the Immigration Program on the Canadian socio-economic as well as political climate. While it might be determined that certain special programs for immigrants are necessary, it may be judged that these special programs will create a social and political backlash against immigrants by appearing to do more for "foreigners" than is done for Canadians. Canadian governments have traditionally been concerned that such special programs for ethnically or racially defined groups of people be kept to a minimum.

Questions

13. What is the appropriate balance between broader societal objectives and the satisfaction of the personal settlement needs of immigrants?
14. What is the policy position with regard to the extension of special programs for immigrants?

One of the most important questions facing the Settlement Component is whether language training should become part of its mandate. The recent Task Force Report on Immigration Settlement/Integration and Language Training has highlighted this issue, and the Settlement Branch has proposed that "survival" language training be provided to all immigrants who require it. This would go beyond the current policy of providing mainly employment related language training.

Question

15. Should the scope of language training activities be broadened and should such broadening be provided as part of the Settlement Component's activities?

As stated above, Settlement has been charged with addressing immediate, individual immigrant needs. Secretary of State, on the other hand, is charged with medium and long-term social and cultural integration of immigrant groups within Canadian society. (1974 Cabinet Document) The recent Task Force has been attempting to clarify or redefine these mandates in light of current governmental policy and immigrant needs. The results of these discussions are particularly important to the rationalization of ISAP and the relationship between these departments and non-governmental agencies assisting immigrants.

Question

16. What is the distinction in mandates between CEIC and Secretary of State? How can policy be coordinated to improve the effectiveness of programs and to achieve broader objectives?

3.3 Program Structure and Delivery

Settlement agencies are a means of temporarily bridging the gap that exists between new immigrants and the large array of "mainstream" agencies and services which the immigrant will encounter and require. Most of these agencies are not specifically designed to meet the needs of immigrants and do not have the capability to cope with the language

and cultural requirements of such clients. At present, the objective of settlement activities is to provide immigrants with the capabilities to participate in the "mainstream" in the medium-term while providing additional and alternative services in the short-term.

As discussed in Section 2.3 - Component Description, the number of agencies involved in the delivery of settlement programs and services is large. The delivery system is complex.

Questions

17. Is the present delivery system for settlement activities an efficient means of achieving program objectives?
 - a) Can the present organizational arrangements provide a comprehensive response to settlement needs without duplication of effort?
 - b) Is it possible to simplify the delivery system without limiting objectives achievement?
18. What is the efficiency of the various delivery agents?
19. Is it more efficient to provide necessary services to immigrants through settlement programs or through mainstream agencies?

The answer to the latter question may vary from one type of service to another, depending largely on the capabilities of the agencies involved. Should English language classes be incorporated into the school system, for example, or supported through contributions to voluntary organizations? Should special family counselling services be provided, or can existing agencies successfully fulfill immigrants' needs in this area? The capabilities of "mainstream" agencies to provide access in the immigrant's language as well as having sensitivity to and comprehension of cultural differences, are crucial.

Immigration is a federal responsibility but the obvious implications of immigration for provincial activities have led to an ongoing process of communication and planning. Annually, provincial intake levels are jointly established. Federal/provincial agreements also exist on other aspects of settlement including services for special needs refugees.

Settlement activities are also related to many other Immigration Program and Employment Program activities. Communication and co-ordination is a daily concern in the establishment of policy, program guidelines, procedures and in the ongoing planning and budgetary process. For example, the language training program of the National Training Act has been found to be quite inadequate to meet the needs of some immigrants and not available to others.

Similarly, CEIC must communicate and co-ordinate its activities with those of other federal departments--External Affairs, Health and Welfare Canada and Secretary of State. It is important to assess whether these mechanisms are working.

Questions

20. What formal and informal procedures for joint planning and ongoing communications now exist between Settlement officials and other Immigration and CEIC officials, representatives of other government agencies, and non-governmental organizations?
21. Are joint planning procedures adequate from the standpoint of achieving Settlement objectives?
22. a) Are sufficient data being collected and transmitted by the overseas offices to allow an optimum placement to be made by the Matching Centre?
b) Is the review process by immigration staff in Canada sufficient to allow an optimum placement to be made?

Through ISAP, certain activities of the immigrant associations which are related to settlement are funded. Apart from the specific services they provide, the associations can be a focus of social and community life, but, support for the organization per se is not within the present mandate of ISAP. Funding is available to these organizations through the Secretary of State and other government programs, though. Communication between Settlement staff and the N.G.O.s is necessary on ISAP contracts and for co-ordination and rationalization of funding from various agencies.

Question

23. Should CEIC provide organizational support to N.G.O.s?

The split between federal and provincial jurisdiction over aspects of immigrant settlement is an issue which bears on many of the topics raised above. It affects such questions as expansion of language training, operation of AAP, provision of various services, and intake of immigrants. There is a need to address these issues through federal-provincial discussions in order to increase the effectiveness and efficiency of Settlement activities.

Questions

24. What effect does multi-jurisdictional activities have on program efficiency?
25. Are federal/provincial agreements for intake and settlement services co-ordinated with program delivery?

3.4 Financial Control and Administrative Consistency

The Auditor General's Report (1982) identified a number of specific problems in the administration of Settlement activities. These included lack of control over loans and measures to ensure repayment, and inconsistency, from region to region, in the criteria and procedures used for providing contributions and loans under AAP and the Transportation Program.

Question

26. What reporting procedures are required to allow for effective monitoring of performance and improved productivity of Settlement programs?

Efficiency is an issue raised by the Auditor General in his report to the House of Commons (1982). This concerns how efficiency measures should be applied. A related question is how the resources available affect the efficiency of the service provided. For example, if an inadequate job of following up on outstanding loans is found, is this a result of inefficient use of time or of inadequate staffing levels? Is the increasing level of outstanding loans related to the caseload of the officials who have to assess these loans? Are external circumstances, which cannot be controlled, responsible?

Questions

27. a) Are transportation and AAP loans being properly issued?
b) Are recipients properly informed of their financial responsibilities?
c) Are loan repayments being sought in an efficient and sensitive manner?

A number of specific operational problems exist concerning the Adjustment Assistance Program (See Section 2.5). While the purpose of AAP is clear--to meet the initial survival needs of immigrants--the implementation is not. To some extent it is argued that this lack of specific regulations concerning the administration of AAP allows flexibility in dealing with unique circumstances. However, funding restraints and requirements for financial control have resulted in regional officials developing their own guidelines and regulations.

Questions

28. Are AAP funds being properly disbursed?

29. How should AAP be regulated to provide for administrative consistency, while adequately meeting the special needs of immigrants arriving in Canada?

A general administrative concern has to do with the selection and training of staff who work in Settlement or who provide Settlement services. It has been suggested by governmental and non-governmental staff that special cross-cultural training is required for those working in this field, particularly those in Canada Employment Centres.

The training question also relates to non-government organizations which provide ISAP services. These agencies need to have trained professional staff in a variety of fields, and funding to provide their staff with appropriate training. Complementary to this is the need for a more stabilized form of funding which can ensure retention of trained personnel.

Questions

30. What is the current skill level of CEIC officials responsible for providing services to immigrants, particularly with respect to cross-cultural sensitivity?
31. What is the employee recruitment and selection policy of CEIC in this regard?
32. What are the present provisions for training the staff of non-governmental organizations funded under ISAP?

3.5 Summary and Priority of Evaluation Issues and Questions

As stated in the beginning of this chapter, a review of evaluation issues and questions would not be complete without assigning priorities to them. Assessment of their priority will focus attention on the most important concerns thus facilitating the development of evaluation options within the overall plan.

The methodology for ranking the issues by activity sub-components involves two steps. The first, which is shown in Table 10, ranks the evaluation questions by sub-component. Several ranks or levels of priority exist, and questions tended to group by issue into the ranks. For example, AAP has four questions on financial control and administrative consistency ranked as having the highest priority. Table 10 also shows that the applicability of questions and importance of questions varies by sub-component.

The second step is to draw, from the review of questions, a ranking of issues. If a sub-component is addressed by a large number

of questions from one issue area and if the questions are of high priority, then it follows that the issue area is of high priority. For AAP, the primary concern is operational resulting in questions of financial control and administrative consistency and program structure and delivery. (See Table 11) ISAP begs questions on program effectiveness based on identified settlement needs, while the remaining sub-components are concerned with a selected combination of questions from the four issue areas.

Assigning priorities has also been based on: the relationship of Settlement issues and questions to the OCG's general guidelines; and the extent of coverage of OCG general guidelines by the specific Settlement issues and questions. From Table 12 it can be seen that "Settlement Needs: A Definition of Settlement" corresponds highly to "Objectives Achievement" as does "Program Effectiveness" to "Program Rationale". Table 13 indicates the ranks which range from good coverage (3) to no coverage (0). It can be seen that "Settlement Needs: A Definition of Settlement" ranks highly for all the OCG issues and that "Financial Control and Administrative Consistency" gives the poorest coverage, generally.

Taking into account, the ranking of Settlement issues and questions by activity sub-component and by relationship and coverage of OCG general issues, a final assignment of priorities was made which was reviewed and approved by the Settlement Branch and Program Evaluation Branch of CEIC (NHQ). Table 14 provides this final summarization which indicates the following:

1. A need exists to define what "settlement" is and how program objectives relate to this definition. Clarification of the mandate of the Settlement Component will facilitate resolution of other issues and thus "Settlement Needs: A Definition of Settlement" and questions 5 and 7 have the highest priority.
2. The achievement of program objectives has been hindered by many factors including lack of a clear mandate, conflicting or divergent objectives, and operation through a delivery system which is large, inter-departmental, multi-jurisdictional and consequently complex. Many unintended effects have occurred which negatively affect immigrant settlement and the host society and the Settlement Component. "Program Effectiveness" and "Program Structure and Delivery" have been given a medium priority. Questions 11 and 17 have been given high priority under these issues.
3. "Financial Control and Administrative Consistency" have been given the lowest ranking for two reasons:
 - a) questions do not have the same degree of applicability to all activity sub-components as the other issues
and
 - b) many of these questions are presently being addressed by CEIC staff in response to the Auditor General's Report (1982).

Questions 26 and 29 are considered to have high priority under this issue.

Table 10

Priority of Evaluation Questions by Settlement Activity Sub-Component
(Question No.)


Priority	Activity Sub-Component				
	AAP	ISAP	Transportation	Matching Centre	Special Needs Refugees
High  Low	26, 27, 28, 29	11, 5, 7	12, 8, 9	3, 1, 13	3, 22
	17, 18, 19, 20, 21	1, 2, 4, 6	2, 27, 26	22, 7	17, 24, 25
	2, 7	16, 20, 21, 23	20, 21	20, 21	20, 21
	1, 4, 5, 6	26	17	8, 9, 10	7
	8, 9, 10	8, 9, 10	13		
	14, 15	14, 15, 19			
	30, 31	32			

Table 11

Priority of Evaluation Issues by Settlement Activity

Sub-Component

Settlement Issues	Activity Sub-Component				
	AAP	ISAP	Transportation	Matching Centre	Special Needs Refugees
Settlement Needs	Medium	High	Low	High	Medium
Program Effectiveness	Low	Medium	Low	Medium	Low
Program Structure and Delivery	High	High	Medium	Medium	High
Financial Control and Administrative Consistency	High	Low	High	Low	Low

Table 12

Relationship of Settlement Evaluation Issues and Questions to OCG Issues
(Question No.)

Settlement Issues	OCG Issues			
	Objectives Achievement	Impacts and Effects	Program Rationale	Alternatives
Settlement Needs	1, 3, 5, 6, 7	1, 2, 3, 4, 7	2, 4, 5, 6	5, 7
Program Effectiveness	11	11, 14	8, 9, 10, 11 12, 13, 16	12, 14, 15
Program Structure and Delivery	17, 18, 25	20, 21, 22, 24	23	17, 19
Financial Control and Administrative Consistency	26, 30, 31	27, 28	--	26, 29, 32

Table 13

Ranking¹ of Settlement Issues Based on Coverage of OCG Issues

Settlement Issues	OCG Issues			
	Objectives Achievement	Impacts and Effects	Program Rationale	Alternatives
Settlement Needs	3	2	2	2
Program Effectiveness	1	2	3	2
Program Structure and Delivery	2	3	1	1
Financial Control and Administrative Consistency	2	2	0	2

¹ Legend

- 3 - good coverage
- 2 - adequate coverage
- 1 - poor coverage
- 0 - no coverage

Table 14

Priority of Settlement Issues and Questions
(Question No.)

Issue Priority	Question Priority		
<u>High</u> Settlement Needs	<u>High</u> 5, 7,	<u>Medium</u> 1, 2, 4, 6	<u>Low</u> 3
<u>Medium</u> Program Effectiveness Program Structure and Delivery	11, 17, 20, 21	9, 10, 12, 14, 15, 16 18, 19, 22, 25	8, 13 23, 24
<u>Low</u> Financial Control and Administrative Consistency	26, 29	27, 28	30, 31, 32

4.0 EVALUATION APPROACHES

This chapter presents various approaches on an issue basis which may be used in conducting an evaluation of the Settlement Component. The approaches indicate a means of addressing the issues and related questions identified in Chapter 3. Data collection and analysis methodologies are described, in general terms, and provide a basis for preparing more detailed evaluation designs. Settlement indicators, for measuring successful settlement of immigrants, are considered and operational criteria, for evaluating program delivery and objectives achievement, are developed.

Chapter 5, on evaluation options, will assess the potential use of the approaches using a set of assumptions based on the priority of issues, cost, time and availability of data.

4.1 Data Sources

The evaluation can make use of five basic sources of data and it is through varying combinations of these data that each issue, question and activity sub-component can be addressed. The five sources are listed below and will be provided in more detail during the review of the approaches.

DS-1 Program and client documentation.

Documents outlining program use include the Transportation Warrant and Undertaking (Imm 500) and the AAP Contribution Agreement (Emp. 3102). The ISAP forms which monitor program activity (Imm 1195, Temp 824) are considered to be of minimal use due to the lack of client-specific data.

For both Transportation and AAP, enough client data is provided in connection with program data to allow for correlation of the program data to documents on clients - Canadian Immigration Record (Imm 1000). The Imm 1000 forms are computerized thus allowing significant manipulation of the data.

- DS-2 Immigration documents, such as the 1976 Immigration Act, on policy, program objectives and operation, speeches, Task Force reports and program reviews. This material will highlight expectations and perception of Settlement Component's mandate and activities.
- DS-3 Primary data collected through surveys and interviews with immigrants and 'experts' on the subject area. 'Experts' are those directly involved in delivery of settlement and other services to immigrants and those formulating policy on settlement. Immigrants are all those who were not born in Canada but rather emigrated from another country.
- DS-4 Census material and existing research provides a significant source of data on the economic and employment circumstances of immigrants. e.g. Richmond and Kalbach (1980).
- DS-5 Documentation of mainstream programs and their operation which are of special relevance to immigrant settlement e.g. welfare, employment counselling and placement.

4.2 Settlement Needs: Definition of Settlement

The primary statutory objective of the Settlement Component is to "encourage and facilitate settlement of immigrants" (Immigration Act, 1976, 3(d)). But, what is "settlement" and how will the Settlement Component encourage and facilitate it? As was pointed out in the chapter on evaluation issues and questions (Chapter 3, Section 3.1), Settlement programs lack an overriding mandate against which objectives can be formulated and achievement can be measured. Defining of the term "settlement" will allow for establishment of program objectives which indicate the extent to which CEIC through the Settlement

Component will assist immigrants in settling. With these in place, measurable criteria can be used to determine the effectiveness and efficiency of programs.

4.2.1 Factors and Settlement Indicators

The initial task to be addressed by the evaluation is to define settlement need. To be determined are the factors which affect settlement and to be created are settlement indicators for "successful" settlement against which achievement of program objectives can be tested. Table 15 indicates the factors and settlement indicators suggested by research to date.

4.2.2 Operational Criteria

A number of operational criteria may also be set to examine the relationship of program mandates and budgetary processes to immigrant settlement needs. These are as follows:

- . all factors relating to successful settlement have been considered in formulating programs
- . a needs assessment approach is used in forecasting budget requirements
- . data exists on the financial implications of various settlement needs and budgets are established based on projected levels and types of need.
- . choice of destinations and levels of intake reflect capability of destinations to fulfill all settlement needs
- . appropriate information is collected from immigrants overseas to ascertain levels of settlement support required

Table 15 - Factors and Settlement Indicators for Successful Settlement

Factors	Settlement Indicators
Economic/Employment	<ul style="list-style-type: none">. level of labour market participation including upward mobility and employment commensurate with education and experience. income levels and viability of household budgets. accumulation of assets. use of training and educational programs. housing conditions
Social/Psychological	<ul style="list-style-type: none">. level of isolation versus social interaction. need for and use of social or psychological counselling. need for and use of immigrant services. Canadian citizenship. participation in community activities. level of internal migration. level of satisfaction with community
Access	<ul style="list-style-type: none">. verbal language capabilities. writing/reading skills. knowledge and use of mainstream services and facilities. level of satisfaction with mainstream services and facilities. use of immigrant services

4.2.3 Methodological Approaches

Given the focus of this section, the emphasis will be on correlating immigrant characteristics with settlement experiences and program use to ascertain a profile of immigrant settlement needs and what constitutes successful settlement. The basis for differing patterns of settlement needs will also be clarified. Three of the general data sources listed above, will be used - DS-1, DS-3 and DS-4.

The first approach which addresses questions 2, 4, 5, 6 and 7, will correlate program-specific data drawn from program activity reports of the sub-components with client-specific data drawn from Canadian Immigration Records (Imm 1000). The Imm 1000 forms are computerized and provide the opportunity for significant manipulation of data. Data on loans are also computerized for accounting purposes. The Auditor General's report (1982) cited the need for a computerized accounting system for AAP. Implementation of this recommendation will provide the opportunity to make program data files compatible with existing client data files. For Transportation and AAP loans and AAP contributions the present records provide sufficient client data that matching with Imm 1000 forms is possible either manually or mechanically.

ISAP activity reports provide no opportunity for correlation due to the lack of client-specific data. Prior to an evaluation taking place, a new reporting procedure would be necessary. To replace the monthly monitoring reports, a client file system is proposed. The following data would be maintained:

- Client
- name
 - address and telephone number
 - date of entry into Canada and immigrant class
 - place of origin
 - native language
 - family status
- Service
- type of service required: number of hours
data provided

Data can be transferred from these files to a computer (in digital form) for storage and future manipulation. Data, from the Imm 1000 forms, can also be drawn upon to expand the client characteristics information. A minimum of 6 months data collection is required.

For AAP and ISAP, a variety of cross-tabulations of client and program data can be carried out to generate a profile of program use over time. The analyses will also monitor settlement over time. In tabular and graphic form, these data allow for interpretation of program use as it relates to settlement needs and the process of settlement by a wide range of immigrants. Sub-groups of the immigrant population will be analyzed using categories based on characteristics such as point of origin (country of last permanent residence), education, occupation, age, sex, family status, immigrant class and point of destination. The type of mover and thus, reasons for moving, which are often reflected by immigrant class, can have significant influence on subsequent settlement needs and success rates. For those admitted under the point system, an interesting and revealing exercise is to correlate program use and settlement experiences with the factors for which the immigrant scored highly. The efficiency of the point system as a predictor of adaptability will be tested in this manner.

These manipulations can also be useful in forecasting budgets based on a needs assessment approach. Similar manipulations of data can be carried out for transportation and AAP loan commitments and recovery.

Mode of analysis of data will be influenced by a number of factors - intended use, immediacy of need, available resources. Two alternatives are suggested:

- a) a cross-sectional, time-specific study with a large client sample. Benefits of this approach include: a large and thus highly representative sample of the population; a relatively short-term study which will provide early results; and a one-time process which facilitates projection of costs and data collection. A major limitation is the use of time-specific data from a number of individuals at various stages of settlement to explain a long-term process.
- b) a cross-sectional study with an option for a longitudinal study with a smaller client sample. Benefits of this approach include the development of data for a number of individuals over a relatively long period of time, which defines the process of settlement. Limitations include: difficulties in maintaining contact with sample group and obtaining co-operation over entire study period; projecting costs of such a study.

With either approach, in-person interviews, as described below, can supplement the data generation.

For the purposes of evaluating this issue, information will be collected from immigrants on their settlement experiences. To qualify this information, a control group is needed against which immigrant information can be measured. The second and third approaches will generate immigrant settlement information and the fourth and sixth approaches will provide comparable non-immigrant or general population information which will allow for quantification of data.

The second approach to be used in evaluating this issue and its associated questions (1-7), is primary data collection through in-person interviews of immigrants. This approach can be tied to the previous approach through the use of ISAP files. The interviews, of a stratified (based on client characteristics) random sample of immigrants, will be drawn from ISAP client files (six months after client file procedure has been implemented). For a longitudinal study, interviews will be conducted at 12 month intervals (for recently arrived immigrants 6 month intervals may be appropriate in the first year). Interviews will concentrate on settlement experiences, use of immigrant and other services and facilities and perceptions of their success in settling, of the host community, and of the usefulness of existing support systems. In developing a questionnaire and analyzing interview results, the evaluator must keep in mind issues concerning mental and experiential congruence.¹ (Michelson, 1970). The interviews will be conducted by interviewers

1 Mental congruence exists if an individual thinks that particular spatial and social patterns will successfully accommodate his personal way of life while experiential congruence deals with how well the environment actually accommodates needs and behaviour.

capable of one of the official languages and another language in which the immigrant is capable.

The sample drawn from ISAP files has weaknesses. It will represent those using the services but will not solicit responses from: individuals who are isolated in the community; family and independent class immigrants who tend not to seek services until problems arise; and employed immigrants who also tend not to seek services.

The third approach will supplement the in-person interviews with ISAP clients (second approach) and offset the weaknesses inherent in that approach. This approach involves in-person interviews within a number of geographically defined areas which correspond to census areas with high concentrations of immigrants. A sample will be chosen using a 'screener' wherein household addresses are chosen randomly from the total addresses in the area and interviewers begin contacting the residents and determining their eligibility (resident is immigrant) to participate in the study. If the resident is eligible, the interview is conducted and if not, adjacent addresses are contacted. This process is repeated for each randomly chosen address. The sample size should be a minimum of 25% of the total immigrant population as indicated by the Census data and a minimum of 70% response rate from the sampling technique should be generated. An added benefit of this technique is the verification of population size. The interview schedule used in the second approach would be used here also, in order to maintain comparability. Again, questions 1 through 7 will be addressed.

Both the second and third approaches require a control group against which to gauge responses. For economic and employment characteristics, Census results and existing research provides a substantial data base on public perceptions and performance as well as data on immigrants. (See below - sixth approach).

The fourth approach addresses the need for public responses to questions on social interaction and perceptions of their community. A growing data base which can be utilized are socio-demographic surveys which have been conducted in Edmonton, Toronto and Winnipeg and are planned for Calgary and Vancouver. These surveys are conducted on an annual or bi-annual basis and there is potential to include specially designed questions for the purpose of this evaluation. Questions 5 and 6 will be addressed by this approach.

The fifth approach addresses the full range of questions posed in this issue (1-7) and involves in-person interviews with experts on immigrant settlement. Table 16 shows the agencies/departments to be included in the sampling of experts. The sampling should also include all regions and representation from large urban centres, medium-sized centres and small urban/rural areas. Table 16 also shows the issue areas which will be discussed with each agency/department. As part of this assessment, interview schedules were designed for use in national and regional offices and with N.G.O.s and these can be used as a reference in development of this approach.

The sixth approach is review and analysis of existing data from Census material and existing research which includes numerous settlement and adaptation studies with a strong economic and employment focus.

Table 16

Sample of Experts on Settlement and
Issue Areas to be Addressed

Representation drawn from:	Issue Areas			
	3.1	3.2	3.3	3.4
Federal Departments (National Offices)				
CEIC - Employment and Insurance			X	X
Immigration:				
Recruitment and Selection		X	X	
Settlement	X	X	X	X
Health and Welfare Canada			X	
External Affairs			X	
Secretary of State	X	X	X	
Federal Departments (Regional and Local Offices)				
CECs	X	X	X	X
Settlement	X	X	X	X
Provincial Departments				
Education		X	X	
as appropriate to policy and programs on subject area (e.g. Labour, Immigration)	X	X	X	
Municipal				
Boards of Education				language training
Non-Governmental Organizations				
ISAP	X	X	X	X
Other immigrant service agencies	X	X	X	

These data allow for trends analysis and comparisons within the immigrant population and between immigrant and non-immigrant populations which will assist the evaluator in responding to questions 1, 4, 5 and 6. Existing research also provides substantial information on methodological approaches which can be useful in the design of evaluation techniques. A selected list of such studies has been drawn from Richmond (1982) and is found in Appendix C. Other relevant sources are listed in the bibliography.

Census material is also heavily weighted to economic and employment considerations containing multiple questions on:

- labour force participation
- education/training
- income
- occupation
- housing conditions

Also available are data on:

- language patterns
- citizenship
- migration patterns
- family status and fertility

Comparability of census data is an issue in conducting studies spanning several census years as questions are added, deleted or modified. The means of collecting data is also an issue. In-person interviews have been replaced by mail-in questionnaires which may limit immigrant response rates or quality of responses. Certain geographical areas with small immigrant populations may be under-represented thus affecting reliability of the data.

4.3 Program Effectiveness

The previous section on 'Settlement Needs' presented a means of reviewing immigrant settlement experiences in order to define "successful" settlement. The next step is to evaluate programs based on their ability to operationalize this definition both in setting program objectives and establishing program guidelines. The Settlement Component, itself, can be evaluated to determine the appropriateness of its mandate and scope and mix of functions in achieving successful settlement. Effectiveness of Settlement activities can also be reviewed in light of external factors such as economic conditions and changing societal perceptions and needs.

The questions related to the program effectiveness issue (questions 8-16) are concerned with the identification and achievement of program objectives, the scope of Settlement Component activities, and how these objectives and activities interrelate with settlement activities of other departments and agencies. The operational criteria, described below, are concerned with ways of assessing objectives achievement of Settlement programs.

4.3.1 Operational Criteria

A number of operational criteria, relating to the setting and integrating of objectives, co-ordination and consultation, and accessibility of services, may be specified.

- . Program objectives are explicit.
- . Program objectives address identified immigrant settlement needs and state the degree to which programs will address needs.

- . Success rates of programs in fulfilling objectives are established.
- . Program objectives are part of regular progress review procedures.
- . Settlement program objectives are explicitly related to those of other departments and agencies.
- . There is a logical progression of short-term and intermediate objectives leading towards the fulfillment of long term or ultimate objectives.
- . Program design facilitates objectives achievement.
- . Immigrants of all classes are able to make use of language training services when needed.
- . All immigrants have access to Settlement programs and services, particularly ISAP, regardless of their ethnic group or geographic location.
- . There is a co-ordinated and logical progression of government programs and supports for immigrants from the shorter-term services of CEIC to the longer term services of SOS.
- . Consultation occurs between the Settlement Branch and SOS when programs and policies are being developed or revised.

4.3.2 Methodological Approaches

The methodology for measuring the effectiveness of Settlement programs relies to a great extent on data collected concerning immigrant settlement experiences, along with the definition of "successful" settlement. Settlement indicators derived from analysis of program data, special surveys and other sources (described in Section 4.2), will be

compared against Settlement Component and program objectives to determine the appropriateness and effectiveness of these objectives. Data sources DS-1 through DS-4, will be used.

The methodology for collecting the basic socio-economic data concerning immigrants has been described above (Section 4.2.3). Data concerning the objectives governing Settlement programs will be obtained from Immigration documents (DS-2) and from experts on Settlement (See Table 16). Written objectives and understanding of objectives by personnel will be verified. The appropriateness of Settlement objectives will be determined based on the definition of successful settlement and will contribute towards clarification and formalization of Settlement's role in settling immigrants. At present the relative contribution that Settlement Component makes towards immigrant settlement is unclear and hinders in the establishment of distinct mandates between federal departments (CEIC and SOS) and between other governmental and non-governmental agencies.

4.4 Program Structure and Delivery

While the previous section dealt with the issue of program effectiveness and objectives achievement, the present section will present means of evaluating the questions raised concerning program efficiency and organization of the delivery system. As operational issues are the focus, operational criteria have been developed.

4.4.1 Operational Criteria

Several general criteria are presented for the Settlement component and these are followed by specific criteria for individual sub-components.

- . settlement programs are as cost-effective as "mainstream" programs in the provision of services to immigrants
- . settlement programs provide services to fulfill needs not being met elsewhere
- . staff resources of departments and agencies are adequate to efficiently deliver settlement programs
- . communication exists in policy formation, budgetary forecasting and in ongoing operations between delivery agents and policy makers
- . budget requirements are accurately forecast
- . expenditures are within budget forecasts

AAP

- . appropriate levels of program activity are established using data such as:
 - number of loans and number of recipients by immigrant class and region
 - dollar value per loan by category of need, immigrant class and region
 - dollar value of contributions by number of immigrants and by category of need, immigrant class and region
 - staff costs as a ratio of program expenditures (Output Measures, Chart 2)

ISAP

- . appropriate levels of program activity are established using data such as:
 - number and dollar value of service contracts (Stream A) signed by region
 - hours of service purchased by type of service
 - number of clients served by region
 - staff hours per client
 - number and dollar value of projects (Stream B) funded by region (Output Measures, Chart 4)
- . providing services through NGO's ensures optimum accessibility to the immigrant population

Transportation

- . appropriate levels of program activity are established using data such as:
 - number of loans by immigrant class and point of origin
 - number of inquiries handled (for transportation services) and subsequent action taken
 - staff costs as a ratio of program expenditures (Output Measures, Chart 6)

Matching Centre

- . refugees settle at original destinations
- . number of refugees placed in each region/locale is consistent with the capabilities of the region to provide settlement support
- . sponsors are sought when government assistance is insufficient to immigrant's needs (Output Measures, Chart 8)

Programs for Special Needs Refugees

- . review process is clearly defined, particularly as it relates to staff outside of CEIC
- . review time is acceptable
- . services and facilities for special needs are adequate to provide settlement support (Output Measures, Chart 10)

4.4.2 Methodological Approaches

The evaluation of this issue must concentrate on determining the efficiency of the present delivery system and on the means of communication within the system. The other focus is alternative delivery systems and the advantages and disadvantages of use of immigrant services versus mainstream services.

The first approach will ascertain the efficiency of the present system (questions 17, 22, 24) by reviewing the organization of the delivery system in light of the operational criteria outlined in Section 4.4.1. This will be done using written documentation and interviews with delivery system participants (DS-2, DS-3), to derive the following: verification of the system; lines of authority; efficiency ratings based on the operational criteria; new efficiency measures and ratings as found appropriate in conducting the review; staff efficiency ratings; and ways and means of improving the system.

The second approach addresses communications questions (20, 21, 25) and should be undertaken in conjunction with the first approach. Written documents on co-ordination of inter-departmental activities (DS-2); budget forecasts and expenditures; and intake forecasts and actual intake (DS-1) will be reviewed. In-person interviews with delivery system participants (DS-3) will be conducted (Section 4.2.3, Table B). The study will produce information and analyses on: communication flows and their extent; types of information shared; intended (documented) communication; problem areas; and ways and means of improving communication.

The third approach considers alternative delivery systems and procedures (questions 18, 19, 23). The evaluation must determine if another delivery system or another means of delivery within the same system will be more cost-effective and more rational, in light of stated objectives, than the present system. The evaluation requires the establishment of some perceived alternatives which can then be analyzed. For example, a feasibility study may be conducted of transferring immigrant services from AAP to the provincial/municipal welfare system. Alternatives can also be considered for language training, ISAP and the Transportation Program. Issues to be addressed in a feasibility study are: staff capabilities of alternative agency to meet language demands and cross-cultural differences of client group; availability of staff to maintain extra workload; legal and financial implications of inter- or intra-governmental transfers of services; initial costs of transfers; projected cost of delivery by the alternative system in comparison to the existing system (drawn from first approach); and projected effectiveness of alternative system in achieving program objectives.

At present, feasibility studies are not recommended. A preliminary step of pre-feasibility studies, are proposed which will concentrate on identifying alternatives and exploring their potential with both the existing delivery agent and the proposed delivery agent. The assessment of alternatives will also concentrate on expanding and further clarifying issues and questions of the programs which must be addressed in the feasibility studies. This process will eliminate alternatives with little potential (politically or financially difficult or where

the proposed delivery agent does not wish to participate in the feasibility study) and focus the evaluation efforts of the studies which do proceed. The pre-feasibility studies will use an in-person interviewing process with national and regional office staff of CEIC and representatives of proposed delivery agents (Section 4.2.3, Table B).

4.5 Financial Control and Administrative Consistency

This issue area is closely related to the issue of program structure and delivery but focuses on particular procedural concerns. Many of these concerns were raised in the Auditor General's Report (1982).

4.5.1 Operational Criteria

Again, several general criteria are presented for the Settlement component and these are followed by special criteria for the individual sub-components.

- . staff selection criteria reflect the demands of delivering settlement services
- . procedures exist to implement staff training as required for the efficient administration and delivery of settlement programs
- . training requirements are reviewed and appropriate action taken on a regular basis

AAP

- . staff is knowledgeable about program guidelines and procedures
 - funds are expended to eligible immigrants, for eligible costs and are properly designated as loan or contribution
 - requests for clarification of guidelines are uniformly dealt with and interpretations submitted to NHQ
 - administrative guidelines are followed
- . Financial control systems are in place
 - data on AAP expenditures are accessible to staff and in a form suitable to their daily needs
 - procedures conform with accounting policies of the department

- loans can be monitored for repayment (see Transportation for further details)

ISAP

- . criteria are consistently applied in reviewing eligibility and establishing service rates with non-governmental organizations seeking ISAP contracts

Transportation

- . loans are issued in a consistent manner and notifications are made in an efficient manner to appropriate offices
 - eligibility criteria are clearly written; understood by staff; and followed
 - documentation is complete and verified
 - recipients understand concept and terms of loans
- . loan repayments are sought in an efficient and sensitive manner
 - loans are regularly monitored
 - contact is maintained with recipients
 - repayment delays are given judiciously and in accordance with guidelines

4.5.2 Methodological Approaches

The first approach will address questions of financial control (26, 27, 28, 29) particularly as they relate to AAP and loans under the Transportation Program. The Auditor General (1982) requested remedial action on this matter and Settlement Branch (NHQ) has proceeded with a review of financial control procedures and creating a computerized data system for AAP. This action is supported by the evaluators and it is recommended that any computer system which is implemented be compatible with existing departmental accounting systems, including that for transportation loans; with the Imm 1000 data base; and that the system satisfy the relevant operational criteria in Section 4.5.1.

The second approach is to verify that program funds are being administered as described in program authorizations and guidelines (questions 27, 28, 29). Discrepancies between program documents would also be identified. For this purpose, documents (DS-1) will be audited for clarity and consistency and a sample of files from AAP and the Transportation Program will be randomly selected and reviewed in consultation with internal auditing staff. Findings of the assessment indicate that regional offices have instituted procedures. These, too, must be reviewed for consistency with national guidelines and whether equitable treatment of immigrants is being maintained nationally.

The third approach is to review operational guidelines, for all programs, with delivery agencies to determine their understanding of the guidelines and the procedures they follow in clarifying guidelines. Particular attention will be given to guidelines/forms which have been implemented at the regional level and their conformity with national guidelines. This approach will proceed as per the interviewing process recommended in Section 4.2.3 and noted in Table 16. Data source, DS-3, will be used. Questions 26 through 29 will be addressed by this approach.

The fourth approach will address staffing criteria and staff training questions (30, 31, 32). Written documents will be reviewed (DS-2) but, to a large extent, interviews with personnel, responsible for settlement services and for developing staff resources, will be relied upon. Again, this approach will proceed as per the interviewing process recommended in Section 4.2.3 and noted in Table 16.

4.6 Summary of Approaches and Cost Estimates

The approaches have unique qualities based on the issue being addressed. Some commonalities, also exist. The most obvious duplication of technique is the use of interviews with 'experts' to address the full range of issues and questions. In preparing cost estimates, it has been assumed that interviews addressing more than one issue area will be conducted and thus result in an economy of scale or reduction in the unit cost of the data collection. For example, the interviews of 'experts' proposed under "Settlement Needs: Definition of Settlement" are estimated to cost \$17,050. (See Table 17). To ask the questions required under "Program Effectiveness", an additional \$3,600. has been budgeted in addition to \$2,000. for review of documentation. This is in keeping with our perception that program effectiveness can not be evaluated without also addressing the questions under "Settlement Needs: Definition of Settlement". The same assumptions concerning reduction in unit costs and the appropriateness of reviewing, concurrently, certain questions within the two issues, "Program Structure and Delivery" and "Financial Control and Administrative Consistency", have been used. (See Table 17).

Costs for approaches addressing the issue of "Settlement Need: Definition of Settlement" require greater explanation than the other approaches due to the number of assumptions made and the sensitivity of costs to these assumptions. They are:

- 1) 2500 files will be drawn from each of AAP, ISAP, and the Transportation Program resulting in a total client sample of 7500.
- 2) program and client files will be manually or mechanically collected, as required, and analysis will be mechanically conducted.

Table 17 Methodological Approaches and Estimated Costs

<u>Issue Area</u>	<u>Methodological Approach</u>	<u>Estimated Cost</u>
A. Settlement Needs: Definition of Settlement	1) Correlation of program and client data	\$44,550
	2) Interviews with immigrants using ISAP files	
	a) cross-sectional	\$33,925
	b) longitudinal option	\$75,800
	3) Interviews with immigrants drawn from Census areas	
	a) cross-sectional	\$37,275
b) longitudinal option	\$79,800	
	4) Total population control group surveys	
	a) existing data, and	
	b) special questions added	\$4,800
	5) Interviews with 'experts'	\$17,050
	6) Analysis of existing secondary data	\$7,400
	B. Program Effectiveness	1) Analysis of Component and program objectives in reference to settlement definition (see above)
a) review documentation, and		
C. Program Structure and Delivery	b) interviews with 'experts', as part of A.5)	\$5,600
	1) Evaluation of efficiency	
	a) review documentation, and	
	b) interviews with 'experts'	\$39,900
	2) Evaluation of communications - included above	
	3) Pre-feasibility study of alternative delivery systems	\$27,500
D. Financial Control and Administrative Consistency	1) Feasibility study of computerizing AAP accounts	as exists
	2) Audit of administrative procedures for financial control (internal audit staff)	\$8,250
	3) Interviews with 'experts' on operational procedures	
	a) as part of C.1)	\$3,600
	b) independent project	\$17,050
	4) Evaluation of staffing	
	a) review of documentation, and	
	b) interviews with 'experts'	
	(i) as part of C.1)	\$5,600
	(ii) independent project	\$19,050

- 3) the cross-sectional studies, will include 2500 immigrant interviews each while the longitudinal studies assume 250 immigrants interviewed on four occasions for each study.
- 4) longitudinal studies will involve costs in tracing immigrants and a certain level of inflation of interviewing and analysis costs.
- 5) interviews will be purchased from local non-governmental organizations for both the ISAP clients and the immigrants derived from the sampling of census areas.
- 6) an inflation factor has been assumed for those studies which would be delayed due to the lack of available data.

Finally, a cost estimate has not been attached to the feasibility study of computerizing AAP accounts. Settlement Branch (NHQ) has firm costs, presently and has already proceeded with this exercise.

5.0 EVALUATION OPTIONS

On the basis of the approaches outlined in Chapter 4, a series of evaluation options can be presented. All will address the issues and questions outlined in Chapter 3, but each option will do so with varying emphasis and reliability of results. The options reflect decisions which must be made in conducting any evaluation. These include priority of issues, cost and time constraints and availability of data.

An initial step in preparing options is to relate the approaches to the issues and questions and their relative importance. Table 18 displays the methodological approaches in such a way as to show coverage of issues and the priorities of questions as determined in Chapter 3.

Table 18 indicates that various approaches address the same questions. These approaches tend to be complimentary rather than competitive. Approaches under "Settlement Needs: Definition of Settlement," for example, accumulate to provide a comprehensive and highly reliable means of addressing the issue. This optimum, overall approach may be used or components may be used which will provide a partial response. Similarly, a range of issues and questions can be addressed by the same approach. In developing options, the opportunity to address a number of questions through one round of interviews with experts, for example, must be given serious consideration and may result in lower priority issues being evaluated simply due to the opportunity which exists.

Finally, opportunity is also affected by the availability of data and, conversely to the situation noted above, a high priority question

Table 18 - Evaluation Approaches and Issues and Questions

Issues ¹ and Methodological Approaches	Questions Addressed by Priority ²		
	High	Medium	Low
A. Settlement Needs: Definition of Settlement			
1) Correlation of program and client data	5, 7	2, 4, 6	
2) Interviews with immigrants using ISAP files a) cross-sectional, or b) longitudinal option	5, 7	1, 2, 4, 6	3
3) Interviews with immigrants drawn from Census areas a) cross-sectional, or b) longitudinal option	5, 7	1, 2, 4, 6	3
4) Total population control group surveys a) existing data, and b) special questions added	5	6	
5) Interviews with 'experts'	5, 7	1, 2, 4, 6	3
6) Analysis of existing secondary data	5	1, 4, 6	
B. Program Effectiveness			
1) Analysis of Component and program objectives in reference to settlement definition (see above) a) review documentation, and b) interviews with 'experts', as part of A. 5)	11	9, 10, 12, 14, 15, 16	8, 13
C. Program Structure and Delivery			
1) Evaluation of efficiency a) review documentation, and b) interviews with 'experts'	17	22	24
2) Evaluation of communications - included above	20, 21	25	
3) Pre-feasibility study of alternative delivery systems		18, 19	23
D. Financial Control and Administrative Consistency			
1) Feasibility study of computerizing AAP accounts	26, 29	27, 28	
2) Audit of administrative procedures for financial control (internal audit staff)	29	27, 28	
3) Interviews with 'experts' on operational procedures a) as part of C. 1) b) independent project	26, 29	27, 28	
4) Evaluation of staffing a) review of documentation, and b) interviews with 'experts' (i) as part of C.1) (ii) independent project			30, 31, 32

1. Issues in order of priority (high to low)

2. Derived from Table 14, Chapter 3

may not be addressed immediately due to a lack of data. For the evaluator, the priority of the issue will determine if remedial action will be taken to allow for the subsequent review. In this case, the need to address Settlement Needs: A Definition of Settlement and concerns with ISAP would indicate that creation of the recommended data base (See Section 4.2.3) for evaluation purposes should take place.

The options, which follow, reflect the priority of issues and questions; the availability of data and time constraints imposed by lack of data; opportunities for cost savings due to the combining of issues under similar approaches; and the comprehensiveness and reliability of evaluation results. Option One provides a minimum recommended evaluation plan while Option Three provides a maximum plan.

5.1 Option One

Option One, as shown in Table 19, provides a minimum amount of data and evaluation results which are acceptable only. The advantages to this approach are:

- 1) the evaluation can proceed immediately
- 2) it addresses the highest priority issues and questions
- 3) cost savings are made in combining questions in the interviewing of experts under the first two issues and then again under the second two issues.

Table 19 - Option One

<u>Approach</u>	<u>Cost</u>
A. Settlement Needs: Definition of Settlement	
3) Interviews with immigrants drawn from Census areas	
a) cross-sectional *	\$ 37,275.
4) Total population control group surveys	
a) existing data only	2,500.
5) Interviews with 'experts'	17,050.
6) Analysis of existing secondary data	7,400.
B. Program Effectiveness	
1) Analysis of Component and program objectives in reference to settlement definition (see above)	5,600.
a) review documentation, and	
b) interviews with 'experts', as part of A.5)	
C. Program Structure and Delivery	
1) Evaluation of efficiency	
a) review documentation, and	39,900.
b) interviews with 'experts'	
2) Evaluation of communications - included above	
D. Financial Control and Administrative Consistency	
3) Interviews with 'experts' on operational procedures	3,600.
a) as part of C.1)	
Total Cost *	\$113,325.

* A sample of 5000 may be warranted and will increase costs to \$67,550 for approach A.3a) and to \$143,600 for the total cost.

The disadvantages are:

- 1) limited use of program data and subsequent limitations in determining program effectiveness;
- 2) data needs for ISAP evaluation not addressed;
- 3) AAP and the Transportation Program are not reviewed to the extent recommended by the Auditor General and the option does not reflect the review presently underway to assess the feasibility of computerizing AAP;
- 4) alternative delivery systems are not considered.

A logical division of this work would be to group the approaches under "Settlement Needs: Definition of Settlement" and "Program Effectiveness" into one contract and "Program Structure and Delivery" and "Financial Control and Administrative Consistency" into another. The work could be completed in 8 and 4 months respectively.

5.2 Option Two

Option Two, as shown in Table 20, provides a comprehensive review of the first two issues and the high priority questions of the third and fourth issues are also adequately addressed. Implementation of this option will provide reliable evaluation data. Limitations of this option are:

- 1) remedial action is needed to develop program data prior to approaches A.1) and A.2) commencing. A minimum delay of 12 months is expected.
- 2) the use of the cross-sectional study in interviewing immigrants for experiential information has disadvantages (See Section 4.2.3)
- 3) no alternative delivery systems are explored.

Table 20 - Option Two

<u>Approach</u>	<u>Cost</u>
A. Settlement Needs: Definition of Settlement	
1) Correlation of program and client data	\$ 44,550.
2) Interviews with immigrants using ISAP files	33,925.
a) cross-sectional	
3) Interviews with immigrants drawn from Census areas	37,275.
a) cross-sectional	
4) Total population control group surveys	4,800.
a) existing data, and	
b) special questions added	
5) Interviews with 'experts'	17,050.
6) Analysis of existing secondary data	7,400.
B. Program Effectiveness	
1) Analysis of Component and program objectives in reference to settlement definition (see above)	5,600.
a) review documentation, and	
b) interviews with 'experts' as part of A.5)	
C. Program Structure and Delivery	
1) Evaluation of efficiency	39,900.
a) review documentation, and	
b) interviews with 'experts'	
2) Evaluation of communications - included above	
D. Financial Control and Administrative Consistency	
1) Feasibility study of computerizing AAP accounts	-
2) Audit of administrative procedures for financial control (internal audit staff)	8,250.
3) Interviews with 'experts' on operational procedures	3,600.
a) as part of C.1)	
Total Cost *	\$202,350.

* A cost has not been projected for the feasibility study of computerizing AAP which is presently underway.

Work under this option should be staged as follows:

<u>Order</u>	<u>Time Frame to Complete Work</u>	<u>Approaches/Contract Packages</u>
		D.1) (underway)
1	4 months	C.), C.2), D.3a)
2	2 months	D.2) (internal staff used)
3	8 months	A.2), A.3), A.4), A.6)
4	4 months	A.1)
5	3 months	A.5), B.1)

5.3 Option Three

For this option, all of the approaches are implemented. Interviews with immigrants are conducted as a cross-sectional study with the subsequent longitudinal study of a smaller sub-sample. This is the most comprehensive evaluation plan recommended. The limitations of this approach are cost, at \$319,850., and time, particularly as it concerns the longitudinal study of immigrants.

The appropriate staging of work is as follows:

<u>Order</u>	<u>Time Frame to Complete Work</u>	<u>Approaches/Contract Packages</u>
		D.1) (underway)
1	4 months	C.1), C.2), D.3a), D.4a)
2	2 months	D.2) (internal staff used)
3	8 months + longitudinal study over three years	A.2), A.3), A.4), A.6)
4	4 months	A.1)
5	3 months	A.5), B.1)
6	3 months	C.3)

5.4 Recommendations

Of the three evaluation options presented, Option Two is recommended. As Table 21 indicates, Option Two addresses 26 evaluation questions from all issue areas. It provides a reliable examination within a time frame and costs considered acceptable.

Table 21

Summary of Evaluation Options

<u>Option</u>	<u>Scope of Evaluation</u>	<u>Estimated Cost</u>	<u>Estimated Time Frame (months)</u>
One	<u>Minimum</u> - surface examination at acceptable levels of reliability only; addresses 26 evaluation questions from four issue areas	\$113,325.	12
Two	<u>Medium</u> - a comprehensive and reliable examination of 26 questions from the four issue areas	\$202,350.	21
Three	<u>Maximum</u> - a detailed examination of all issues and questions (32)	\$319,850.	24 plus longitudinal study over three years

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APPENDIX A

Legislative References
for Immigration Program

Schedule A-1 - Admissible Classes

The following are admissible classes whose admission is provided for under the immigration legislation:

1) Family Class

Anyone who is at least 18 years of age and is a Canadian citizen or permanent resident residing in Canada, may sponsor certain close relatives in the family class. Relatives eligible under this class include the sponsor's spouse; unmarried children under the age of 21; parents or grandparents 60 years of age or over, (Canadian citizens over 18 years of age may sponsor parents of any age); parents or grandparents under 60 years of age who are widowed or incapable of working; unmarried orphan brothers, sisters, nephews, nieces, or grandchildren under the age of 18 years; and a fiancé(e). Others eligible include: any child under the age of 13 years who is an orphan, abandoned child, or child placed with a child welfare authority whom the sponsor intends to adopt; or one relative, regardless of age or relationship to the sponsor, if the sponsor has no close relatives living in Canada and cannot otherwise sponsor anyone.

2) Convention Refugee and Designated Classes

A convention refugee is a person who by reason of a well-founded fear of persecution for reasons of race, religion, nationality, membership in a particular social group or political opinion is:

- a) outside the country of his/her nationality and is unable or, by reason of such fear, is unwilling to avail himself/herself of protection of that country; or
- b) not having a country of nationality, is outside the country of his/her former habitual residence and is unable or, by reason of such fear, is unwilling to return to that country.
- c) a designated class person is one who is a member of a class designated by the Governor in Council in accordance with Canada's humanitarian tradition in respect of the displaced and persecuted.

3) Independent and Other Immigrants

This class includes assisted relatives, retirees, entrepreneurs, the self-employed, and other independent immigrants applying on their own initiative.

- a) Assisted relatives are people, other than members of the family class, who have kin in Canada willing to help them get established here. Relatives eligible to apply under this category include the Canadian resident's brothers and sisters, parents and grandparents, children and grandchildren, aunts and uncles, and nieces and nephews.
- b) An entrepreneur is a person who intends to buy or buy into business in Canada that employs or will employ more than five Canadian citizens or permanent residents, and participate in the daily management of that business.
- c) A self-employed person, is someone who intends to establish a business that will employ five or fewer Canadian residents, or who will contribute to the cultural and artistic life of Canada.
- d) A retiree is a person of at least 55 years of age and who has no intention of working in Canada.

4) Ongoing Refugee Program

Canada's ongoing refugee program operates continuously around the world. This program is aimed at persons who:

- a) come within the convention refugee definition (see 2) above);
- b) are unlikely to be voluntarily repatriated or locally resettled; and
- c) would be able to establish themselves successfully in Canada, taking into account any assistance available from governments and other sources.

Schedule A-1(cont'd.)

5) Handicapped Refugee¹ Program

Canada has agreed to consider applications from handicapped refugees and their families. The acceptance of handicapped refugees requires the concurrence of the appropriate authorities of the province of destination. This program is directed towards persons who:

- a) come within the convention refugee definition (see 2) above) or are members of a class designated by the Governor in Council; (see 2 c) above)
- b) suffer from some disability which may or may not require treatment in Canada; and
- c) are capable of eventual self-sufficiency.

6) Sponsorship by a Group or Organization

- a) Sponsorship enables groups to express their concern for refugees in concrete terms. It is designed to supplement other services aimed at facilitating the refugee's social and economic integration into the community.
- b) Groups and organizations in Canada are encouraged to undertake to provide basic assistance in the form of accommodation, clothing, food, and counselling to refugees and designated classes. Groups may sponsor either named individuals or unnamed individuals. The organizations are responsible for one year.
- c) Persons who are sponsored by a group or organization must meet the eligibility criteria established for convention refugees or designated classes. The visas officer, taking into consideration the additional assistance available to them, must be satisfied that they will be able to establish themselves successfully in Canada.

¹ Handicapped refugees are eligible for transportation costs (see 16.16) on a non-recoverable basis for themselves and dependants. If the person handicapped is one of the dependent members of a family only that person's transportation cost is non-recoverable.

Schedule A-2 - Identification of Refugee and Designated Classes

REFUGEES

- CR1 Convention refugee without family class sponsorship, assisted relative undertaking, or sponsorship by group or organization under Refugee Sponsorship Program.
- CR2 Convention refugee with family class sponsorship (IMM 1009 or IMM 1298 completed and signed) or assisted relative undertaking (IMM 1010 or IMM 1298 completed and signed).
- CR3 Convention refugee selected under the Refugee Sponsorship Program pursuant to a sponsorship by a group or organization in Canada.
- CR4 Convention Refugee with sufficient funds so that government financial assistance under the Adjustment Assistance Program should not be required during the initial settlement period and generally, with sufficient proficiency in the prevailing official language to not warrant language training. (See 16.05 4)b)).
- CR5 Convention refugee selected with special needs or handicapped, including unaccompanied minor.

DESIGNATED CLASSES

- DC1 Member of a Designated Class without family class sponsorship, assisted relative undertaking, or sponsorship by group or organization under Refugee Sponsorship Program.
- DC2 Member of Designated Class with family class sponsorship (IMM 1009 or IMM 1298 completed and signed) or assisted relative undertaking (IMM 1010 or IMM 1298 completed and signed).
- DC3 Member of a Designated Class selected under the Refugee Sponsorship Program pursuant to a sponsorship by a group or organization in Canada.
- DC4 Member of a Designated Class immigrant with sufficient funds so that government financial assistance under the Adjustment Assistance Program should not be required during the initial settlement period and generally, with sufficient proficiency in the prevailing official language to not warrant language training.
- This category covers those persons who have sufficient funds to keep self and/or family during initial settlement period, including temporary hotel accommodation upon arrival. At time of selection, their financial circumstances are judged flexibly, taking into account the head of household's occupation, family size and final destination. These persons will normally have in their possession at time of entry \$1500 per independent member of family unit or \$3000 per independent adult. (See 16.05 4)b)).
- DC 5 Member of a designated class, immigrant with special needs or handicapped, including unaccompanied minor.

Schedule A-3 - Immigration Regulations, 1978

Transportation Loans and Assistance Loans

45. (1) The Minister may make transportation loans to immigrants and to persons who are

(a) Canadian citizens or permanent residents residing in Canada who have made an application to the Minister for financial assistance to obtain, for dependants who are seeking landing, transportation to Canada and transportation from their port of arrival to their place of destination in Canada;

(b) seeking landing and are in possession of a permit; or

(c) Convention refugees or members of a class of persons designated pursuant to paragraph 115(1)(d) of the Act who are in Canada, are seeking landing and have made an application to the Minister for financial assistance to obtain, for dependants who are seeking landing, transportation to Canada and transportation from their port of arrival to their place of destination in Canada.

(2) The Minister may make assistance loans to permanent residents, Convention refugees and persons who are lawfully in Canada and seeking landing.

46. (1) Where a loan is made to a person pursuant to section 45, it shall, subject to section 47, be repaid in full by consecutive monthly instalments commencing

(a) in the case of a transportation loan, on the first day of the month following the month in which the person for whose benefit the loan was made arrives in Canada; and

(b) in the case of an assistance loan, on the first day of the month following the month in which the proceeds of the loan are paid to or for the benefit of that person.

(2) A loan made to a person pursuant to section 45 is, subject to section 47, repayable

(a) where the amount of the loan is \$500 or less, during a period of twelve months,

(b) where the amount of the loan is more than \$500 but less than \$1000, during a period of twenty-four months, or

(c) where the amount of the loan is \$1000 or more, during a period of thirty-six months,

commencing on the day on which the first monthly instalment is payable.

(3) Where the employer of a person to whom a loan is made pursuant to section 45 is willing to institute repayment of the loan by means of a payroll deduction scheme, the Minister may require repayment by such means.

47. (1) Where a loan is made pursuant to section 45 to a Convention refugee or to a member of a class of persons designated pursuant to paragraph 115(1)(d) of the Act, an immigration officer may defer commencement of repayment of the loan for a period not exceeding twenty-four months if, in his opinion, earlier commencement of repayment would result in undue hardship to that person or his dependants in Canada.

(2) Where a loan is made pursuant to section 45 to a person not referred to in subsection (1), and that person satisfies an immigration officer that by reason of his income, assets and liabilities he cannot reasonably repay the loan in accordance with the requirements of section 46, the immigration officer may defer payments or extend the period of time during which payments are to be made for a period of not more than six months.

48. (1) Where a loan is made pursuant to section 45 to a person not referred to in subsection 47(1), the loan shall, subject to subsection (2), bear interest at a rate equal to the rate established by the Minister of Finance for loans made by that Minister to Crown corporations and in effect on the first day of January of the year in which the loan was approved, computed from the first day of the month following the day

(a) on which that person arrives in Canada, in the case of a transportation loan; or

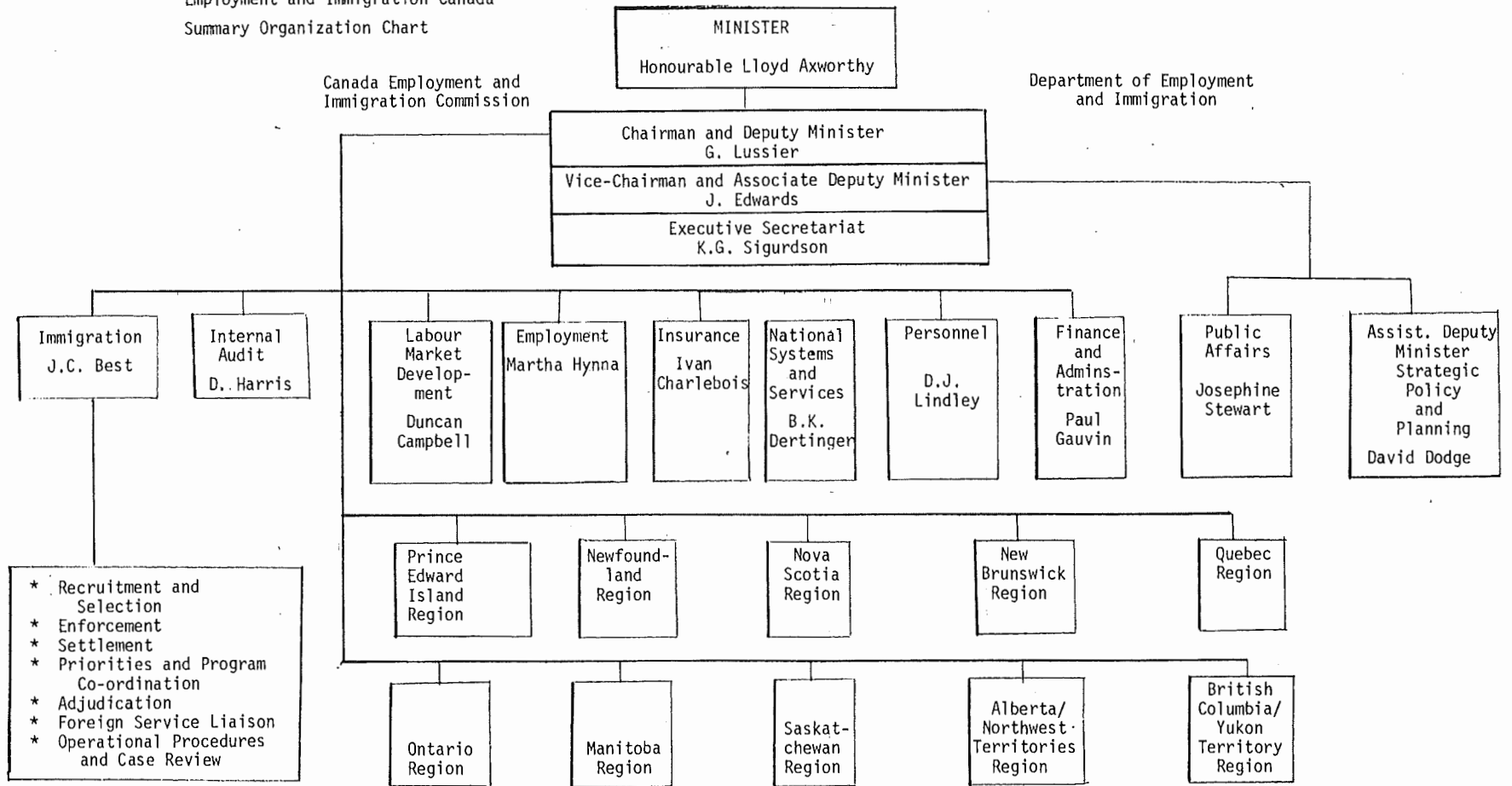
(b) on which the proceeds of the loan were advanced, in the case of an assistance loan.

(2) Where a loan is made pursuant to section 45 to any person who has previously obtained a loan under that section that has not been repaid, the loan shall bear interest at a rate equal to the rate of interest payable on the loan that was previously obtained. SOR/79-240, s. 7.

APPENDIX B
Organizational Structures
of CEIC and Settlement
Branch

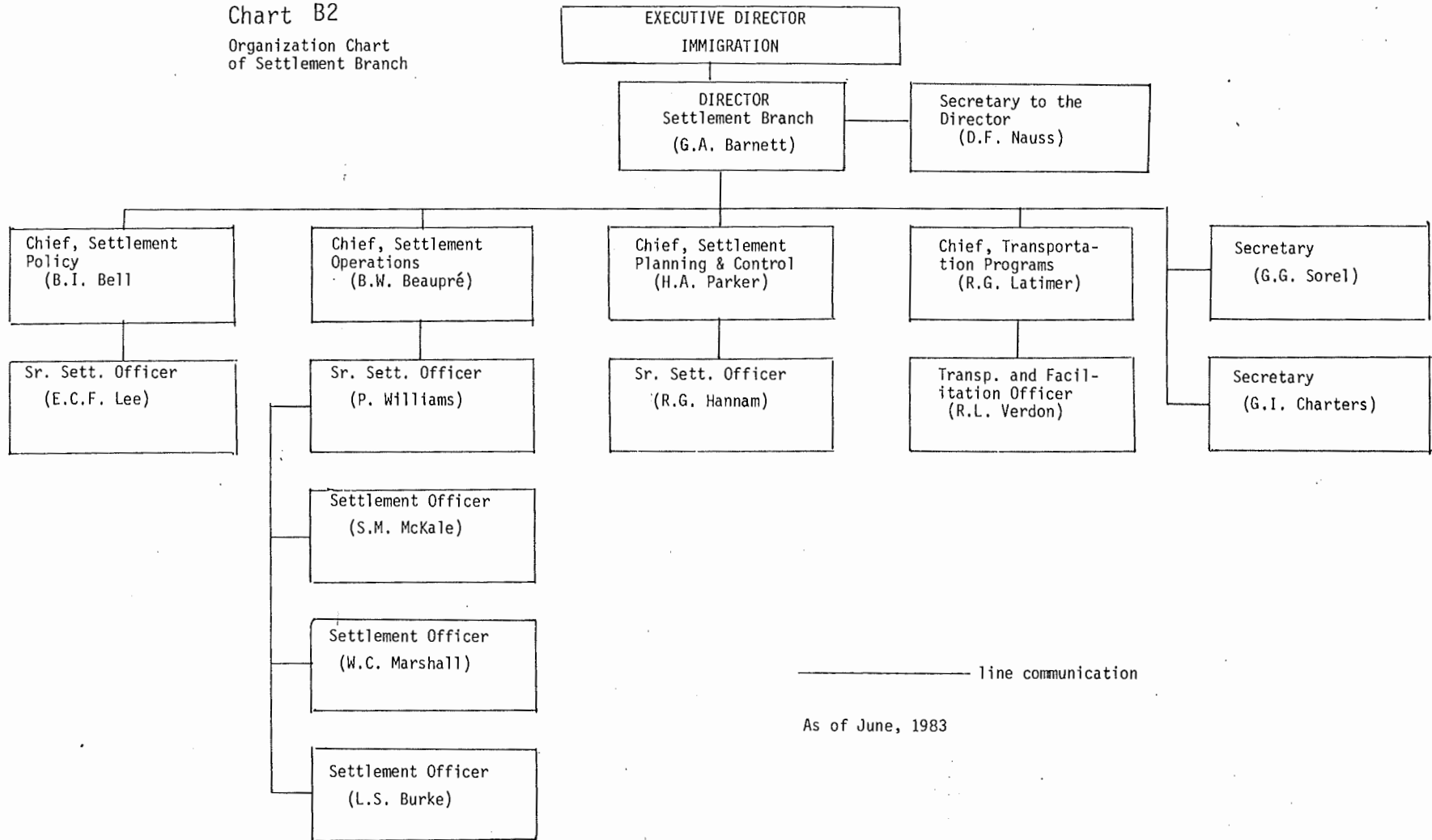
Chart B1

Employment and Immigration Canada
Summary Organization Chart



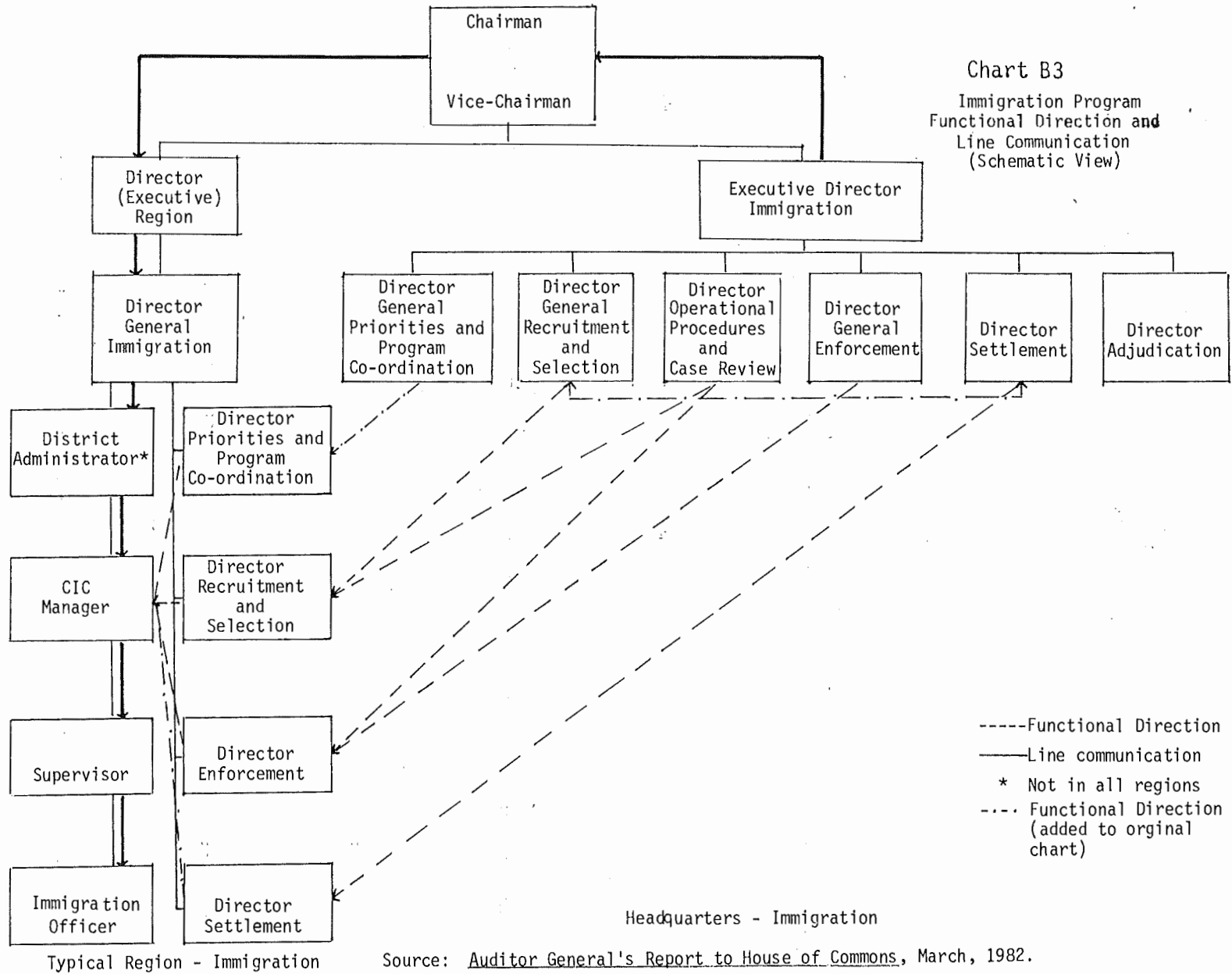
As of June, 1983

Chart B2
 Organization Chart
 of Settlement Branch



————— line communication

As of June, 1983



Source: Auditor General's Report to House of Commons, March, 1982.

Appendix C

Supplements to
Methodological Approaches

Table C-1 - SELECTED LIST OF STUDIES ON IMMIGRANT SETTLEMENT AND ADAPTATION

<u>Date of Data Collection</u>	<u>Title of Study and Geographic Area Covered</u>	<u>Author(s)</u>	<u>Date of Publication</u>
1969	Economic Adjustment of Refugee Immigrants in Canada (Hungarian Refugees in Metro Toronto)	Klaus Weiermair	1971
1970	Economic Effects of Language Training to Immigrants: A Case Study (Toronto)	Klaus Weiermair	1972
1970	Multivariate Analysis of Immigrant Adaptation (Male household heads in Metropolitan Toronto)	J. Goldlust and A. H. Richmond	1974
1970	Aspects of the Absorption and Adaptation of Immigrants (Canada, Calgary, Edmonton, Toronto)	A. H. Richmond	1974
1969-72	Three Years in Canada: First Report of the Longitudinal Survey on the Economic and Social Adaptation of Immigrants (Canada)	Department of Manpower and Immigration	1974
1971	Immigration and Unemployment	J. Clodman and A. H. Richmond	1981
1969-74	Measures of Immigrant Adaptation of Successive Waves of Immigrants who Arrived 1969-74 (Canada)	Manpower and Immigration	1975
1974	Return Migration from Canada	C. Motuz	1976
1976	Adjustment and Economic Experience of Immigrants in Canada: 1976 Longitudinal Survey of Immigrants	M. Ornstein and R. Sharma	1981
1977	Labour Market Experiences of Recent Immigrants in Canada (Toronto)	C. Bogue, S. Shakeel and F. Siddique	1979
1979	Ethnic Inequality and Segregation in Jobs (Toronto)	J. G. Reitz, L. Calzavara and D. Dasko	1981

Table C1 (continued)

<u>Date of Data Collection</u>	<u>Title of Study and Geographic Area Covered</u>	<u>Author(s)</u>	<u>Date of Publication</u>
1980	Immigrant Needs in Metropolitan Toronto	R. D. Sharma	1981
1980	Perceived Difficulties of Foreign-born Population and Services of Agencies, Metro Toronto Survey, 1980	R. D. Sharma	1981
1980	A Multivariate Analysis of Difficulties Reported by Long-Term Third World and Non-Anglophone European Immigrants in Toronto Three Years or More	R. D. Sharma	1981