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| Section: SYSTEMS MANAGEMENT | Name of Policy: SERVICE PROVIDER OPERATIONAL REQUIREMENTS |
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APPROVED BY Director, Children's Services**DATE:** March 18, 2015**EFFECTIVE DATE:** November 15, 2013**LATEST REVISION:** November 20, 2017**Authority:** Niagara Region Children's Services.

Intent: To ensure that all service providers receiving funding of any nature from Niagara Region Children's Services, through the submission of documentation as required.

Definitions: Year End and Qualitative Report – a financial report completed by the organization's auditor that compares the amount spent on specific allowable services and the amount received from Niagara Region Children's Services for those services.

Fiduciary – holding in trust.

Service Agreement – negotiated agreement between Niagara Region Children's Services and a service provider for: subsidized child care and/or camp programs, or for specific child care services or child and family programs and services.

Reconcile – the process of comparing and adjusting the resources requested and the resources used in providing service according to previously agreed upon units of service.

Variance – the difference between the amount of resources provided by Children's Services and the amount expended by the Service Provider.

Policy: All service providers who receive funding from Children's Services shall submit documentation as required, dependent upon the type of agreement they hold with Niagara Region Children's Services.

Contractual agreements vary, accordingly the following will apply:

1. Wage Enhancement Grant – if the service provider only receives the Wage Enhancement Grant, they must apply for funding yearly and reconcile funds received by a date determined by Niagara Region Children's Services. Failure to apply and/or reconcile will result in termination of funding.

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2. Camp Programs must submit: Budget, Guidelines, confirmation of High Five and Ontario Camping Associations participation, and Insurance.
3. Full Service Contracts must submit:
 1. Budget
 2. General Operating Grant
 3. Salary Surveys
 4. Insurance
 5. Board of Director information
 6. Year End and Qualitative Report
 7. Quality Child Care Niagara monthly data and;
 8. Wage Enhancement Application and Reconciliation
 9. Notification of any Critical Serious Occurrence
 10. Notification of a Provisional /Tier 3 license
4. Special Needs Agencies must submit: Budget, Salary Survey, Insurance, Board of Director information, Year End and Qualitative Report, Quarterly Reports and Level of Service Tool Reports.
5. Child and Family Programs and Services EarlyON Child and Family Centres) must submit: Budget, Salary Survey, Insurance, Board of Director information, Year End and Qualitative Reports and Quarterly Reports.

Procedure: All service providers receive budget packages prior to the calendar year end from Niagara Region Children's Services. Online budget submission must be completed by February 28, or a date set by Niagara Region Children's services.

Children's Services Contract Managers or designates are available to assist service providers with the submission of budgets.

Service operators understand that should they not comply with reporting requirements within the expected timelines, that progressive limitations will be applied by Niagara Region Children's Services (Schedule A).

Service providers must also complete Appendix A on a yearly basis (as applicable for the services they provide).

In addition to contractual arrangements with Niagara Region Children's Services the operator must:

1. Pay minimum wage as a minimum base salary-in all situations.

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2. Participate in Niagara Child Care Registry – (OneHSN) as applicable to services provided.
3. Agree not to charge subsidized clients any additional fees such as registration fees, fundraising, meal/snack and/or termination fees. Items such as late pickup fees are acceptable.

The Children's Services Contract Manager or designate will contact the service provider to request submission of documentation, if not received by the designated date. Options for submission will be discussed at that time. Should the documentation as outlined in this policy not be submitted, and Niagara Region Children's Services serves notice in writing that the placement of subsidized children and or withholding of funding or suspension or termination of contract shall be enforced, the service provider has the right to appeal the decision to the Director of Niagara Region Children's Services.

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Schedule A

Progressive Limitations

When all submissions meet timelines, no limitations will be applied, with the exception of Serious Occurrences and Provisional Licenses. If submissions are not received within timelines, the circumstances will be reviewed and the following stages of Progressive Limitations will be applied.

| Area | Timelines for Compliance | Stage One | Stage Two *if not compliant in stage one, the following may/will apply | Stage Three *if not compliant in stage Two, the following may/will apply |
|---------------|------------------------------------|--|--|---|
| Budget | Yearly on or before February 28 | *email reminder with anew timeline for compliance if submission is late, no bonus funding will be forwarded for child care | -no placement of new subsidized children -not eligible for any one time funding such as general operating grant | -hold on cash flow and possible Termination of contract |
| Salary Survey | Yearly on or before February 28 | *email reminder with anew timeline for compliance if submission is late, no bonus funding will be forwarded | -no placement of new subsidized children -not eligible for any onetime funding such as general operating grant | -hold on cash flow and possible Termination of contract |

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| Insurance | Annually upon renewal | *email reminder with a new timeline for compliance | Termination of contract | |
| Board of Directors | Annually or upon changes | *email reminder with a new timeline for compliance | Meeting with manager and Director of Children's Services to discuss relationship and expectation | |
| APER | Yearly June 30th | *email reminder with a new timeline for compliance | -no placement of new subsidized children -not eligible for any one time funding such as general operating grant | -hold on cash flow and possible Termination of contract |
| QCCN | Monthly* Dependent upon months of operation on or before the 10th of the following month | *email reminder with a new timeline for compliance | -no placement of new subsidized children -not eligible for any one time funding such as general operating grant | -hold on cash flow and possible Termination of contract |

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| Wage Enhancement (for child care centres) | 2 times per year Application due by June 15th and reconciliation date to be determined yearly | No further funding until next round of application | | |
| OneList | Monthly On going | The contract manager may contact the service provider dependent upon identification of no activity in the application and investigate. | Dependent upon review, the contract manager may request a plan of action within a specified timeline for activity in the application and investigate. | Should OneHSN continue to not be used by the service provider they will not be eligible for any one time funding such as general operating grant and up to and including a hold on cash flow and termination of contract. |

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| Serious Occurrences deemed critical | As identified | The Contract Manager may contact the service provider dependent upon the type of serious occurrence and investigate | Dependent upon the nature of the occurrence the contract manager may request a plan of action within a specified timeline for correction of the occurrence. Dependent upon the nature of the occurrence, the contract manager may freeze the placement of new subsidized children | Should correction to the occurrence not be made or other issues identified through licensing or investigation, further action will be taken, up to and including a hold on cash flow and possible termination of contract. |
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| Provincial License/Tier 3 license | As identified, the service provider MUST contact the Contract manager or designate to discuss | The Contract manager may contact the service provider dependent upon the issues identified in the provisional license and/or Tier 3 license and/or: where the program has been subject to an enforcement action; or/and is among the bottom 10% of centres in terms of the number and severity of non-compliances, and investigate Dependent upon the issues identified, the placement of new subsidized children may be frozen until a clear license is obtained and/or the centre moves out of a Tier 3 license | | |
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Appendix A
Children's Services 2017

Name of Organization: _____ **Date:** _____
***Signing Authority:** _____
Position _____

*** I have the authority to bind the above organization to Appendix A**

Niagara Region Children's Services, as systems manager for child care services and supports, endeavours to make every effort possible to assist operators. This partnership requires active participation with your organization. A guide to Appendix A has been developed to assist you with any questions you may have with regard to this document.

The following items **must** be reported to Children's Services:

| Item | Signing Authority |
|---|--------------------------|
| I agree to submit an operational budget to Children's Services by February 27 of the funding year. | |
| My organization carries a minimum of insurance coverage of five (5) million dollars, which identifies Niagara Region as third party additional insured. | |
| I agree to submit Annual Program Expenditure Report (APERS), General Operating Grant Utilization Report, variance reports and the required audited financial statements as required within the timelines identified by Children's Services. | |
| I agree to complete a salary survey and submit to Children's Services by February 27, of the funding year. I agree, acknowledge and understand that should my organization not complete and submit a salary survey and a general operating grant submission within the timeline set out by Children's Services, my contract may be terminated or suspended, or my funding for the general operating grant may be withheld until such time as documentation is submitted and approved by Children's Services. | |
| I agree to complete a General Operating Grant Submission Form and submit to Children's Services by February 27, of the funding year. | |

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| <p>I agree, acknowledge and understand that I must report any occurrences of a serious nature to the Ministry of Education.</p> <p>I agree, acknowledge and understand that dependent upon the nature of the serious occurrence that Children's Services has the right to:</p> <ul style="list-style-type: none"> - terminate or suspend the contract or - has the right to suspend the placement of subsidized children, and/or, in addition, <p>Children's Services has the right to visit the centre, investigate any licensing concerns, serious occurrences or complaints and/or may involve the Early Childhood Community Development Centre, or other organizations and services, which will support the child care operation.</p> | |
| <p>Should it occur, I agree, that I will submit notification of any licensing non-compliance to my Children's Services Contract Manager within one week of the non-compliance.</p> <p>I agree, acknowledge and understand that dependent upon the nature of the licensing non-compliance that Children's Services has the right to terminate or suspend the contract or has the right to suspend the placement of subsidized children.</p> | |
| <p>I agree to participate and maintain my operations listing on Niagara Region's Child Care Registry.</p> | |
| <p>I agree, acknowledge and understand that I will report data to the Early Childhood Community Development Centre regarding segments of Quality Child Care Niagara (QCCN) on a monthly (per operations) basis:</p> <p>DISC Preschool Screen (DPS)-monthly and Environmental Rating Scales of each classroom –yearly.</p> <p>I agree, acknowledge and understand that should the above mentioned reports not be submitted in the above mentioned timelines, that Children's Services has the right to withhold placement of further children in the centre</p> | |
| <p>I agree to submit, with sign-off of Appendix A, a list of staff employed by my organization that have been trained in Quality Child Care Niagara, Reflective Practice Institute, and also to submit to Children's Services a list of staff of any employees that are missing components in either phase.</p> | |