Indian Residential Schools Resolution Canada | Résolution des questions des pensionnats indiens Canada

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COMMON EXPERIENCE PAYMENT

PROCESS & VALIDATION

February 3, 2007

Acronyms

AP	Advance Payment
ATS	Administrative Tracking System (SADRE interface developed for CEP)
CARS	Computer-Assisted Research System
CAS	Children's Aid Society
CEP	Common Experience Payment
CGCIS	Common Grants & Contributions Information System (a Service Canada database)
DOJ	Department of Justice
DR	Daily Register
IAP	Independent Assessment Process
IRS	Indian Residential School
IRSRC	Indian Residential Schools Resolution Canada
LAC	Library and Archives Canada
NAC	National Administration Committee
PWGSC	Public Works and Government Services Canada
QR	Quarterly Return
SADRE	Single Access Dispute Resolution Encryption (IRSRC Case Management database)
SA	Settlement Agreement
SC	Service Canada
TBD	To Be Determined
TRC	Truth and Reconciliation Commission

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Common Experience Payment – Process & Validation

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1 Executive Summary

For many former students of Indian Residential Schools (IRS), the Common Experience Payment will be their entry point into the services provided by the broader Settlement Agreement. At the heart of CEP is the validation process, where proof of residency at an eligible IRS is confirmed. To ensure that the spirit of reconciliation and healing that is the ultimate aim of the Agreement is reflected in the delivery of the CEP, IRSRC has adopted validation principles to ensure that every eligible applicant receives the correct amount of compensation and that this compensation reaches the intended recipients.

IRSRC and its partners have developed a fair, efficient, cost effective, and timely solution for the delivery of the Common Experience Payment Validation

IRSRC and Service Canada share the responsibility for the delivery of the CEP. The selection of these two federal departments was based on their respective areas of expertise. Service Canada's strengths lie in communicating with the public in order to deliver large federal programs nation-wide through a vast network of service delivery centers, and in the management and distribution of payments. IRSRC's expertise lies in the area of historical and archival research pertaining to the records of the Indian Residential Schools.

Also, important from the applicant community's perspective is the delivery these of services in a seamless fashion. The delivery model outlined below employs each organization's greatest strength and area of expertise.

The validation of the CEP applications poses many complex challenges for IRSRC, namely the sheer volume and service standard requirements. Essential to IRSRC's ability to respond to these challenges is the deployment of the Computer Assisted Research System, or CARS. This expert system was developed in-house at IRSRC for the express purpose of capturing the expertise of a researcher. CARS consistently deploy this expertise at a fraction of the time and cost of manual research. All this, while matching or even exceeding the accuracy of a researcher. This step was necessary in order to meet the anticipated volumes of applications to be received.

IRSRC is implementing a three (3) stage escalating validation process for assessing eligibility of applicants. The CAR System deploys many advanced techniques to enable initial processing of applications. To support this capability, CARS will be supplemented by a team of expert researchers who will manually validate inconclusive or incomplete findings by CARS. This team will also provide the services required for the acquisition of additional information when required.

No effort has been spared in the development of a solution that will form an essential part of the critical healing process, which is the ultimate aim of the Settlement Agreement. Our goal is to provide and deliver a solution that will contribute to a fair and equitable outcome for the former residents of Indian Residential Schools, and to all First Nations people.

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2 Common Experience Payment

The Common Experience Payment (CEP) is a lump-sum payment that recognizes the experience of residing at an Indian Residential School(s) and its impacts. Upon verification, each eligible former student who applies for the CEP would receive $10,000 for the first year or part of a year of residence plus an additional $3,000 for each subsequent year of residence. All former students who resided at a recognized Indian Residential School(s) who were alive on May 30, 2005 will be eligible for the Common Experience Payment. Those eligible include First Nations, Métis, and Inuit former students. It is estimated that there are approximately 80,000 former students who will be eligible to receive CEP. Diagram 2.1 details the application process from receipt to payment or non-approval.

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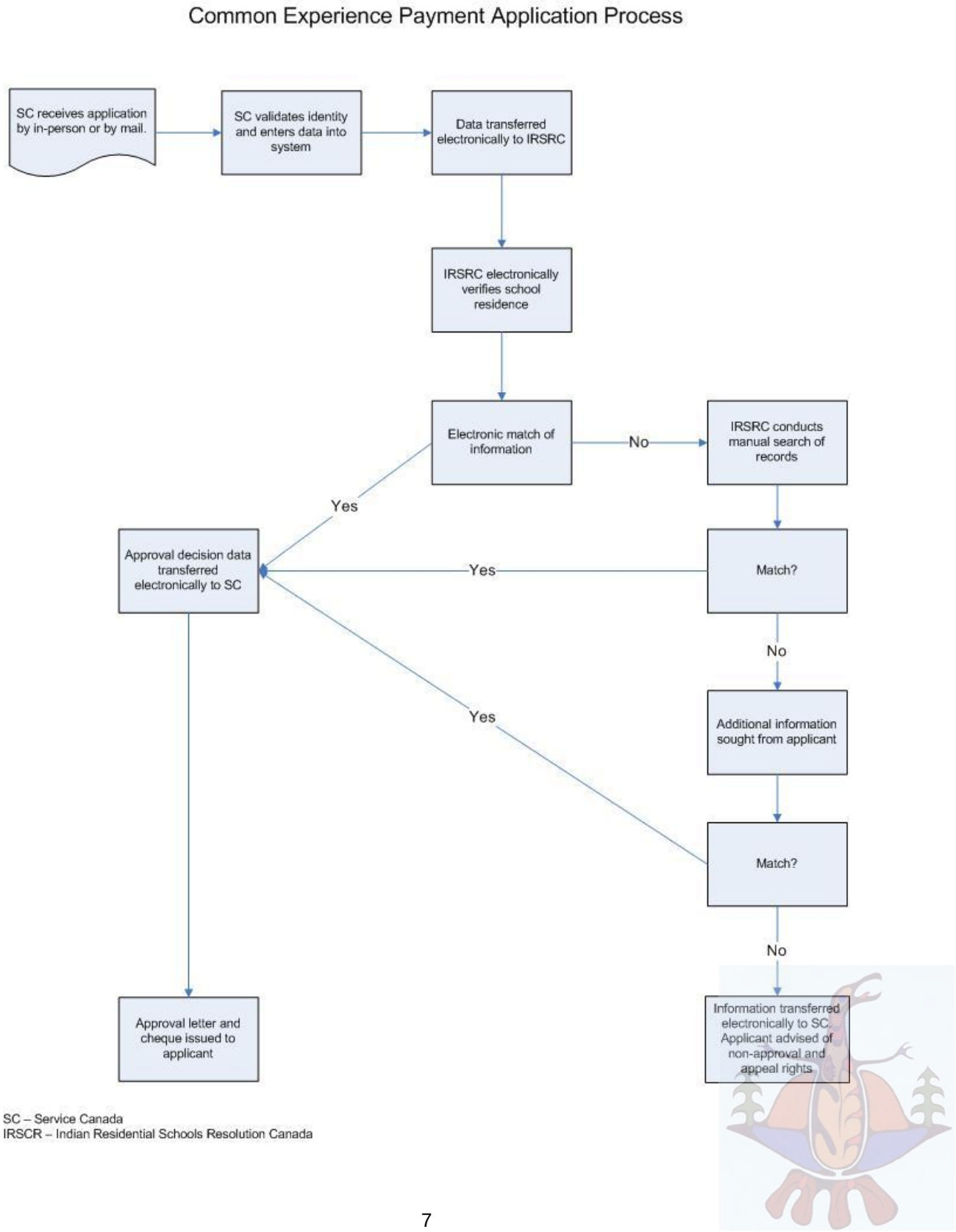
2.1 Diagram Common Experience Payment Application Process



SC – Service Canada
IRSCR – Indian Residential Schools Resolution Canada

3 CEP Process Flow

The process (illustrated in diagram 1) begins with Service Canada (SC) collecting applicant information, confirming its thoroughness and performing a preliminary assessment by verifying the applicant's identity. SC enters the applicants into its Common Grants & Contributions Information System (CGCIS) and transfers the data electronically to IRSRC.

IRSRC is implementing a three (3) stage escalating validation process for assessing eligibility of applicants, illustrated in diagram 2, section 5.. Initial processing of applications will be performed by an automated Computer-Assisted Research System (CARS) (for more information, please see appendix C). In instances where the full record of historical documentation (i.e. all years) is available (currently on the order of 70-76%), the confidence level of the search results is deemed sufficiently high and the risk level sufficiently low, and applications may be validated by CARS without requiring manual involvement. It is anticipated that on the order of up to 65% applications may be validated by CARS.

In up to 35% of instances, incomplete records and complex search results warrant manual review. Complex search results are resolved through an expert-level analysis of the context and content of the information found. Resolution can be accomplished in three ways: interpretation of information contained in existing documentation (e.g. enrolment dates carried forward in latter-year documents), interpolation of small document gaps book-ended by periods that were able to be validated, and acceptance of residence during small gap periods (i.e. fewer years unknown than the number of years for which eligibility was able to be validated). It is anticipated that up to 15% of applications will not be able to be validated at this stage due to the relative size of the document gap (large or complete).

IRSRC intends to seek documentation and/or information from applicants that will enable validation of eligibility during large periods of document gaps. Such supplementation would permit validation at this stage to be performed according to the same standards used for stage 1 & 2 validation. Information provided by applicants would be validated against time-specific information known about each relevant school.

IRSRC will also quality assure a random sample of all CEP applications to ensure the accuracy of the CEP research process and results. The files to be quality assured will be randomly selected by SADRE and verified prior to forwarding findings to Service Canada. The planning assumption for the sample amount is set at 10% of all applications but will be raised or lowered based on a more detailed statistical analysis to ensure the correct validation sample.

Applicants will always have recourse to an appeal process through the NAC in instances where they are dissatisfied with the results.

The methodology proposed provides for 100% validation and accommodates cases where there are incomplete records involved. As IRSRC recovers more documentation, fewer applications will require escalated stages of research.

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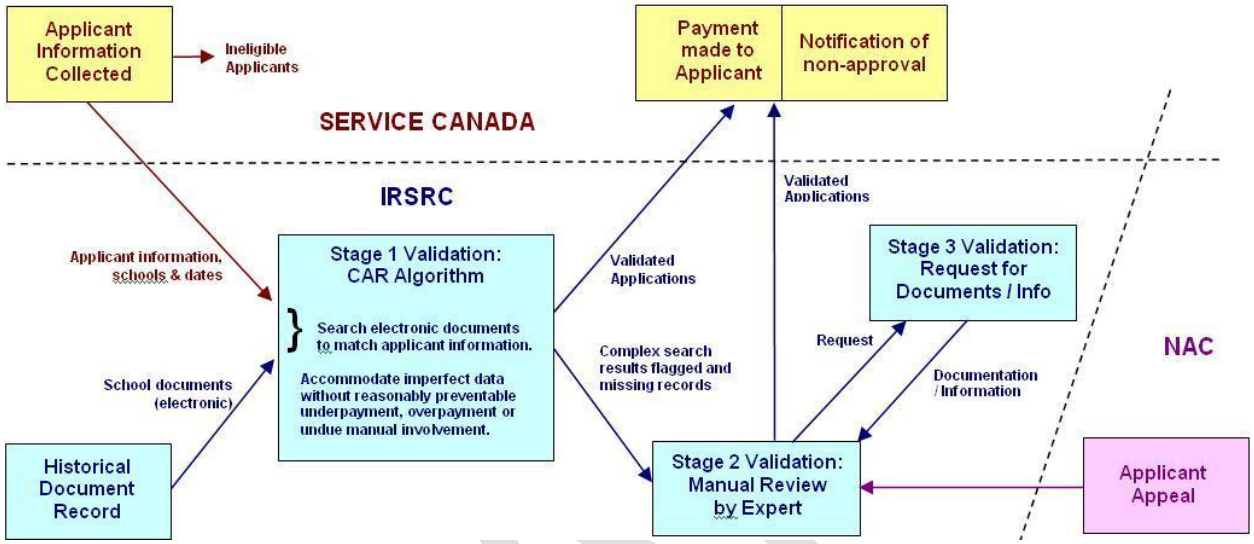
3.1 Diagram 1 - CEP Process Flow



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4 CEP Validation Principles

In support of the overarching aim of reconciliation, the goal of Canada is to ensure that every eligible applicant receives the correct amount of compensation and that this compensation reaches the intended recipients. At the same time, validation must be fair, objective, timely, and practical, minimize the onus placed on applicants, efficient, and executed with a minimum of errors.

The principles by which CEP validation will be conducted are as follows:

1. **Validation is intended to confirm eligibility, not refute it;**

2. **Validation must accommodate applicants providing imperfect or incomplete information;**

   (IRSRC does not expect applicants to remember their exact dates of residence and have developed mechanisms to accommodate this factor)

3. **Validation must be based on objective information;**

   (IRSRC can only validate based on documentary records)

4. **Inferences may be made based on the totality of the objective information;**

   (Wherever possible, IRSRC would like to give the applicant the benefit of doubt. For example, in cases where an applicant has asked for 8 years but we can only validate for 7 due to incomplete records, IRSRC would like to infer that the applicant was resident during that year)

5. **If information is ambiguous, interpretation should favour the applicant; and,**

   (If the information contained in the documents is ambiguous or unclear, the documents will be interpreted however best favours the applicant)

6. **The omission of an applicant's name on a list comprising all residential students in a given year at a particular school will be interpreted as confirmation of non-residence that year**

   (In cases where IRSRC has complete student lists for a given school year at a particular school that the applicant should have appeared on if they were resident at that school, IRSRC will take this as confirmation of non-residence for that school year).

In addition to the process offered by IRSRC and SC, all applicants will have the opportunity to appeal the decisions rendered by IRSRC and SC if they are dissatisfied with the outcome of their application.

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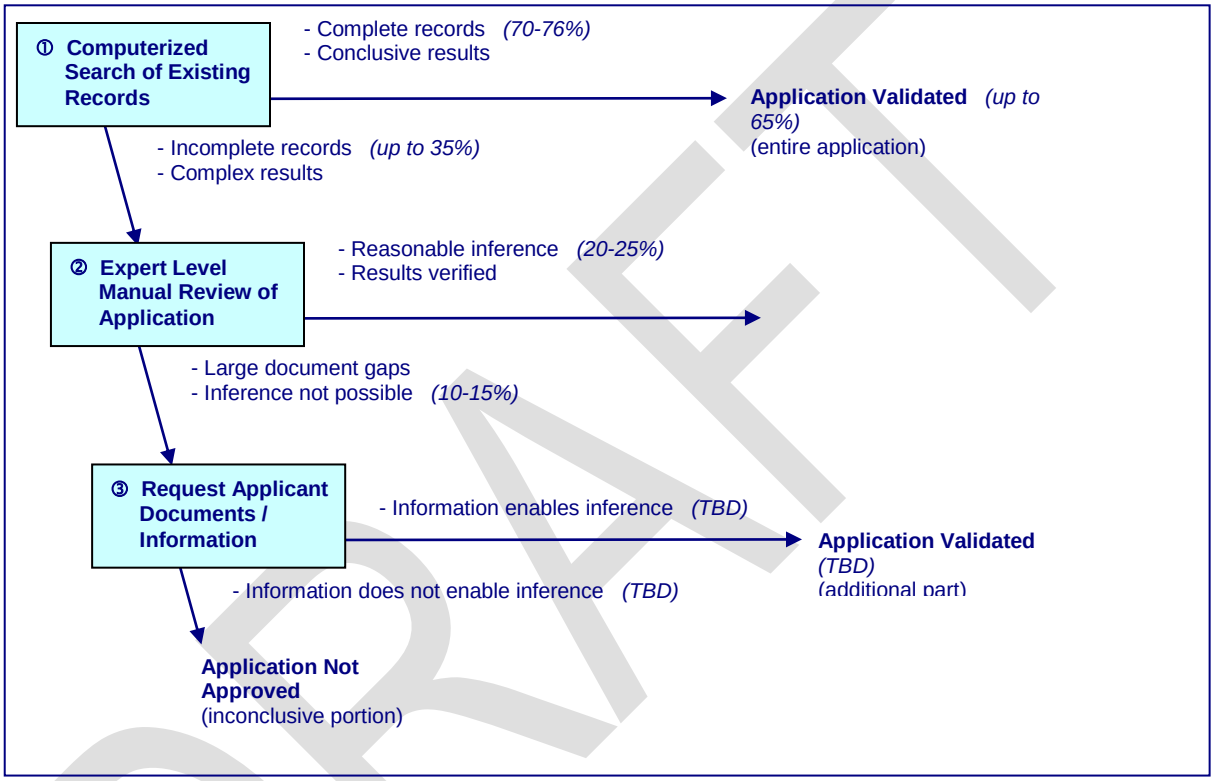
5 CEP Validation Process

5.1 Diagram 2 – CEP Validation Process



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CEP Research Process

5.2 Definition of Terms

Primary Documents: Documents are considered primary if the document was created for the purposes of being a complete list of all residential pupils and subject to audit by the federal government. These documents are Quarterly Returns and Enrolment Returns. Quarterly Returns (QRs) are the best documents to confirm residence. They were a comprehensive list of all (status) students that resided at the school, and as such, they are the primary documents used for approval of payment. They were filed for calendar quarters ending on March 31st, June 30th, September 30th and December 31st. They listed the students who were in residence in order to get the per capita grants given to Indian Residential Schools. Usually, the students are listed with their registration number, their band and date of birth; often, their date of admission is also noted. Effective September 1971, Enrolment returns replaced the Quarterly Returns, they were issued twice a year, in March and September, but had essentially the same purpose. When sample testing was done, it was observed that 99.93% of all students who were in residence were found on primary documents. Former students who have indicated that that they were non-status, or attended Northern schools, will be given special consideration, as their resident status may not have been reported in the same manner (for example, QRs did not include non-status pupils).Records are considered to be complete if there are full QRs or ERs for all the years the applicant requests.

Some Quarterly Returns also list day school students (or students that received lunches at the IRS), but they are identified separate from the resident pupils, as no per capita grant was payable for day school students.

Ancillary Documents: All other student records that are not considered primary. Ancillary documents can be used in Stage 2 or Stage 3 to confirm residence. Ancillary documents need to analyzed for content in order to determine if they can be used to confirm residence. An example of this would be a list of student's who were transported to residential school at the beginning of the school year or a bathing schedule. For a more complete list of these types of documents, please refer to appendix B. At Stage 2 or 3, years can be interpolated, or inferred, by using ancillary documents.

Interpolation: If a document gap occurs between eligible years, the years that fall in the gap period are approved and considered eligible.

Inference: If a document gap occurs before or after eligible years, and the total amount of incomplete years is less than the total amount of eligible years, the years that fall in the gap period are approved and considered eligible.

Eligible Year: An applicant is found on a primary document in stage one, or on an ancillary document which validates residence in stage 2 or 3. An applicant need only be found on one primary or ancillary document confirming residence, to be considered eligible for the year. Eligible years may also be interpolated and/or inferred if applicable.

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Ineligible Year: An applicant is not found on a primary document, where there are complete records for the school year applied for, or an applicant is found not to have been a resident pupil in stage 2 or 3. Interpolation and inferences are not possible

Residence: Residential status is defined as:

- The applicant attended classes at the IRS complex and stayed there at night, or
- The applicant attended a public school but came back in the evening and slept at the IRS/hostel, or
- The applicant went to a federal day school but was residing in a hostel.

Attendance: Attendance is defined as:

- The applicant attended classes at the IRS complex but went home (or elsewhere) in the evening, or
- The applicant attended classes at the IRS, and may have eaten lunch there, but went home in the evening.

5.2.1 Stage One: Computer Assisted Research System (CARS): Electronic Search of Records

- Estimated applications completed at Stage One = 65%

- An ineligible year means conclusive results indicate that an applicant was not found on a primary document when records for the school are complete, or an applicant was found on a primary document but listed as a day pupil or identified as being absent or non-attending. This decision is based upon Validation Principal Number 6, which states, “the omission of an applicant’s name on a list of all residential students in a given year, at a particular school, will be interpreted as confirmation of non-residence that year

- Conclusive results that confirm an eligible year occur when an applicant is found on a primary document, or when residence can be interpolated. . Document gaps that require interpolation between periods for which residence can be confirmed from available documents occurred in 3-4% of our test data. An example would be when an applicant states that they were in residence from 1960 to 1968. We are able to validate residence between 1960 and 1963 and 1967 to 1968. We cannot confirm residence between 1964 and 1966 because of incomplete records. In this instance, CARS will automatically validate the years that fall in periods where records are incomplete. (See Stage1 Eligible Stream, Diagram 3).

- CARS will match document information to applicant information on the following items: last name, first and middle name, student number, date of birth, and age. If the quality of match is unclear, a claim is flagged for manual review. Particularly complex matching issues will also trigger a manual review. An example of a complex matching issue would be where there are multiple dates of birth, inconsistent student numbers, and two potential matches in a given year (See Computer Assisted Research System (CARS) Matching Protocol, Appendix C).

- When CARS has conclusively determined that the totality of the application has no eligible years (**student is not listed as a resident on a primary documents, where primary documents exist for the requested time period**), the application will be sent back to Service Canada (SC), whereby SC will communicate the decision to the applicant

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and provide information regarding the appeal process. (See CEP Process Map: Stage1 Ineligible Stream, Diagram 3)

- Conclusive outcomes are results that occur when there are complete records for each school, and school year, requested by the applicant. Records are deemed to be complete when all primary documents for a year are in our possession.

- If CARS is unable to determine eligibility for any years due to incomplete records, matching issues, or the pupils name is located on an ancillary document that needs to be analysed, the file will be send to Stage 2, Manual Review.

5.2.2 Stage Two: Manual Review

- Estimated applications completed at Stage 2 = 20%

- Research will attempt to validate residence by resolving matching issues, finding ancillary documents that support residence or inferring years of residence based on documents supporting a date of admission. During the manual review process, years may be inferred when the years of residence validated is greater than the years that fall in the period of incomplete records. Research may use ancillary documents in their interpolation and inference. The benefit of the doubt will be given to the applicant based on the totality of information, including interpolating years between validated periods and inferring start and end dates. For example, if an application states residence from 1960 to 1968 and we are able to confirm residence from 1960 to 1965, with incomplete records from 1966 to 1968, we will validate the years 1966 to 1968.

- If all years can be conclusively validated and deemed eligible, the application is sent to SC for payment. (See Stage 2- Eligible Stream, Diagram 3)

- If all years are deemed ineligible, and there are complete records, the application is sent back to SC, whereby SC will communicate the decision to the applicant and provide information regarding the appeal process. (See Stage 2- Ineligible Stream, Diagram 3)

- If, during Stage 2, Manual Review some of the years are deemed to be eligible, but a portion of the years requested fall within the record gaps, more information is required, and the application will be reviewed at Level 3. Eligible years will be sent to SC for payment (See Stage 2 – Eligible Stream, Diagram 3)

- If, during Stage 2, Manual Review, the researcher is unable to determine eligibility for any years, due to incomplete records, the application is passed on the Stage 3 Review, and more information is requested from the applicant.

5.2.3 Stage Three: Review of Additional Information Supplied by Applicant

- Estimated applications completed at Stage 3 = 15%

- When a request for additional information, due to incomplete records, is made, four general questions will be asked of applicants to assist in the validation of their application (clarifying information will be provided in a companion guide). The answers will be assessed against the school's history.

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1) What can you tell us about the buildings and/or property at <<insert school>> where you lived during <<insert years>>?

2) What can you tell us about the people at <<insert school>> where you lived during <<insert years>>?

3) What can you tell us about special events at <<insert school>> where you lived during <<insert years>>?

4) What else can you tell us about <<insert school>> that may help us confirm that you lived there during <<insert years>>?

- Accompanying guidance would be similar to the following:

  What can you tell us about the buildings and/or property at <<insert school>> where you lived during <<insert years>>? For example:

  Were there any major renovations during your time there? Where did you sleep? Where was the bathroom? Can you describe the set-up of your classroom and/or residence? How many grades were taught in the same classroom? What grade were you in at the time?

  What can you tell us about the people at <<insert school>> where you lived during <<insert years>>? For example:

  How many teachers or dorm supervisors were there? Can you name staff members who were there when you were? Was there a prolonged staff absence? Was there a major change in staff? How many other students were in your class or dorm? Can you name any fellow students during the time period?

  What can you tell us about special events at <<insert school>> where you lived during <<insert years>>? For example:

  Did the school open or close late one year? Were there any special visitors? Were there any epidemics, such as a measles outbreak or a student's accident? Was there a big school trip?

  What else can you tell us about <<insert school>> that may help us confirm that you lived there during <<insert years>>*?* For example:

  How did you get to the school? Who took you to school? What did you wear while at the school? Can you describe some of the school clubs or activities when you lived there? Can you describe your schedule for a typical day? Did you have regular chores?

- There will be some flexibility built into the guide to prompt applicants to provide the type of information that can be validated against the documents pertaining to the school's history. This flexibility is required not only to ensure the applicant provides relevant information but also to manage expectations, and minimize the onus placed on the applicant.

- This stage of validation will be focus group tested with partners and interested stakeholders to ensure it are flexible, practical, fair and objective.

- Applicants can send in any documents that they feel may be of assistance to document their residence. Applicants will not be required to search for their student records under

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any circumstances. Instead, if applicants do happen to have documentation, IRSRC will review them with the same level of analysis as records found in government holdings.

- Decision to validate/not validate based on totality of records, as well as information received from applicant. This decision is not contingent on having provided complete answers to all questions, nor is the applicant required to answer all questions. All information provided by the applicant will be assessed in its totality, taking into account incorrect and correct information, while at the same time accommodating imperfect memory.

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6 Documents Provided by Applicants, Which Might Be Used to Confirm Residence

These documents will be examined on a case-by-case basis to evaluate if they can confirm either residence or attendance, depending on the context. These records are reviewed with the totality of findings and contextual knowledge about the school and the applicant's information incorporated into the assessment. Many of the types of records listed have been provided by AP applicants.

- Documents from other government sources, which reference Applicant's place of residence being an IRS (Children's Aid Society records, RCMP records on truancy, Social Services records, etc.)
- Counsellors' monthly reports
- Medical records, physical exams
- Newsletters, yearbooks, journals
- Photographs (sent with enough contextual info on photo or archival description itself [e.g., name of student clearly listed], and always reviewed alongside other documents and knowledge about the school)
- Student records
- School Ledger
- Vocational Class Lists
- Correspondence (from school, government, student, or parents in which date and/or postage is present)
- Class reports
- Transportation Lists
- Contemporaneous secondary source documents (articles from local newspapers)
- Census records
- Band Membership Lists

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7 Criteria Used To Assess Documents Provided by Applicant

Documents provided by applicants will be analyzed on a case-by-case basis. The content of the document is equally important as the type of document provided. There will be some case document reviews that will pose assessment complexities for departmental assessors. For such cases, a process will be established to involve a third party review. Third party reviews of documentation will include a representative from the Aboriginal community. Ultimately, final decisions are within IRSRC's authority. However, it is recognized that a perspective from a third party would be of benefit to all concerned.

The following criteria, though neither exhaustive nor universally applicable, is meant to give an overview of the type of information that will be looked for, in order to assess whether or not the new document will confirm residence for the year(s) in question:

- Does the document speak specifically to residence at the school, rather than just attendance?
- What is the source of the document? Is it an original copy or a certified copy provided by another level of government, Church, or perhaps a Band or Community Repository?
- Does the document list the Applicant's name?
- Does the document list the name of the school?
- Does the document contain a contemporaneous reference to the date?
- If the document was created after the time period it covers, was it created prior to commencement of negotiations for the SA?
- If the document does not specify residence on its own, can it be reviewed in light of school-specific knowledge (e.g. does IRSRC know there were no day pupils at the school, when the document was created) to confirm residence?
- If the document does not specify residence on its own, can it be reviewed in light of information provided by the applicant (e.g. does IRSRC know that the Applicant's home was too far from the school in question to allow for attendance as a day pupil?) to confirm residence?

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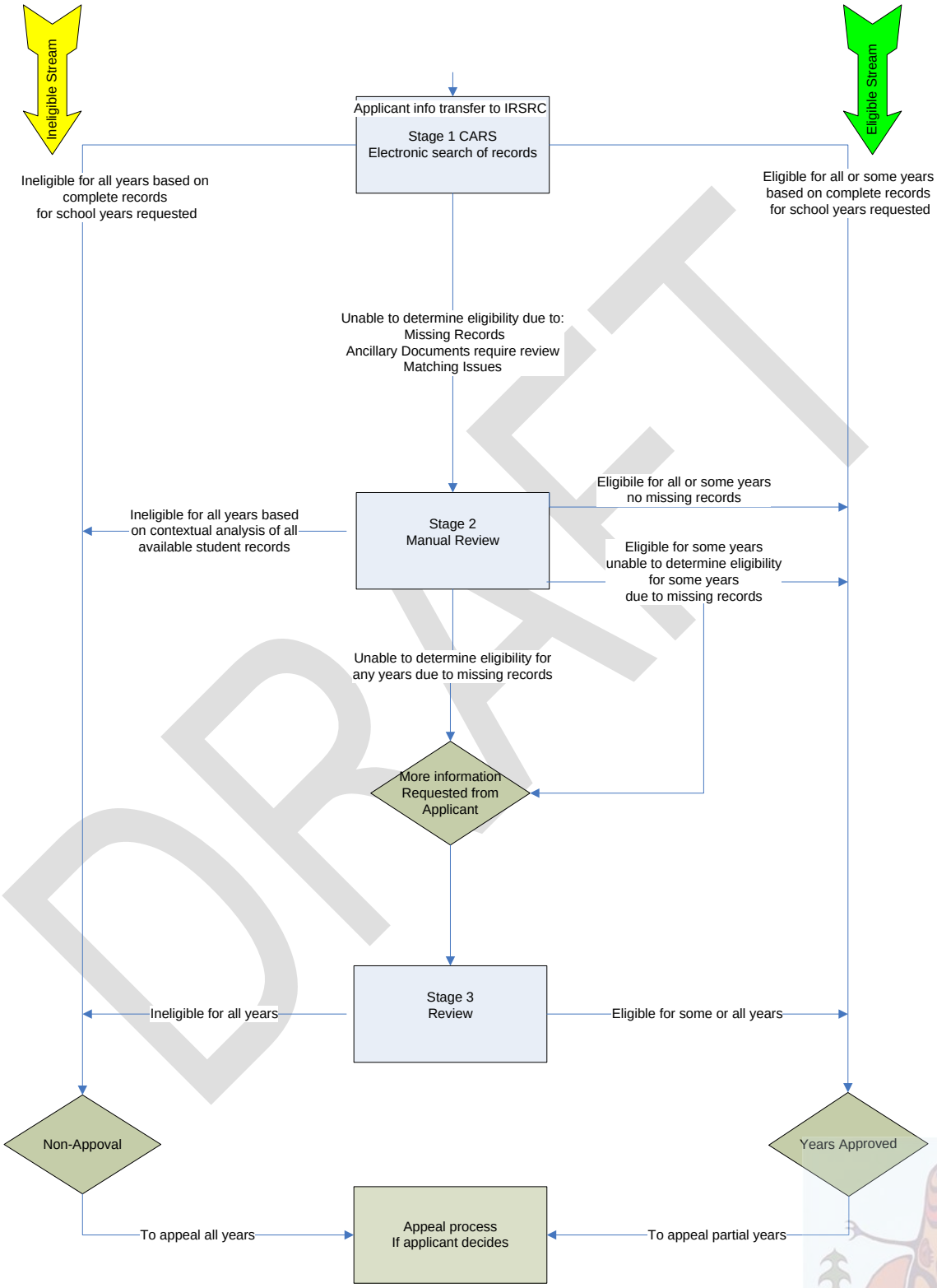
7.1 Diagram 3 - CEP Process Flow



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8 Incomplete Records

A top priority of IRSRC is to have records as complete as possible in order to validate CEP applications as accurately and as efficiently as possible. Student records gaps are defined by years where IRSRC does not have the complete set of primary records for a specific school (defined above). Random sampling has identified incomplete records may be an issue in approximately 25% of all instances. Of this 25%, records were partial 95% of the time, and completely lacking approximately 5% of the time. IRSRC has focused its efforts towards locating documents for the schools with the most incomplete records. Although IRSRC does have ancillary student records for these time periods which may also be used to confirm eligibility, it is IRSRC's preference to complete as many primary records gaps as possible to facilitate the processing of CEP applications. IRSRC has requested assistance from external organizations to obtain additional student records.

8.1 Strategy for Obtaining Additional Student Records

IRSRC has prioritized its acquisition of documents by contacting Church entities in the order of those who ran the largest number of IRS and those schools for which IRSRC have the largest gaps in records. First Nations and external organizations have also been contacted regarding student records. To date, almost all church entities who are signatories to the SA have been contacted and the following activities are presently occurring:

- Church entity archivists are searching their collection inventories and databases
- IRSRC researchers have been granted access to review and copy Church entity collections
- Church entities and other external organizations are copying and sending documents to IRSRC
- Church entities and other external organizations have searched their collections and databases and informed IRSRC that they have no additional student records in their collections

8.2 Previous/Ongoing/Existing Activities

- IRSR has collected copies of non-federal records from church entities, other external organizations and individuals
- Specific communications pertaining to completeness of student records have been made to Churches, First Nations Organizations and other external organizations
- Contribution Agreements to provide funding assistance to church entities regarding specific projects which could result in the discovery of primary and ancillary documents
- Establishment of working group to address incomplete records and best practices (Protestant churches archivists' group, now expanding)
- Many parties to the SA attended the First Historical Documents meeting held January 23 and 24, 2007. Attendees received advice from speakers with South African Truth Commission experience; working groups struck to address the gaps
- Government participation in National First Nations Confederacy Cultural Centres meeting (January 30, 2007)

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8.3 Planned

- Streamlining collective activities to recover student records for CEP and IAP, and organization of general records for TRC; due to the initial litigation/claim resolution focus, IRSRC records are organized for use primarily at the individual level (student or staff person)

*government (IRSR, LAC, DOJ); churches (Anglican, Roman Catholic, Presbyterian and United); First Nations organizations (Assembly of First Nations, Confederacy of Cultural Centres)

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9 Reasons for non-approval

Approval for eligibility is determined on a year-by-year basis. Following a year-by-year analysis, the totality of information is examined for potential interpolation and/or inference. If none of the above are possible, the application may be non-approved. Applicants may also be non-approved if one of the following conditions is found:

- Applicant's name is found on documents but applicant is listed only as day pupil.
- Applicant's name is found on documents; however, residence could not be confirmed. Also, during the years requested by the applicant, the school is known to have had day pupils.
- The applicant applied for a school that is not on the list of federally recognized institutions and the school is not known to have been associated to a school on the list. That is, the applicant was not found in the residential school records associated to the school applied for which the application was made.
- The applicant submitted multiple application forms. The duplicate(s) will not be approved.
- The dates the applicant applied for are not within the operating dates of the IRS.
- The applicant's resident status could not be confirmed due to insufficient/inconsistent information provided by the applicant in stage 3.

10 Threshold for closing file

In cases where IRSRC is able to conclusively determine that the totality of the application has no eligible years, that decision will be transmitted to Service Canada (SC), whereby SC will communicate the decision to the applicant and provide information regarding the appeal process.

If records provided by the applicant prove to be insufficient to confirm residence (or if they confirm attendance only), or the additional information about the applicant's stay at the IRS proves to be insufficient to confirm residence, the file will be closed.

However, the file may be re-opened at any time during the operational course of the CEP, should new documentation or information be made available to IRSRC that will confirm residence. Cut off date for receipt of new records and/or information from applicants, TBD.

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11 IRSRC Research Capacity to Process Volume

Based on AP experience, it is anticipated that as many as 80% of CEP applications may be received in the first six (6) weeks following implementation date.

If 80% of the anticipated 80,000 applications are received in the first 6 weeks, IRSRC will receive up to 64,000 applications for validation of IRS school experience.

Of these, it is anticipated CARS will electronically validate up to 65% (41,600) of the applications (stage 1 described above). The remaining 35% (22, 400), will be forwarded onto IRSRC subject-matter experts to manually review the application (stage 2 noted above). IRSRC anticipates having approximately 285 resources engaged on a contractual basis, 265 of which will manually research each of these applications. It is anticipated that each researcher will be able to validate an average of three (3) applications per day. Therefore, with all resources engaged full-time, IRSRC will be able to validate an average of 795 applications each day. To review all 22,400 applications, IRSRC will require an estimated 28 days.

It is estimated that up to 12,000 applications will not be resolvable by manual review due to incomplete records. In these cases, applicants will be asked to provide more information to assist IRSRC in validating their application (stage 3 described above). IRSRC expects to have the remaining 20 of 285 resources (those who possess significant school-specific knowledge) engaged full-time to validate these applications. The information provided by the applicant will be assessed against all historical documentation IRSRC has available. Due to the complexity of evaluating these applications, it is anticipated that each resource will be able to validate two (2) applications per day. As the resources complete the manual review of applications (noted above) they will move onto this level of validation as the information provided by applicants becomes available.

IRSRC will also quality assure a random sample of up to 10% of all applications to ensure the accuracy of research validation. This percentage will be adjusted either up or down based on a more detailed statistical analysis. Initially, IRSRC will commit another 19 resources to conduct this analysis. IRSRC estimates each resource will be able to confirm the findings of 12 applications each day. If 10% is maintained for the duration of the CEP, this entire process will require an estimated 35 days.

To ensure appropriate service standard times are met, IRSRC resources will work seven (7) days per week in our Ottawa and Vancouver offices and extra shifts may be added depending on workload. It is noted that exceptional cases may require additional time. Engaging contractual resources for much of this effort affords greater flexibility in increasing or decreasing capacity as required. IRSRC is in discussions with PWGSC to ensure that of the 285 resources engaged on a contractual basis, as many Aboriginal people as possible are provided with the opportunity to carry out this work.

See also appendix D.

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12 Appendix A: CEP Application Form

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APPLICATION FOR COMMON EXPERIENCE PAYMENT FOR FORMER STUDENTS WHO RESIDED AT INDIAN RESIDENTIAL SCHOOL(S)

ESTATE If you are applying for a person who died after May 30, 2005 or for someone who resided at Mohawk Institute who died after October 5, 1996 (please use form XXX).

1. IDENTIFICATION ☐ Mr ☐ Mrs ☐ Miss ☐ Ms		**Language Preference** ☐ English ☐ French
First Name	Middle Name (if applicable)	Last Name

NAME(S) BY WHICH YOU WERE KNOWN AT RESIDENTIAL SCHOOL
Please provide all name(s) (including name at birth) and common alternate spellings and nicknames (example: Celina, Lena).

First Name(s)	Middle Name(s) (if applicable)	Last Name(s)

Full Names of mother, father and/or guardian/caregiver while you attended residential school
(Guardians may be traditional adoptive parents, extended family or members of your community)
Providing this information is not required for eligibility but may help us in validating your school experience.

Mother (maiden birth/name) First Name _____ Last Name _____
Father First Name _____ Last Name _____
Guardian First Name _____ Last Name _____
Relationship of guardian/caregiver to you (for example, aunt, grandmother, friend, etc) _____

2. MAILING ADDRESS (No., Street, Apt., R.R.) City

Province or Territory	Country	Postal Code	Telephone number
			( ) –

3. DATE OF BIRTH (PROOF OF AGE REQUIRED, SEE PAGE 4)

DAY / MONTH / YEAR / PROVINCE OF BIRTH

PLEASE INDICATE WHICH GROUP YOU BELONG TO PRESENTLY:

☐ Status Indian ☐ Non-Status Indian ☐ Métis ☐ Inuit/Inuvialuit ☐ Non-Native

PLEASE INDICATE WHICH GROUP YOU BELONGED TO AT A RESIDENTIAL SCHOOL:

☐ Status Indian ☐ Non-Status Indian ☐ Métis ☐ Inuit/Inuvialuit ☐ Non-Native

For assistance from the National Survivors Support Line, 24 Hours, 7 Days a week
please call 1-866-925-4419

4. INDIAN RESIDENTIAL SCHOOL(S) AT WHICH YOU RESIDED

Please tell us, to the best of your recollection, about all of the schools at which you resided. You will need to indicate the number of your school(s) from the approved list on Page 6-10 and tell us when you started and when you left. If you left the school for a period of time (other than for vacation and/or holidays), then later returned to the same school, please list this as a seperate school.

School # ☐ Lived in residence: ☐ From ____/____ (Month or Season / Year) To ____/____ (Month or Season / Year)

School # ☐ Lived in residence: ☐ From ____/____ (Month or Season / Year) To ____/____ (Month or Season / Year)

School # ☐ Lived in residence: ☐ From ____/____ (Month or Season / Year) To ____/____ (Month or Season / Year)

School # ☐ Lived in residence: ☐ From ____/____ (Month or Season / Year) To ____/____ (Month or Season / Year)

☐ If you resided at more than four Indian Residential Schools, please provide the information on an additional page.

If you couldn't find the name of your school on the approved list, write the name here _____

City/Community and Province/Territory in which the school was located _____ / _____

Resided at: ☐ From ____/____ (Month or Season / Year) To ____/____ (Month or Season / Year)

Because you resided at a school that is not on the approved list, you may not receive any payment for the years that you resided at that school. We will verify your application and let you know as soon as possible.

5. IF YOU WOULD LIKE DIRECT DEPOSIT *(In Canada Only)*

Do you want your Common Experience Payments deposited into your account at a financial institution?

○ No

○ Yes (Complete this section)

If you have a Chequing Account, please attach an unsigned personalized cheque. Write the word "VOID" on the front of the cheque.

OR

If you have a Savings Account, complete the boxes below (you may wish to contact your financial institution to obtain this information):

Branch Number | *Institution Number* | *Account Number*

Name(s) on the account

Telephone number of your financial institution

For assistance from the National Survivors Support Line, 24 Hours, 7 Days a week
please call 1-866-925-4419

PROOF OF AGE AND IDENTITY REQUIREMENTS FOR QUESTION 3

IDENTITY DOCUMENTS

1. You must submit your original Birth Certificate with your application form. If you mail your application, your birth certificate will be returned to you.

2. If you do not have an original birth certificate, we recommend that you visit an Outreach or Service Canada centre and you must present two (2) of the following documents, one of which must have a photograph:

   * Certificate of Indian Status (issued by Indian and Northern Affairs Canada);
   * Provincial/Territorial Driver's Licence;
   * Provincial/Territorial Health Card;
   * Canadian Passport;

3. For mail in applications where an original birth certificate is not available, you must submit a certified copy of at least two (2) of the documents. Your original documents must be presented to an individual who will certify that these documents pertain to your identity. This person must be a Canadian citizen residing in Canada, must be available to Service Canada for verification and must have known you personally for a minimum of two years.

   Please note that you cannot certify a copy of your own documents.

   The following can certify your documents and must include their name, position and date certified on the certified copy:

* Chief or councillor of an Indian Band or First Nation
* Council of the MÈtis Settlements General Council and Members of the Saskatchewan Provincial Métis Council
* Dentist
* Geoscientist
* Judge
* Lawyer (member of a provincial bar association), notary in Quebec
* Magistrate
* Mayor
* Medical doctor
* Minister of religion authorized under provincial law to perform marriages
* Notary public
* Optometrist
* Pharmacist
* Police officer (municipal, provincial or RCMP)
* Postmaster
* Principal of a primary or secondary school
* Professional accountant (APA, CA, CGA, CMA, PA, RPA)
* Professional engineer (P.Eng., Eng. in Quebec)
* Senior administrator in a community college (includes CEGEPs)
* Senior administrator or teacher in a university
* Social Worker with MSW (Master in Social Work)
* Veterinarian

I consent to Service Canada assisting me in establishing my identity in applying for the Common Experience Payment ❑ (please place a check mark in the box)

Additional documents or information may be requested in support of the Identity registration process.

For assistance from the National Survivors Support Line, 24 Hours, 7 Days a week
please call 1-866-925-4419

SIGNATURE

My signature/mark indicates the information I have provided in this application is true and accurate to the best of my knowledge. I acknowledge that knowingly making a false or fraudulent application could result in criminal prosecution. I understand that every application is subject to verification.

Applicant's Signature **Day** **Month** **Year**

▶ _____ _____

SIGNATURE WITH A MARK

If the applicant signed with a mark (for example "X"), the mark must be made in the presence of a witness who may be a relative.

The witness must provide the following information:

Witness's first name, initial and last name

Relationship to the applicant

ADDRESS (No., Street, Apt., R.R.) City

Province or Territory	Country	Postal Code	Telephone number ( ) –

If the applicant signed with a mark, the witness must also sign the following declaration:

I have read the content of this application to the applicant who understands and confirms the complete contents and who made his or her mark in my presence.

Signature of witness

▶ _____

Date _____

Day Month Year

For assistance from the National Survivors Support Line, 24 Hours, 7 Days a week
please call 1-866-925-4419

7. FORMS MUST BE MAILED TO THE FOLLOWING ADDRESS:

Service Canada

FOR OFFICE USE ONLY

Recommended by	DD	MM	YY
Approved for payment by	DD	MM	YY

For assistance from the National Survivors Support Line, 24 Hours, 7 Days a week
please call 1-866-925-4419

INDIAN RESIDENTIAL SCHOOL IDENTIFICATION

Complete Question 5 by entering the number corresponding to the school(s) at which you resided.

Residential Schools		
YUKON RESIDENTIAL SCHOOLS		
01	Carcross (Chooutla)	Carcross
02	Coudert Hall (Whitehorse Hostel/Student Residence – Predecessor to Yukon Hall)	Whitehorse
03	Shingle Point (Predecessor to All Saints, Aklavik)	Shingle Point
04	Whitehorse Baptist	Whitehorse
05	Yukon Hall (Whitehorse/Protestant Hostel)	Whitehorse
NORTHWEST TERRITORIES RESIDENTIAL SCHOOLS		
06	Aklavik (Immaculate Conception)	Aklavik
07	Aklavik (All Saints)	Aklavik
08	Fort McPherson (Flemming Hall)	Fort McPherson
09	Fort Providence (Sacred Heart)	Fort Providence
10	Fort Resolution (St. Joseph's)	Fort Resolution
11	Fort Simpson (Bompas Hall)	Fort Simpson
12	Fort Simpson (Lapointe Hall)	Fort Simpson
13	Fort Smith (Breynat Hall)	Fort Smith
14	Fort Smith (Grandin College)	Fort Smith
15	Hay River (St. Peter's)	Hay River
16	Inuvik (Grollier Hall)	Inuvik
17	Inuvik (Stringer Hall)	Inuvik
18	Yellowknife (Akaitcho Hall)	Yellowknife
NUNAVUT RESIDENTIAL SCHOOLS		
19	Chesterfield Inlet (Turquetil Hall)	Chesterfield Inlet
20	Coppermine (Tent Hostel)	Coppermine
21	Federal Hostel at Baker Lake	Qamani'tuaq, Qamanittuaq
22	Federal Hostel at Belcher Islands	Sanikiluaq
23	Federal Hostel at Broughton Island	Qikiqtarjuaq
24	Federal Hostel at Cambridge Bay	Cambridge Bay
25	Federal Hostel at Cape Dorset	Kinngait
26	Federal Hostel at Eskimo Point	Arviat

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please call 1-866-925-4419

INDIAN RESIDENTIAL SCHOOL IDENTIFICATION

Complete Question 5 by entering the number corresponding to the school(s) at which you resided.

Residential Schools

NUNAVUT RESIDENTIAL SCHOOLS

27	Federal Hostel at Frobisher Bay (Ukkivik)	Iqaluit
28	Federal Hostel at Igloolik	Igloolik/Iglulik
29	Federal Hostel at Lake Harbour	Kimmirut
30	Federal Hostel at Pangnirtung (Pangnirtang)	Pangnirtung / Panniqtuuq
31	Federal Hostel at Pond Inlet	Mittimatalik

BRITISH COLUMBIA RESIDENTIAL SCHOOLS

32	Ahousaht	Ahousaht
33	Alberni	Port Alberni
34	Cariboo (St. Joseph's, Williams Lake)	Williams Lake
35	Christie (Clayoquot, Kakawis)	Tofino
36	Coqualeetza	Chilliwack / Sardis
37	Cranbrook (St. Eugene's, Kootenay)	Cranbrook
38	Kamloops	Kamloops
39	Kitimaat	Kitimaat
40	Kuper Island	Chemainus
41	Lejac (Fraser Lake)	Fraser Lake
42	Lower Post	Lower Post
43	Port Simpson (Crosby Home for Girls)	Port Simpson
44	St. George's (Lytton)	Lytton
45	St. Mary's (Mission)	Mission
46	St. Michael's (Alert Bay Girls' Home, Alert Bay Boys' Home)	Alert Bay
47	Sechelt	Sechelt
48	St. Paul's (Squamish, North Vancouver)	North Vancouver

ALBERTA RESIDENTIAL SCHOOLS

49	Assumption (Hay Lakes)	Hay Lakes Indian Reserve
50	Blue Quills (Saddle Lake, Lac la Biche, Sacred Heart)	St. Paul

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please call 1-866-925-4419

INDIAN RESIDENTIAL SCHOOL IDENTIFICATION

Complete Question 5 by entering the number corresponding to the school(s) at which you resided.

Residential Schools

SASKATCHEWAN RESIDENTIAL SCHOOLS		
79	Marieval (Cowesess, Crooked Lake)	Grayson
80	Muscowequan (Lestock, Touchwood)	Lestock
81	Prince Albert (Onion Lake, St. Alban's, All Saints, St. Barnabas, Lac La Ronge)	Prince Albert
82	Regina	Regina
83	Round Lake	Stockholm
84	St. Anthony's (Onion Lake, Sacred Heart)	Onion Lake
85	St. Michael's (Duck Lake)	Duck Lake
86	St. Philip's	Kamsack
87	Sturgeon Landing (Predecessor to Guy, MB)	Sturgeon Landing
88	Thunderchild (Delmas, St. Henri)	Delmas
MANITOBA RESIDENTIAL SCHOOLS		
89	Assiniboia (Winnipeg)	Winnipeg
90	Birtle	Birtle
91	Brandon	Brandon
92	Churchill Vocational Centre	Churchill
93	Cross Lake (St. Joseph's, Norway House, Jack River)	Cross Lake
94	Dauphin (McKay)	The Pas / Dauphin, MB
95	Elkhorn (Washakada)	Elkhorn
96	Fort Alexander (Pine Falls)	Fort Alexander
97	Fort Pelly	Fort Pelly
98	Guy (Clearwater, The Pas, formerly Sturgeon Landing, SK)	The Pas
99	Norway House	Norway House
100	Pine Creek (Camperville)	Camperville
101	Portage la Prairie	Portage la Prairie
102	Sandy Bay	Marius
ONTARIO RESIDENTIAL SCHOOLS		
103	Bishop Horden Hall (Moose Fort, Moose Factory)	Moose Island
104	Cecilia Jeffrey (Kenora, Shoal Lake)	Kenora

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please call 1-866-925-4419

INDIAN RESIDENTIAL SCHOOL IDENTIFICATION

Complete Question 5 by entering the number corresponding to the school(s) at which you resided.

Residential Schools

ONTARIO RESIDENTIAL SCHOOLS		
105	Chapleau (St. Joseph's)	Chapleau
106	Fort Frances	Fort Frances
107	Fort William (St. Joseph's)	Fort William
108	McIntosh (Kenora)	McIntosh
109	Mohawk Institute	Brantford
110	Mount Elgin (Muncey, St. Thomas)	Munceytown
111	Pelican Lake (Pelican Falls)	Sioux Lookout
112	Poplar Hill	Poplar Hill
113	St. Anne's (Fort Albany)	Fort Albany
114	St. Mary's (Kenora, St. Anthony's)	Kenora
115	Shingwauk	Sault Ste. Marie
116	Spanish Boys School (Charles Garnier, St. Joseph's, formerly Wikwemikong Industrial)	Spanish
117	Spanish Girls School (St. Joseph's, St. Peter's, St. Anne's formerly Wikwemikong Industrial)	Spanish
QUEBEC RESIDENTIAL SCHOOLS		
118	Amos (St. Marc de Figuery)	Amos
119	Pointe Bleue	Pointe Bleue
120	La Tuque	La Tuque
121	Fort George (St. Philip's)	Fort George
122	Fort George (St. Joseph's Mission, Residence Couture, Ste-Thérèse de l'enfant de Jésus)	Fort George
123	Sept-Iles (Notre Dame, Maliotenam)	Sept-Iles
124	Federal Hostel at George River	Kangirsualussuaq
125	Federal Hostel at Great Whale River (Poste-de-la-Baleine)	Kuujjuaraapik / Whapmagoostui
126	Federal Hostel at Payne Bay (Bellin)	Kangirsuk
127	Federal Hostel at Port Harrison (Inoucdjouac, Innoucdouac)	Inukjuak
NOVA SCOTIA RESIDENTIAL SCHOOLS		
128	Shubenacadie	Shubenacadie

For assistance from the National Survivors Support Line, 24 Hours, 7 Days a week
please call 1-866-925-4419

CEP APPLICATION FORM

This draft version of the CEP Application includes the changes presented to the NAC in late November 2006. Other minor changes have since been added, and other improvements will be incorporated as they are identified. The CEP draft application form will be tested to ensure readability and ease of use. The final version will be presented to the NAC prior to distribution by SC.

Below is a summary of the changes presented to the NAC:

12.1.1 Applicant Names

From: Applicant to provide their current name and their name at birth.
To: Applicant to provide all names by which they were known while at IRS.
Rationale: The applicant may not have been known by either their current name or birth name while at IRS and could risk non-approval. The applicant's current name and/or birth name may match names of other students at the time cited and the wrong person's records may be used to assess the amount of eligibility of the other names are not provided. The applicant may have been known by more than one name while at IRS and could risk underpayment.

12.1.2 Applicant Names

Currently: *Not addressed*
Add: Applicant asked to identify common variants of their name at IRS.
Rationale: The applicant may have been known at IRS by a nickname or variant of the name(s) provided in their application and could risk non-approval or underpayment.

12.1.3 Applicant Names

From: Applicant to provide names without clearly differentiating components.
To: Applicant to differentiate surname, first name, and middle name(s).
Rationale: Applicants may provide alternate names by which they have been known, but often do so in a manner in which there is ambiguity as to whether the name is an alternate first name, middle name or surname. In such cases, there is the risk that the wrong person's records may be used to assess the amount of eligibility.

12.1.4 Parents Names

Currently: *Not addressed*
Add: Applicant to provide the names of their parents and/or guardian / foster parents / grandparents, etc.
Rationale: The names of parents and/or guardian(s) is very useful for conducting genealogical searches if the applicant's name information fails to match names contained in the documentary record for the period.

12.1.5 Group

From: Applicant to identify the group to which they currently belong.
To: Applicant to differentiate between their current group and the group they belonged to while at IRS.

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Rationale: Some historical documents exhaustively list only students belonging to a particular group, and so information about the applicant's group is important to ensure correct interpretation of the records. However, it is not uncommon for an individual's status to change status over time. Information regarding any such any changes ensures that IRSRC will be able to capture everyone who may/may not have regained their status from Bill C-31. The SA is status-blind; some non-native attendees are eligible under the SA.

12.1.6 Residence

Currently: *Not addressed*
Add: Applicant to clarify residential status.
Rationale: Requiring applicants to identify their residential status will assist in reducing applications from applicants who are not eligible, such as former day students. Also, knowing whether applicants cite consistent or inconsistent periods of residence assists in justifying inferences in instances impacted by incomplete records.

12.1.7 Other Schools

From: Applicant to name any school not on eligibility list.
To: Applicant to provide information about schools not on list, ex. City/community and province/territory.
Rationale: Applicants may cite residence at schools that the records do not support, and given that many schools have the same or similar names, even within the same province. Providing this additional information facilitates more efficient and accurate validation. Therefore, more information would enable a more accurate search

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13 Appendix B: Government Documents Used to Confirm Residence

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The following types of Government documents have been deemed acceptable to confirm residence, based on criteria established, originally, for AP purposes. Details about the kind of information typically found in each type of document is also listed, as the appearance of an applicant's name on any of these documents is not always enough, in and of itself, to confirm residence.

13.1.1 Primary Documents

13.1.2 Quarterly Returns (pre-Sept. 1971) & Enrolment Returns (post-Sept. 1971)

The Quarterly Returns (QRs) are the best documents to confirm residence. They were a comprehensive list of all (status) students that resided at the school, and as such, they are the primary documents used for approval of payment. They were filed for calendar quarters ending on March 31st, June 30th, September 30th and December 31st. They listed the students who were in residence in order to obtain the per capita grants paid to Indian Residential Schools. Usually, the students are listed with their registration number, their band and date of birth; often, their date of admission is also noted. Effective September 1971, Enrolment returns replaced the Quarterly Returns. These were issued twice a year, in March and September, but had essentially the same purpose.

Some Quarterly Returns also list day school students (or students who received lunches at the IRS), but they are identified separately from the resident pupils, as no per capita grant was payable for day school students.

13.1.3 Ancillary Documents

13.1.4 Daily Registers

Daily Registers (DRs) were documents that listed the attendance of each student by class for the entire year. There is sometimes a "Summary of Pupil's attendance" that will indicate the months during which the student was at the school.

Daily Registers do not always differentiate between Residents and day pupils. When the IRS also served as a day school for the local community, the DR does not necessarily confirm residence but confirms attendance. For a site where there were no day students, the DR can be considered to validate both attendance and residence.

13.1.5 Admission & Discharge Forms

An Admission and Discharge form was prepared to list the names of the children admitted and discharged during the course of a school year. This document is often used to confirm residence, as it speaks specifically to resident pupils.

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13.1.6 Student Lists (Form 101E, 102E, class lists, etc.)

A 101E Form was to be completed by the Principal before June 30th in order "to review the necessity of retaining each pupil at the residential school". This document confirms residence for the current year (school year in which it was created), but not necessarily for the following year.

A 102E Form is a list of students who were approved from the 101E for the school year to come, and is a confirmation of residence for the current year, except for students listed as beginners.

Typical student lists would be produced in a variety of situations and could usually confirm attendance (and residence if it is clear there was no day school, etc.) Some student lists that could be useful to confirm residence include:

Transportation lists

Dorm reports

Student History Cards

Bath Schedules

13.1.7 Principal's Monthly Reports

These reports were produced by the principal, listing students and staff who were absent each month. These documents do not always differentiate between day and resident pupils, and the lists produced for schools which served as a day school are used to confirm attendance only.

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14 Appendix C: CARS Business Rules

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1.1 Composite Match Quality

To be considered a match between the applicant's information and information examined in historical documentation a composite score of 6 points must be achieved in at least 2 of the following 5 parameters (not including gender). Note that even if risk flags are identified, the match is still considered probational until a second level manual review by an IRS research specialist.

Last Name	
Exact match (level 1)	+5 points
Very good approximate match (level 2)	+5 points
Good approximate match (level 3)	+4 points
Possible and likely match (level 4)	+3 points
Possible but uncertain match (level 5)	+2 points
Unlikely match (level 6)	+1 point
No match	---

Given Name	
Exact match (level 1)	+5 points
Very good approximate match (level 2)	+4 points
Good approximate match (level 3)	+3 points
Possible and likely match (level 4)	+2 points
Possible but uncertain match (level 5)	+1 point
Unlikely match (level 6)	---
No match	---

Gender	
Gender Consistent	+1 point
Gender Inconsistency - Girls	---
Gender Inconsistency - Boys	-1 point

Age	
Very good match (within 1 year)	+2 points
Acceptable match (within 2 years)	+1 point
Poor match (within 3 years)	---
No match (within 4 years)	-1 point
No match (within 5 years)	-2 points
Etc…	etc…

Date of Birth	
Exact match (3/3 of day, month & year)	+3 points
Acceptable match (2/3 of day, month & year)	+2 points
Poor match (1/3 of day, month & year)	+1 points
No match (0/3 of day, month & year)	---

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1.2 Record Matching Rules – Individual Parameters

Individual record components are matched according to the following rules:

1.3 Last Name

Based on sample testing, it is anticipated that in 25-27% of valid applications, some discrepancy will be observed between the last name(s) in the application and the historical documentation.

It is also anticipated that in 14-16% of valid applications, the discrepancy has the potential to impact the number of years validated (an average of 2 years of 6).

It is further anticipated that in 3-5% of valid applications, the discrepancy will impact all years that must be validated.

To mitigate this risk, matching of applicants to historical records is based on several parameters, only one of which is the last name. As well, the CAR system has been designed to be very robust in accommodating such discrepancies through multiple, redundant approximate matching techniques. The overall confidence level assigned to a potential match between the last name(s) in the application and the historical documentation is as follows:

Level 1 confidence	Exact Match (100% quality)		
Example:	Last Name (Application) *Seeseequasis*	Last Name (IRS Documents) *Seeseequasis*	Quality *100%*
Observed Prevalence:	74% of valid applications are anticipated to have no names below Level 1 confidence; 85% of valid applications are anticipated to be able to be 100% validated with no impact of name discrepancies below Level 1 confidence; 96% of valid applications are anticipated to be able to be at least partially validated with no impact of name discrepancies below Level 1 confidence.		
Potential Risk:	While there is always some possibility that either an applicant does not provide the last name(s) by which they were known during their period of residence at IRS (outside the scope of the CAR system) or that the applicant was referred to by a name other than their own in the historical documentation (observed to occur in less than 0.02% of instances and never impacting validation).		

Level 2 confidence	Very good approximate match (95-100% quality)		
Examples:	Last Name (Application) *St. Paul* *Medicine Shield*	Last Name (IRS Documents) *St Paull* *Medicine Sheild*	Quality *99.7%* *99.1%* *97.4%*

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	Hookimawillillene	*Hookimawaillillene*	*96.9%*
	Running Rabbit	*Rinning Rabbit*	*95.4%*
	Steinhauer	*Steinhaer*	
Observed Prevalence:	76% of valid applications are anticipated to have no names below Level 2 confidence; 86% of valid applications are anticipated to be able to be 100% validated with no impact of name discrepancies below Level 2 confidence; 96% of valid applications are anticipated to be able to be at least partially validated with no impact of name discrepancies below Level 2 confidence.		
Potential Risk:	Beyond the risk identified above (in the description of Level 1 confidence), no instances were observed in which names that were not variants of the applicant name were matched at this level of confidence. There is, however, there is always a slight possibility that a name other than the applicant's could be misspelled in a manner that is interpreted to be a potential misspelling of the applicant's name (e.g. if the applicant's name is Bird, then the name Bride, while clearly not a variant of Bird, could be mistakenly reverse letters to Birde, which could be considered a mistyping of Bird, particularly as the letters "e" and "d" are adjacent on a typewriter. This is considered highly unlikely to occur at the 95%+ quality level, even less likely to impact one or more years that must be validated, let alone all years, and in any event, even if it occurred, would favour the applicant.		

Level 3 confidence	Good approximate match (80-95% quality)		
Examples:	<u>Last Name (Application)</u>	<u>Last Name (IRS Documents)</u>	<u>Quality</u>
	Cote	*Coet*	*94.4%*
	Francois	*Francis*	*94.3%*
	Crowshoe	*Croe Shoe*	*92.8%*
	Houle	*Hole*	*90.9%*
	Little Young Man	*L. Young Man*	*88.1%*
	Smoke	*Semoke*	*85.2%*
	Many Bears	*Many [illegible]ears*	*83.7%*
	Bellegarde Jr	*Beelegarde*	*80.1%*
Observed Prevalence:	82% of valid applications are anticipated to have no names below Level 3 confidence; 89% of valid applications are anticipated to be able to be 100% validated with no impact of name discrepancies below Level 3 confidence; 96% of valid applications are anticipated to be able to be at least partially validated with no impact of name discrepancies below Level 3 confidence.		

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Potential Risk:	Beyond the risks identified above (in the description of Level 1 & 2 confidence), the number of instances in which one or more names that is not a variant of the applicant's name was observed to be less than 3% at this confidence level, some samples of which have been provided above. While the relative matching score of the applicant's name, or variant thereof, is generally much higher than the matching score to a name other than the applicant's, there remains a slight residual risk of misattributing a last name of someone other than the applicant to the applicant. Therefore, a Level 3 confidence match is assigned less value in the formula by which composite match confidence is assessed (i.e. based on all parameters, of which last name is only one).

Level 4 confidence	Possible and likely approximate match (50-80% quality)		
Examples:	<u>Last Name (Application)</u>	<u>Last Name (IRS Documents)</u>	<u>Quality</u>
	Fontaine	*Gontaine*	*79.2%*
	Many Guns	*My Guns*	*76.8%*
	St Paul	*St. P.*	*72.5%*
	Little Young Man	*Little Y. M.*	*71.6%*
	Robertson	*Roberts*	*61.0%*
	Daniels	*Dalniels*	*60.8%*
	Johnny	*John*	*57.0%*
	Michael	*Micha*	*55.8%*
	Sutherland	*Sutherl.*	*50.6%*
Observed Prevalence:	88% of valid applications are anticipated to have no names below Level 4 confidence; 93% of valid applications are anticipated to be able to be 100% validated with no impact of name discrepancies below Level 4 confidence; 98% of valid applications are anticipated to be able to be at least partially validated with no impact of name discrepancies below Level 4 confidence.		
Potential Risk:	Beyond the risks identified above (in the description of Level 1-3 confidence), the number of instances in which one or more names that is not a variant of the applicant's name was observed to be less than 6% at this confidence level, some samples of which have been provided above. While the relative matching score of the applicant's name, or variant thereof, is generally much higher than the matching score to a name other than the applicant's, there remains a slight residual risk of misattributing a last name of someone other than the applicant to the applicant. Therefore, a Level 4 confidence match is assigned slightly less value in the formula by which composite match confidence is assessed.		

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Level 5 confidence	Possible, but not necessarily likely approximate match (5-50% quality)		
Examples:	Last Name (Application)	Last Name (IRS Documents)	Quality
	Flett	*Trout-Flett*	*50.0%*
	Trapper-Cowboy	*Trapper*	*50.0%*
	Hunter	*Beaver Hunter*	*50.0%*
	Owl Child	*Owl*	*50.0%*
	Running Rabbit	*[illegible] Rabbit*	*50.0%*
	Tomah	*Tom*	*45.6%*
	Nepinak	*Nep9nak*	*42.9%*
	Morrisseau	*Morris.*	*39.4%*
	Blackfoot	*Black Fat*	*37.4%*
	Makwa	*Kakway*	*36.0%*
	Buggins	*Boghins*	*32.2%*
	Quilt	*[illegible]uil[illegible]*	*30.0%*
	Johnny	*Samson [Saul John]*	*28.5%*
	McKay	*Mc.*	*25.7%*
	Brown	*Brown Two Young Men*	*25.0%*
	Crow Shoe	*Crow Flag*	*23.4%*
	Severight	*Severiggh*	*22.8%*
	Running Rabbit	*R. R.*	*22.4%*
	Wadhams	*Adams*	*21.9%*
	Quaw	*Qwa*	*20.8%*
	Hookimawininew	*O[k]i[umininew]*	*18.5%*
	Nanowin	*Narwin*	*17.4%*
	Little Young Man	*Pr. L. Young. Man*	*16.8%*
	Walkus	*Wallas*	*16.2%*
	Porter	*Fortier*	*15.1%*
	Longclaws	*Longclauus*	*14.4%*
	Moose	*Moodie*	*13.8%*
	Keshane	*Kishayinew*	*11.6%*
	Somerville	*Umpherville*	*8.3%*
	Puglas	*Pootlas*	*8.1%*
	Kakakaway	*Kequaytway*	*5.3%*
	Cameron	*Carson*	*5.1%*
			5.1%

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	Wahsatnow	*Wahsatenaue*
Observed Prevalence:	99% of valid applications are anticipated to have no names below Level 5 confidence; Practically 100% of valid applications are anticipated to be able to be 100% validated with no impact of name discrepancies below Level 5 confidence; Practically 100% of valid applications are anticipated to be able to be at least partially validated with no impact of name discrepancies below Level 5 confidence.	
Potential Risk:	Beyond the risks identified above (in the description of Level 1-4 confidence), the number of instances in which one or more names that is not a variant of the applicant's name was observed to be as high as 45% at the low end of this confidence band, some samples of which have been provided above. While the relative matching score of the applicant's name, or variant thereof, is generally much higher than the matching score to a name other than the applicant's, there remains a slight residual risk of misattributing a last name of someone other than the applicant to the applicant. Therefore, a Level 5 confidence match is assigned even less value in the formula by which composite match confidence is assessed.	

Level 6 confidence	Unlikely approximate match (0-5% quality)		
Examples:	Last Name (Application)	Last Name (IRS Documents)	Quality
	Nanowin	*N.*	*5.0%*
	Muskego	*M[illegible]*	*5.0%*
	Tourangeau	*Tourenso*	*5.0%*
	Nepinak	*Ninie*	*4.8%*
	Francoise	*French*	*4.7%*
	Whitehawk	*Whitebear*	*4.4%*
	Ackegan	*Akikon*	*4.3%*
	Moosemay	*Moses*	*2.5%*
	Cheesequay	*Cahpasay*	*2.5%*
	Lathlin	*Bird L.*	*1.5%*
	Seeseequasis	*Seenookiesick*	*1.0%*
	Courchene	*Copenace*	*0.8%*
	Severight	*Albright*	*0.7%*
	Longclaws	*Linxleg*	*0.4%*
	Wahsatnow	*Waskateneau*	*0.1%*
	Little Young Man	*Man Who Smokes*	

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Observed Prevalence:	Practically 100% of valid applications are anticipated to have no names below Level 6 confidence; Practically 100% of valid applications are anticipated to be able to be 100% validated with no impact of name discrepancies below Level 4 confidence; Practically 100% of valid applications are anticipated to be able to be at least partially validated with no impact of name discrepancies below Level 4 confidence.
Potential Risk:	Beyond the risks identified above (in the description of Level 1-5 confidence), the number of instances in which one or more names that is not a variant of the applicant's name was observed to be as high as 75%, some samples of which have been provided above. While the relative matching score of the applicant's name, or variant thereof, is generally much higher than the matching score to a name other than the applicant's, there remains a slight residual risk of misattributing a last name of someone other than the applicant to the applicant. Therefore, a Level 6 confidence match, while not held against the applicant, is not assigned any value in the formula by which composite match confidence is assessed.

No Match	Names did not match to any significant degree (0% quality)		
Example:	Last Name (Application) *Rabbit Carrier*	Last Name (IRS Documents) *French*	Quality *0%*
Observed Prevalence:	% of valid applications are anticipated to have no names below Level 4 confidence; % of valid applications are anticipated to be able to be 100% validated with no impact of name discrepancies below Level 4 confidence; % of valid applications are anticipated to be able to be at least partially validated with no impact of name discrepancies below Level 4 confidence.		
Potential Risk:	Beyond the risks identified above (in the description of Level 1-5 confidence), the number of instances in which one or more names that is not a variant of the applicant's name is unbounded below a quality level of 0%, an example of which has been provided above. Because of the high risk of misattributing a last name of someone other than the applicant to the applicant, a Level 6 confidence match, while not held against the applicant, is not assigned any value in the formula by which composite match confidence is assessed.		

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1.4 Given Name

Based on sample testing, it is anticipated that in xx-xx% of valid applications, some discrepancy will be observed between the given name(s) in the application and the historical documentation.

It is also anticipated that in xx-xx% of valid applications, the discrepancy has the potential to impact the number of years validated (an average of 2 years of 6).

It is further anticipated that in x-x% of valid applications, the discrepancy will impact all years that must be validated.

To mitigate this risk, matching of applicants to historical records is based on several parameters, only one of which is the given name. As well, the CAR system has been designed to be very robust in accommodating such discrepancies through multiple, redundant approximate matching techniques. The overall confidence level assigned to a potential match between the given name(s) in the application and the historical documentation is as follows:

Level 1 confidence	Exact Match (100% quality)		
Example:	Given Name (Application) *Joseph Edward*	Given Name (IRS Documents) *Joseph Edward*	Quality *100%*
Observed Prevalence:	xx% of valid applications are anticipated to have no names below Level 1 confidence; xx% of valid applications are anticipated to be able to be 100% validated with no impact of name discrepancies below Level 1 confidence; xx% of valid applications are anticipated to be able to be at least partially validated with no impact of name discrepancies below Level 1 confidence.		
Potential Risk:	While there is always some possibility that either an applicant does not provide the given name(s) by which they were known during their period of residence at IRS (outside the scope of the CAR system) or that the applicant was referred to by a name other than their own in the historical documentation (observed to occur in less than 0.02% of instances and never impacting validation).		

Level 2 confidence	Very good approximate match (95-100% quality)		
Examples:	Given Name (Application) *John Keeper* *Diane Hazel* *Mary Anne (Ann) Rose* *Marie Therese* *Alfred Sam Baker*	Given Name (IRS Documents) *John Keper* *Hazel Dianne* *Rosie Annie* *Marie Ther.* *Sam Wilfred*	Quality *99.9%* *99.9%* *99.4%* *98.3%* *98.1%*

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	Bertha Mary	*M. Bertha*	*97.6%*
	William Lyon Mackenzie	*Lyons McKenzie*	*95.7%*
Observed Prevalence:	xx% of valid applications are anticipated to have no names below Level 2 confidence; xx% of valid applications are anticipated to be able to be 100% validated with no impact of name discrepancies below Level 2 confidence; xx% of valid applications are anticipated to be able to be at least partially validated with no impact of name discrepancies below Level 2 confidence.		
Potential Risk:	Beyond the risk identified above (in the description of Level 1 confidence), no instances were observed in which names that were not variants of the applicant name were matched at this level of confidence. There is, however, there is always a slight possibility that a name other than the applicant's could be misspelled in a manner that is interpreted to be a potential misspelling of the applicant's name (e.g. if the applicant's name is Tim, then the name Tina, while clearly not a variant of Tim, could be mistakenly drop the last letter to Tin, which could be considered a mistyping of Tim, particularly as the letters "m" and "n" are adjacent on a typewriter. This is considered highly unlikely to occur at the 95%+ quality level, even less likely to impact one or more years that must be validated, let alone all years, and in any event, even if it occurred, would favour the applicant.		

Level 3 confidence	Good approximate match (80-95% quality)		
Examples:	<u>Given Name (Application)</u>	<u>Given Name (IRS Documents)</u>	<u>Quality</u>
	Joseph Cameron	*Joseph*	*95.0%*
	Mary Jane (Janie)	*Mayr J.*	*95.0%*
	Lena	*Leena*	*93.8%*
	Joseph (Joe) Leonard	*Jos. L.*	*89.4%*
	Daniel Mervin Kisiko	*Marvin D*	*88.7%*
	June (Joan) Marie Eliza	*Mary Jane*	*88.2%*
	Lavina	*Alvina*	*82.2%*
	Angelina Francis	*Angeline*	*81.5%*
	Brenda Louise	*Louis*	*80.9%*
Observed Prevalence:	82% of valid applications are anticipated to have no names below Level 3 confidence; 89% of valid applications are anticipated to be able to be 100% validated with no impact of name discrepancies below Level 3 confidence; 96% of valid applications are anticipated to be able to be at least partially		

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	validated with no impact of name discrepancies below Level 3 confidence.
Potential Risk:	Beyond the risks identified above (in the description of Level 1 & 2 confidence), the number of instances in which one or more names that is not a variant of the applicant's name was observed to be less than 3% at this confidence level, some samples of which have been provided above. While the relative matching score of the applicant's name, or variant thereof, is generally much higher than the matching score to a name other than the applicant's, there remains a slight residual risk of misattributing a given name of someone other than the applicant to the applicant. Therefore, a Level 3 confidence match is assigned less value in the formula by which composite match confidence is assessed (i.e. based on all parameters, of which given name is only one).

Level 4 confidence	Possible and likely approximate match (50-80% quality)		
Examples:	<u>Given Name (Application)</u>	<u>Given Name (IRS Documents)</u>	<u>Quality</u>
	Elroy John	*Leroy*	*79.9%*
	William (Bill) Bleasdell	*Billy*	*78.3%*
	Paul Emile	*Emily*	*74.6%*
	Lena	*Lina*	*70.4%*
	Garry Joseph	*Harry*	*65.4%*
	Neil James	*Niell J.*	*56.2%*
	Vera Adell Marie	*Mary V.*	*52.2%*
	Alvin Roy Dagwood	*R. Calvin*	*52.2%*
	Patricia Marie	*Pa Maggie*	*50.1%*
Observed Prevalence:	xx% of valid applications are anticipated to have no names below Level 4 confidence; xx% of valid applications are anticipated to be able to be 100% validated with no impact of name discrepancies below Level 4 confidence; xx% of valid applications are anticipated to be able to be at least partially validated with no impact of name discrepancies below Level 4 confidence.		
Potential Risk:	Beyond the risks identified above (in the description of Level 1-3 confidence), the number of instances in which one or more names that is not a variant of the applicant's name was observed to be less than 6% at this confidence level, some samples of which have been provided above. While the relative matching score of the applicant's name, or variant thereof, is generally much higher than the matching score to a name other than the applicant's, there remains a slight residual risk of misattributing a given name of someone other than the applicant to the applicant. Therefore, a Level 4 confidence match is assigned slightly less value in the formula by which composite match confidence is assessed.		

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Level 5 confidence	Possible, but not necessarily likely approximate match (5-50% quality)		
Examples:	Given Name (Application)	Given Name (IRS Documents)	Quality
	Morris Patrick	*Patricia M.*	*49.8%*
	Verna Emma	*Vera*	*42.6%*
	Maria (Marina) Rose	*Rosaline M.*	*35.91%*
	Angelina Francis	*Franc[illegible]*	*33.9%*
	Alice Marie	*Manie*	*30.4%*
	John	*Jean*	*25.7%*
	Donald Albert	*Don*	*25.6%*
	Jeannie Elizabeth	*Elizah*	*20.1%*
	Selina Mary	*Celina*	*15.2%*
	Lucy Marie	*Miriam*	*10.1%*
	Darlene Jean	*Jenny*	*7.5%*
	Victoria Elaine	*Etienne*	*5.0%*
Observed Prevalence:	xx% of valid applications are anticipated to have no names below Level 5 confidence; Practically 100% of valid applications are anticipated to be able to be 100% validated with no impact of name discrepancies below Level 5 confidence; Practically 100% of valid applications are anticipated to be able to be at least partially validated with no impact of name discrepancies below Level 5 confidence.		
Potential Risk:	Beyond the risks identified above (in the description of Level 1-4 confidence), the number of instances in which one or more names that is not a variant of the applicant's name was observed to be as high as 45% at the low end of this confidence band, some samples of which have been provided above. While the relative matching score of the applicant's name, or variant thereof, is generally much higher than the matching score to a name other than the applicant's, there remains a slight residual risk of misattributing a given name of someone other than the applicant to the applicant. Therefore, a Level 5 confidence match is assigned even less value in the formula by which composite match confidence is assessed.		

Level 6 confidence	Unlikely approximate match (0-5% quality)		
Examples:	Given Name (Application)	Given Name (IRS Documents)	Quality
			4.8%

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	Lorna Theresa	*L.*	*4.2%*
	Rolland Joseph	*Raymond*	*3.8%*
	Marceline Jane	*Caroline*	*3.8%*
	Mark (Mike) Lewis	*Maggie*	
Observed Prevalence:	Practically 100% of valid applications are anticipated to have no names below Level 6 confidence; Practically 100% of valid applications are anticipated to be able to be 100% validated with no impact of name discrepancies below Level 4 confidence; Practically 100% of valid applications are anticipated to be able to be at least partially validated with no impact of name discrepancies below Level 4 confidence.		
Potential Risk:	Beyond the risks identified above (in the description of Level 1-5 confidence), the number of instances in which one or more names that is not a variant of the applicant's name was observed to be as high as 75%, some samples of which have been provided above. While the relative matching score of the applicant's name, or variant thereof, is generally much higher than the matching score to a name other than the applicant's, there remains a slight residual risk of misattributing a given name of someone other than the applicant to the applicant. Therefore, a Level 6 confidence match, while not held against the applicant, is not assigned any value in the formula by which composite match confidence is assessed.		

No Match	Names did not match to any significant degree (0% quality)		
Example:	<u>Given Name (Application)</u> *Bill Christopher*	<u>Given Name (IRS Documents)</u> *Harry*	<u>Quality</u> *0%*
Observed Prevalence:	% of valid applications are anticipated to have no names below Level 4 confidence; % of valid applications are anticipated to be able to be 100% validated with no impact of name discrepancies below Level 4 confidence; % of valid applications are anticipated to be able to be at least partially validated with no impact of name discrepancies below Level 4 confidence.		
Potential Risk:	Beyond the risks identified above (in the description of Level 1-5 confidence), the number of instances in which one or more names that is not a variant of the applicant's name is unbounded below a quality level of 0%, an example of which has been provided above. Because of the high risk of misattributing a given name of someone other than the applicant to the applicant, a Level 6 confidence match, while not held against the applicant, is not assigned any value in the formula by which composite match confidence is assessed.		

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1.5 Student Number

Based on sample testing, it is anticipated that in 5-7% of valid applications, some discrepancy will be observed between the gender of the applicant and the applicant's gender-specific student number in the historical documentation (provided for approximately 95% of applications).

It is also anticipated that in 5-6% of valid applications, the discrepancy has the potential to impact the number of years validated (an average of 3 years of 6).

It is further anticipated that in 4-5% of valid applications, the discrepancy will impact all years that must be validated.

To mitigate this risk, matching of applicants to historical records is based on several parameters, only one of which is the gender of the student number. As well, the CAR system has been designed to be very tolerant of such discrepancies. The overall confidence level assigned to a potential match between the given name(s) in the application and the historical documentation is as follows:

Level 1 confidence	Gender Consistent – Girls & Boys		
Example:	Gender (Application) *Man* *Woman*	Student # (IRS Documents) *209* *0318*	Quality *100%* *100%*
Observed Prevalence:	94% of valid applications are anticipated to have no gender inconsistencies; 95% of valid applications are anticipated to be able to be 100% validated with no impact of gender discrepancies; 95% of valid applications are anticipated to be able to be at least partially validated with no impact of gender discrepancies.		
Potential Risk:	As this is a binary measure, the risk is nil.		

Level 2 confidence	Gender Inconsistency - Girls		
Examples:	Gender (Application) *Woman*	Student # (IRS Documents) *318*	Quality *75%*
Observed Prevalence:	88% of valid applications submitted by women are anticipated to have no gender inconsistencies; 89% of valid applications submitted by women are anticipated to be able to be 100% validated with no impact of gender discrepancies; 91% of valid applications submitted by women are anticipated to be able to be at least partially validated with no impact of gender discrepancies.		

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Potential Risk:	It has been observed that every case of gender inconsistency in the test sample resulted from the dropping of the leading zero from the student number (i.e. failing to correctly identify girls according to the policy of the day). Because of this risk, while gender consistency will be awarded some merit, gender inconsistency for women applicants will not be penalized in the composite matching formula.

Level 3 confidence	Gender Inconsistency - Boys		
Examples:	Gender (Application) *Man*	Student # (IRS Documents) *0209*	Quality *0%*
Observed Prevalence:	Practically 100% of valid applications submitted by men are anticipated to have no gender inconsistencies; Practically 100% of valid applications submitted by men are anticipated to be able to be 100% validated with no impact of gender discrepancies; Practically 100% of valid applications submitted by men are anticipated to be able to be at least partially validated with no impact of gender discrepancies.		
Potential Risk:	As it has been observed that every case of gender inconsistency in the test sample resulted from the dropping of the leading zero from the student number (i.e. failing to correctly identify girls according to the policy of the day), gender inconsistency in records of masculine applicants will be penalized in the composite matching formula.		

1.6 Age

Based on sample testing, it is anticipated that in 35-37% of valid applications, some discrepancy will be observed between the age of the applicant and the age identified in the historical documentation.

It is also anticipated that in 11-13% of valid applications, the discrepancy has the potential to impact the number of years validated (an average of 1-2 years of 6).

It is further anticipated that in practically 0% of valid applications, the discrepancy will impact all years that must be validated.

To mitigate this risk, matching of applicants to historical records is based on several parameters, only one of which is the applicant's age. As well, the CAR system has been designed to be very forgiving in accommodating such discrepancies. The overall confidence level assigned to a potential match between the age of the applicant and the age identified in the historical documentation is as follows:

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Level 1 confidence	Very good match (within 1 year)		
Example:	Age (Application)	Age (IRS Documents)	Quality
	8 (in 1945/1946)	*9 (in 1945/1946)*	*100%*
Observed Prevalence:	64% of valid applications are anticipated to have no ages provided that are off by more that one year; 88% of valid applications are anticipated to be able to be 100% validated with no impact of age discrepancies of more than 1 year; Practically 100% of valid applications are anticipated to be able to be at least partially validated with no impact of age discrepancies of more than 1 year.		
Potential Risk:	Because the vast majority of ages cited in the documents are accurate within 1 year, some points will be awarded in the composite matching formula. However, the degree of confidence awarded by an age match is relatively small as there would have been several contemporary students with the same age.		

Level 2 confidence	Acceptable match (within 2 years)		
Examples:	Age (Application)	Age (IRS Documents)	Quality
	8 (in 1945/1946)	*10 (in 1945/1946)*	*50%*
Observed Prevalence:	Practically 100% of valid applications are anticipated to be 100% validated with no impact of age discrepancies of more than 2 years.		
Potential Risk:	Because all of the ages cited in the documents were observed in the test sample to be accurate within 2 years, a smaller award will be made in instances of a 2 year mismatch in the composite matching formula.		

No confidence	Poor match (within 3 years)		
Examples:	Age (Application)	Age (IRS Documents)	Quality
	8 (in 1945/1946)	*11 (in 1945/1946)*	*0%*
Observed Prevalence:	Practically 100% of valid applications are anticipated to be 100% validated with no impact of age discrepancies of more than 2 years.		
Potential Risk:	Because it is always possible that an unobserved level of discrepancy may occur, no penalty (or award) will be made in instances of a 3 year mismatch in the composite matching formula.		

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Somewhat Negative	No match (within 4 years)		
Examples:	Age (Application)	Age (IRS Documents)	Quality
	8 (in 1945/1946)	*12 (in 1945/1946)*	*-50%*
Observed Prevalence:	Practically 100% of valid applications are anticipated to be 100% validated with no impact of age discrepancies of more than 2 years.		
Potential Risk:	Because it is highly unlikely that discrepancies of 4 years will be observed with any frequency, a penalty will be made in instances of a 4 year mismatch in the composite matching formula.		

Extremely Negative	No match (greater than 4 years)		
Examples:	Age (Application)	Age (IRS Documents)	Quality
	8 (in 1945/1946)	*13 (in 1945/1946)*	*-100%*
Observed Prevalence:	Practically 100% of valid applications are anticipated to be 100% validated with no impact of age discrepancies of more than 2 years.		
Potential Risk:	Because it is highly unlikely that discrepancies of 5 or more years will be observed associated with a specific applicant, a large penalty will be made in instances of a 5 year or greater mismatch in the composite matching formula.		

1.7 Date of Birth

Based on sample testing, it is anticipated that in 33-35% of valid applications, some discrepancy will be observed between the applicant's date of birth and the date(s) identified in the historical documentation.

It is also anticipated that in 24-26% of valid applications, the discrepancy has the potential to impact the number of years validated (an average of 1 year of 6).

It is further anticipated that in 11-13% of valid applications, the discrepancy will impact all years that must be validated.

To mitigate this risk, matching of applicants to historical records is based on several parameters, only one of which is the applicant's date of birth. As well, the CAR system has been designed to be very forgiving in accommodating such discrepancies. The overall confidence level assigned to a potential match between the applicant's date of birth and the date(s) identified in the historical documentation is as follows:

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Level 1 confidence	Exact match (day, month and year)		
Example:	DoB (Application)	Age (IRS Documents)	Quality
	14/02/1939	*14/02/1939*	*100%*
Observed Prevalence:	66% of valid applications are anticipated to have no discrepancies provided in the date of birth; 75% of valid applications are anticipated to be able to be 100% validated with no impact of date discrepancies; 88% of valid applications are anticipated to be able to be at least partially validated with no impact of date discrepancies.		
Potential Risk:	Because the most dates cited in the documents are accurate, and a person's birth date when used in conjunction with other personal information is fairly reliable as a discriminating indicator, significant points will be awarded in the composite matching formula for a completely accurate date of birth. It should be noted however that the larger the class size the more likely than not that two or more students share the same birthday.		

Level 2 confidence	Good match (two of three components of the date of birth match)		
Examples:	DoB (Application)	Age (IRS Documents)	Quality
	14/02/1939	*14/02/1938*	*50%*
Observed Prevalence:	76% of valid applications are anticipated to have no discrepancies provided in the date of birth beyond a single component (day, month or year); 85% of valid applications are anticipated to be able to be 100% validated with no impact of date discrepancies beyond a single component; 93% of valid applications are anticipated to be able to be at least partially validated with no impact of date discrepancies beyond a single component.		
Potential Risk:	Because all of the ages cited in the documents were observed in the test sample to be accurate within 2 years, a smaller award will be made in instances of a 2 year mismatch in the composite matching formula.		

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Level 3 confidence	Poor match (only one component of the date of birth matches)		
Examples:	DoB (Application)	Age (IRS Documents)	Quality
	14/02/1939	*14/11/1938*	*25%*
Observed Prevalence:	95% of valid applications are anticipated to have no discrepancies provided in the date of birth beyond two components (day, month or year); 97% of valid applications are anticipated to be able to be 100% validated with no impact of date discrepancies beyond two components; 98% of valid applications are anticipated to be able to be at least partially validated with no impact of date discrepancies beyond two components.		
Potential Risk:	Because all of the ages cited in the documents were observed in the test sample to be accurate within 2 years, a smaller award will be made in instances of a 2 year mismatch in the composite matching formula.		

No Match	No component of the date of birth matches		
Examples:	DoB (Application)	Age (IRS Documents)	Quality
	14/02/1939	*26/11/1938*	*0%*
Observed Prevalence:	98% of valid applications are anticipated to have no complete discrepancies provided in the date of birth (e.g. day, month and year).		
Potential Risk:	Because all of the residual possibility of a person's date of birth being in error in the historical documentation, no penalty will be awarded in these instances in the composite matching formula.		

1.8 Risk Flags

Several risk flags may be identified during the matching process:

1) Document Gaps

   If there are years during the period of time cited by the applicant during which IRSRC does not have the ability to validate each year due to an incomplete set of primary documentation, and if the CAR system is unable to draw reasonable inferences, including interpolation between validate years and extrapolation to "small" gaps (small being defined as a period of time that it does not exceed the period of time for which validation has been performed), then the application is automatically routed for second stage, manual review.

2) Composite Match Quality

   If the total aggregate match score is 7 or less out of a total possible 14, then the application is automatically routed for second stage, manual review.

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3) Name Match Quality

If the total aggregate match score is 4 or less out of a possible 10 for the last name and given name measures –or– if individual score for either parameter is 2 or less out of a possible 5 , then the application is automatically routed for second stage, manual review.

4) Period Match Quality

If the discrepancy between the year for which residence commenced -or- the year in which it concluded -or- the overall duration exceeds the typical 95th percentile variation between application and validation -or- a record is found before the applicant was born -or- a primary document names the applicant after their 22nd birthday, then the application is automatically routed for second stage, manual review.

5) Other Potential Match Quality

If records are found but deemed to pertain to someone other than the applicant, and hence the CAR system must compute which of the two or more sets of records is the better match, and the match quality of the next highest scoring potential match is closer than the observed 95th percentile, then the application is automatically routed for second stage, manual review.

6) Match Variance

If records that are attributed to an applicant demonstrate more variability in the observed 95th percentile, the application is automatically routed for second stage, manual review.

7) School Discrepancies

If records are not found for an applicant at a cited school and the complete historical record is available -or- the order in which multiple schools are attended is not consistent with the application -or- there is overlap in attendance between multiple schools, the application is automatically routed for second stage, manual review.

8) Applicant Expectations

If the number of years for which a claim has been validated is less than the number cited by the applicant and the difference is greater or less than the observed 95th percentile, then the application is automatically routed for second stage, manual review.

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15 Appendix D: Estimated Application Volume 5 Years

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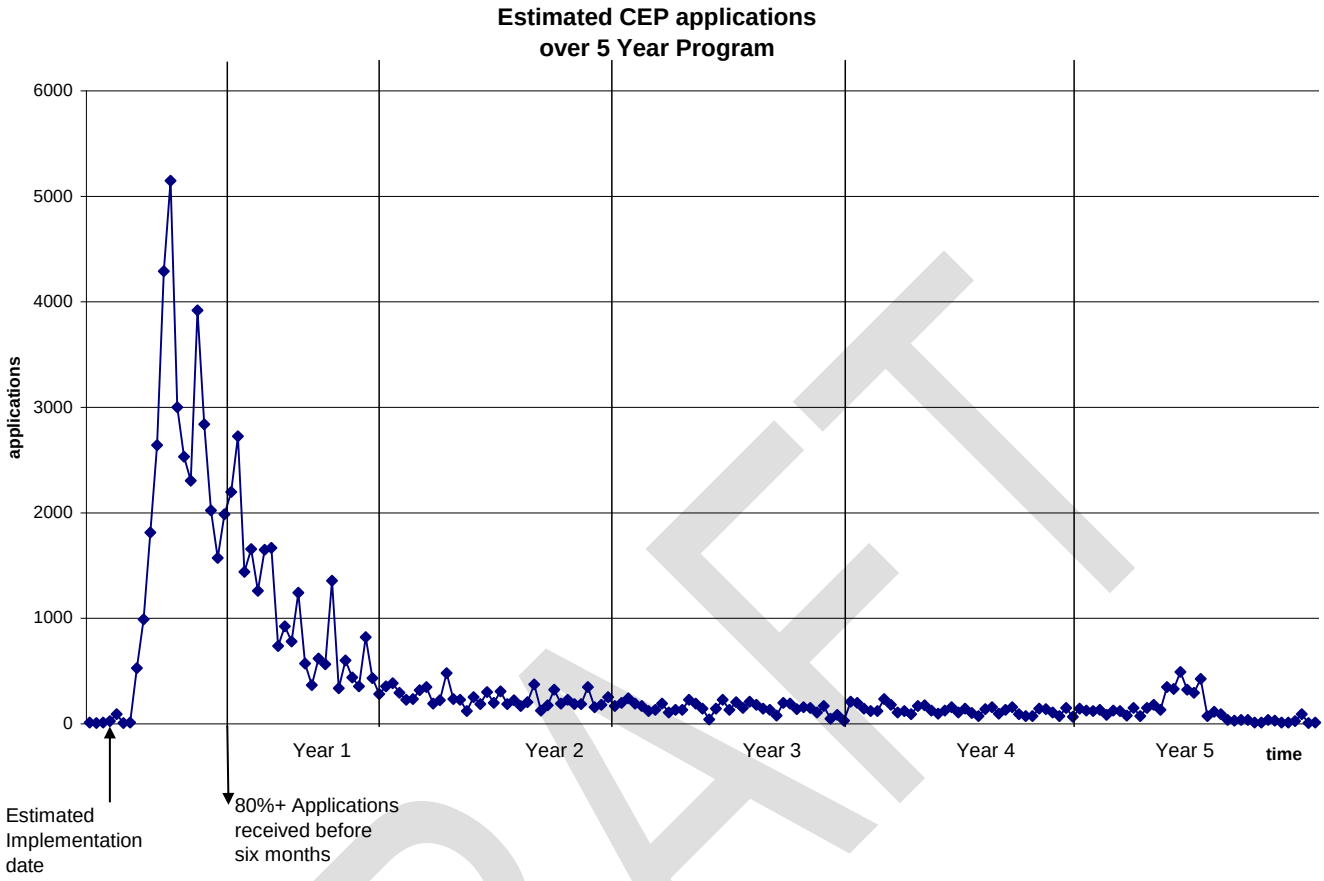

The vast majority of applications will be received within the first six months based on the experience of the Advance Payment Program. Adequate resources will be available prior to the peak period to process the applications within the accepted service level timeframe.

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16 Appendix E: CEP Project Plan

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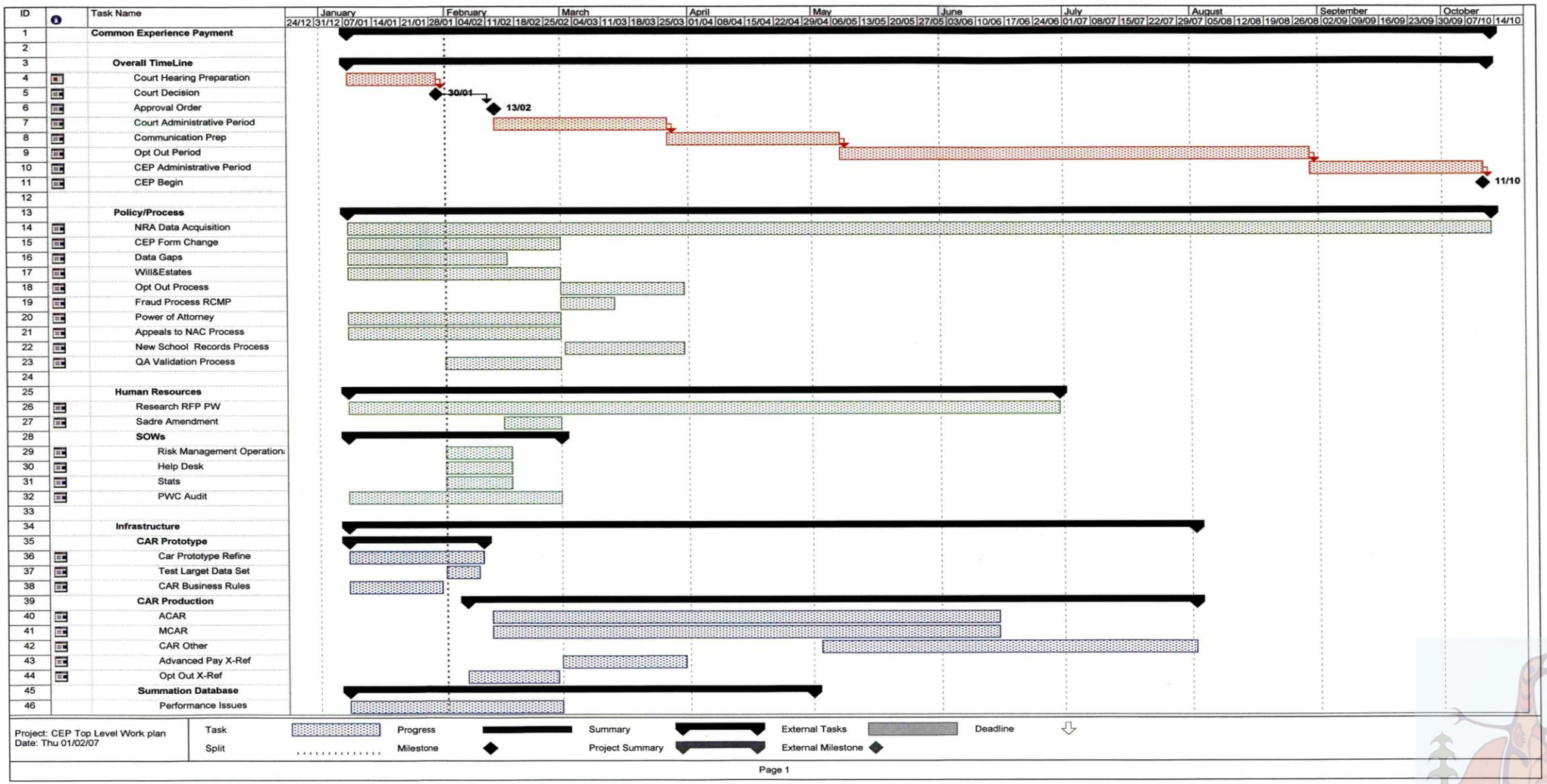
CEP Project Plan



CEP Project Plan

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