

Early Years and Child Care Service Provider Handbook

for early years and licensed child care providers in Peel

January 2025



Dear service provider,

Peel Region is the service system manager for Early Years and Child Care Services (EYCCS) in Peel. In this role, we work with service providers to create positive outcomes for families. Peel is a growing and diverse municipality, and the needs of its children and families have changed over the past 20 years. To help manage this diverse and growing system, Peel Region introduced a - [road map for early years and child care](#), which outlines a vision for creating a system that is affordable, inclusive, high quality, accountable, and accessible.

This Service Provider Handbook (“SPH”) for early years and licensed child care providers is one tool through which we communicate system priorities. The SPH serves as an accountability guideline by outlining:

- Roles and responsibilities for service providers and Peel Region
- Policies for service providers who are using public funds
- Peel’s processes for service provider monitoring and policy enforcement.

Service providers must review this SPH and use it to guide their operations and reporting along with their EYCC Funding Agreement(s), EYCCS Policies, and funding guidelines. Together these are legally binding documents between Peel Region and the service provider. We have the discretion to implement progressive sanctions if service providers do not comply with the requirements in any of the documents referenced above.

If you have questions about the information in this SPH, please contact us at EarlyYearsSystemDivision@peelregion.ca.

This SPH supports our shared commitment to supporting children and families in Peel. On behalf of EYCCS, we look forward to continued collaboration with your agency.

Sincerely,



Nakiema Palmer
Director, Early Years and Child Care Services
Peel Region

Table of Contents

Early years and child care service system priorities	7
Technology supports.....	7
GovGrants	7
OCCMS.....	8
Early years and child care system staff and support	8
Early years and child care service staff	8
EarlyON Centres Specialists.....	8
Early Years Specialists (EYS)	9
Purchase of Service Analyst (POSA)	9
Senior Program & Funding Analyst (SPFA)	9
Children’s Services Workers (CSWs)	9
Contracts Coordinators (CCs).....	10
Other supports and resources.....	10
Peel Inclusion Resource Services (PIRS) Resource Consultants (RCs)	10
Child Development Resource Connect Peel (CDRCP)	10
Service provider responsibilities	11
Authentic participation requirements.....	11
Child care subsidy	11
Continuous Quality Enhancement	11
Peel Inclusion Resource Services (PIRS).....	12
Compliance with authentic participation	12
Review for Child Care Subsidy:.....	12
Escalation and feedback processes for PIRS.....	12
Escalation process for Continuous Quality Enhancement:	12
Public concerns process	13
Other general requirements.....	13
Sale of items purchased with Peel Region funding	13
Conflict management.....	14
Dispute Resolution	14
Declined CWELCC Expansion Applications	14
Ineligible CWELCC Costs.....	14
Appeal Process.....	15
Change of business operations	15

Child care site relocation.....	15
Opening a new site.....	15
Change of business	16
Types of business changes	16
Share transfer	16
Asset sale	16
Amalgamation.....	17
Corporation change	17
Short-term and long-term temporary closures.....	17
Labour and other service disruptions.....	18
Changes in staffing levels	18
Termination of EYCCS agreements.....	18
Insurance	19
Change of banking information	19
Financial reporting requirements	20
CWELCC or non-CWELCC receiving Peel funding greater than or equal to \$150,000 in your fiscal year.....	20
Non-CWELCC receiving less than \$150,000 in your fiscal year	20
Audited Financial Statements.....	20
Statement of Revenue and Expenditure	20
Financial Annual Information Return (FAIR)	21
Reconciliation Reports.....	21
Operating Budgets	21
Standardized Financial Report	22
Requirement to Provide Audited Financial Statements on a Calendar Year Basis....	22
Recoveries.....	23
Accountability framework.....	24
Guiding principles	24
Compliance audit mechanisms.....	24
Funding inspections	25
Funding reviews.....	25
Third-party funding reviews	25
Enhanced reconciliation reviews	25
Unplanned reviews.....	25
Compliance audit selection	25

Notice	26
Compliance audit requirements	27
Requirements for Supporting Documentation	28
Cost Reviews	29
Cost Review Selection	29
Cost Review Requirements	29
Timing	29
Appendix A – Child care subsidy program information	31
Payment information	31
Start date	31
Late starts	31
Withdrawals	31
Outstanding fees	31
Statutory holidays	31
Days your program is closed	32
Absent day	32
Absent day allowance	32
When all absent days are used	32
Reporting consecutive absences	32
Break-in-service	32
Snow days and inclement weather	33
Parental leave	33
Enrolment into kindergarten	33
Municipal rates and market rates	33
Municipal daily rates	35
Circumstances that may affect the municipal approved daily rates	35
Market daily rates	36
Calculation of market daily rates	36
Market Rate Fee Schedule	36
Cross-jurisdictional placements	37
Appendix B – OCCMS web attendance reporting for licensed child care	38
OCCMS web attendance mandatory training	38
Security and user rights	38
Attendance schedule and reporting	38
Reporting child care subsidy placement	38

Reporting CWELCC attendance	39
Appendix C – Child Care Subsidy payments	40
Payment process.....	40
Adjustments	40
Centre Payment Detail Summary.....	40
Payment Confirmation	40
Reporting over/underpayments	41
Region’s discretion to adjust past payments.....	41
Appendix D – EYCCS Policies.....	42
Compliance Policy	42
Canada-Wide Early Learning and Child Care (CWELCC) Opt-out Policy	45
Purpose.....	45
How to Opt-out of CWELCC	45
Service Provider’s Right to Opt-out.....	45
Service Providers Obligations Upon Opt-out.....	46
Re-applying for CWELCC	47
Reallocating Opt-out Spaces	48
Inter-Agency Dispute Resolution Policy	49
Early Years and Child Care	49
Inter-Agency Dispute	49
Resolution Policy	49
Peel Region Early Years and	49
Child Care Service Providers	49
Released: December 2023	49
Section 1: Purpose	49
Section 2: Definitions.....	49
Section 3: Scope	50
Section 4: Policy requirements	50
Section 5: Complaint process.....	51
Section 6: Participation in the third-party investigation	53
Section 7: Confidentiality	55

Early years and child care service system priorities

This SPH will ensure the funding provided is used efficiently and responsibly to support the following EYCCS System Plan priorities:

- Public funds are used to improve the **affordability** of licensed child care and the viability of child care system providers
- Early years and child care programs are **inclusive** to all children and families
- There is continuous improvement in early years and child care program **quality**
- The early years and child care system is future-oriented, responsive, and **accountable**
- Families have **access** to programs that meet their needs and **access** to accurate and up-to-date information



Technology supports

GovGrants

Peel Region uses GovGrants Technology System to flow public funds. GovGrants is a safe, secure, and user-friendly system that allows you to:

- View and download funding agreements
- Complete reconciliation and progress reports
- View funding history
- Upload the documents we require

The information you enter into the system will only be accessible to authorized users in your organization and Peel's EYCCS staff. You can view your information at any time and make updates as needed. Training videos, tip sheets and other resources are available on our [website](#) to assist you with using GovGrants.

OCCMS

Ontario Child Care Management System (OCCMS) is a provincial system used to track attendance for early years and licensed child care agencies. For Peel, OCCMS is currently used to report the attendance of:

- children and families visiting EarlyON centres;
- children in receipt of Child Care Subsidy; and
- children in receipt of CWELCC, vacancies, Operating Capacity, and Wait List

On the Funding support and resources page, please refer to the [OCCMS User Guide](#) for more details on CWELCC reporting in OCCMS, or the [OCCMS EarlyON User Manual](#) for reporting on EarlyON attendance.

Early years and child care system staff and support

A team of professionals is available to support you. This team includes EarlyON Specialists, Early Years Specialists (EYS), Purchase of Service Analysts (POSA), Senior Program Funding Analysts (SPFA), Peel Inclusion Resource Services Resource (PIRS) Consultants, Children's Services Workers (CSWs), and Contract Coordinators (CC). If you have a question about who to contact, please email us at: EarlyYearsSystemDivision@peelregion.ca and we will direct you to the appropriate team.

Early years and child care service staff

EarlyON Centres Specialists

The Peel Region EarlyON team works with EarlyON providers to fund, plan, and manage the delivery of EarlyON programs across the region. This includes:

- Ensuring equitable access to programs
- Developing and updating EarlyON guidelines for providers
- Supporting providers in their use of technology (OCCMS, GovGrants)
- Working with providers on key initiatives, including Diversity, Equity, and Inclusion (DEI) and Continuous Quality Improvement
- Funding and providing oversight to agencies that provide services to EarlyON centres (Child Development Resource Connection Peel (CDRCP), EveryMind Mental Health Services, The Indigenous Network)
- Monitoring and assessing the delivery of EarlyON to inform service planning

The Peel Region EarlyON team can be reached at EarlyON@peelregion.ca.

Early Years Specialists (EYS)

EYS are the primary contact for child care service providers for information and support at the Peel Region. EYS help providers to understand:

- Regulatory requirements,
- Service delivery standards,
- Contractual reporting requirements
- Navigate and understand the Regional guidelines
- Early years and child care system plans, and
- Evolving provincial and local funding and program policies.

This is offered through program visits, in-person/virtual meetings, and periodic virtual group drop-in sessions.

Purchase of Service Analyst (POSA)

The role of the POSA is to:

- Review required documents and funding applications to ensure you are eligible
- Ensure you use funds according to the terms and conditions of the EYCCS agreements, policies, procedures, and funding guidelines
- Review reconciliation reports, progress reports, and enhanced reporting requirements
- Process and review rate increase requests
- Conduct child care funding inspections

Senior Program & Funding Analyst (SPFA)

The role of the SPFA is to:

- Support the administration of all EYCCS funding programs
- Support the development of reporting tools
- Analyze financial submissions, such as budget proposals, financial annual information return (FAIR) reconciliation reports and financial statements
- Ensure funds are recovered from providers
- Conduct funding reviews

Children's Services Workers (CSWs)

The role of the CSW is to:

- Determine and approve eligibility for Child Care Subsidy
- Communicate Child Care Subsidy approvals (including subsidy start date and parent fee), changes to approvals (including changes to placements, parent fees) and when subsidy is ending
- Complete and manage child care placements on OCCMS

- Communicate with you to offer support and/or address any concerns in relation to families in receipt of Child Care Subsidy

Contracts Coordinators (CCs)

The role of the Contracts Coordinator is to:

- Review and verify OCCMS web attendance for children who receive Child Care Subsidy
- Complete payment adjustments to correct confirmed discrepancies
- Process subsidy payments

Other supports and resources

Peel Inclusion Resource Services (PIRS) Resource Consultants (RCs)

RCs are employed by the following Special Needs Resourcing (SNR) agencies:

- Brampton Caledon Community Living
- Community Living Mississauga
- ErinoakKids Centre for Treatment and Development
- EveryMind Mental Health Services

RCs are a resource to families, children, and you through their knowledge of child development, early intervention, and inclusive practices. They regularly visit child care programs to:

- Build the capacity of service providers and educators to support the inclusion of all children through conversations, coaching and modelling, and sharing of ideas, strategies, information, and resource materials.
- Collaboratively develop and support the implementation of Individual Program Plans for children engaged in service.
- Work with providers and educators to increase awareness of PIRS for families.
- For additional information about the role of the RC, please see the [PIRS Memorandum of Understanding](#).

Child Development Resource Connect Peel (CDRCP)

CDRCP supports early years and child care programs through professional learning and development sessions and the Quality Enhancement Initiative as the selected continuous quality enhancement program for licensed child care. You are encouraged to reach out to your QI Mentors and visit CDRCP's [website](#) for more information.

Service provider responsibilities

Authentic participation requirements

By signing a Peel funding agreement, you are agreeing to the following requirements:

- Accepting and including children who receive Child Care Subsidy, if eligible
- Participating in continuous quality enhancement practices
- Supporting the participation of all children by authentically participating in PIRS and complying with the [PIRS Memorandum of Understanding](#)

Child care subsidy

To ensure Authentic Participation in the Child Care Subsidy program, you must:

- Discuss [Child Care Subsidy](#) with all families during tours
- Include Child Care Subsidy information in your Parent Handbook
- Display a Child Care Subsidy poster in a visible area(s) for all families
- Include information regarding Child Care Subsidy on your website and in any publicity, promotional materials and/or social media used
- Accept all children approved to receive Child Care Subsidy on a first come, first served basis, without biases or preferences
- Ensure all families are aware Child Care Subsidy is available from Peel Region and that it works together with the Canada-Wide Early Learning and Child Care program

Continuous Quality Enhancement

Licensed child care providers may choose from two options to demonstrate Continuous Quality Enhancement

The Quality Enhancement Initiative ([link- pending will be available end of year](#)) built on the values of nurturing relationships, effective practices, pedagogy into practice and enhancing leadership capacity.

- a. Commitment to meet the requirements of the Quality Enhancement Initiative
- b. Submission of a signed Memorandum of Understanding every two years, confirming compliance with Continuous Quality Enhancement Authentic Participation requirements.

or

Another Accredited Quality Enhancement Program

- a. Engagement of all staff in continuous professional education
- b. Self- assessment through the completion of a validated environmental assessment on an annual basis

- c. The establishment of program goals based on current best practices.

If you choose this option, you must present documentation to establish that the Quality Enhancement Program meets the required criteria. Peel Region reserves the right to approve the Quality Enhancement Program; and shall assess and validate your participation.

All EarlyON providers are required to participate in the Continuous Quality Improvement (CQI) approach that uses reflective practice to assess program quality, highlight successes, and plan and monitor areas of growth and improvement.

Peel Inclusion Resource Services (PIRS)

You are required to:

- Support the participation of all children by participating in PIRS
- Ensure that child care program staff and/or home child care providers comply with the PIRS participation requirements outlined in the [PIRS Memorandum of Understanding](#). We may update or amend the document at any time.

Compliance with authentic participation

The following processes are in place to ensure you meet your Authentic Participation.

Review for Child Care Subsidy:

Staff will regularly review if your agency is accepting children receiving Child Care Subsidy and will address concerns with you directly.

Alternatively, families may also make a [child care complaint to the Ministry of Education](#).

Escalation and feedback processes for PIRS

You must follow the Escalation Process outlined in the [PIRS Memorandum of Understanding](#) when you have concerns about your services from the PIRS Resource Consultant. If a resolution cannot be reached, you can escalate the matter to us at PIRS@peelregion.ca.

Similarly, if a PIRS SNR agency has concerns with your participation in PIRS, they must follow the Escalation Process or email us if a resolution cannot be reached.

Providers and families can send us feedback about PIRS through our [PIRS Feedback Form](#). Staff will review your feedback and follow up with you if requested.

Escalation process for Continuous Quality Enhancement:

If you are participating in the Quality Enhancement Initiative, CDRCP must share information with us regarding your Authentic Participation status. This includes intensified support program involvement and the professional learning and

development opportunities you access. If you are at risk of non-compliance, you will be monitored through the Authentic Participation Escalation Plan. If you are not in compliance, we may take progressive action.

Public concerns process

If families have concerns or questions about a child care or EarlyON centre that they cannot resolve by working with the child care or EarlyON provider, they can phone us at 905-791-7800 or complete the [online form](#). All complaints are followed up by EYCCS staff.

Other general requirements

- Operate in a manner consistent with the requirements as outlined in the *Child Care and Early Years Act, 2014* and the *Early Childhood Educators Act, 2007* (ECEA), and all regulations under these Acts, in addition to the College of Early Childhood Educators' Code of Ethics and Standards of Practice.
- Ensure your child care licence is in good standing
- Be in good standing with financial and contractual reporting requirements
- Submit required information completely and on time
- Ensure any funding provided to you is used in accordance with Regional Guidelines and EYCCS Agreement(s)
- Maintain records, including your funding agreement(s), for all funding received and expensed for a minimum of seven years
- Be subject to funding reviews, including the CWELCC Cost Reviews and Direct Engagements, and audits conducted by us or an authorized agent
- Follow the principles outlined in the Conduct of the Service Provider section of the EYCC funding agreement.
- Use an automated payroll system to manage EYCCS funding paid to staff

Sale of items purchased with Peel Region funding

If you are considering selling items, which were purchased with Peel Region funding, you must notify us via email at least 14 days prior. All sales must be transacted at fair market value (FMV). FMV refers to the price of an asset when a buyer and seller have reasonable knowledge of it and are willing to trade in the open market without pressure. This also applies to related-party transactions. Please note, sale of items worth over \$10,000 in current value, must be approved by Peel.

All proceeds from the sales must be used toward the purchase of new materials and/or toys for the site. If a sale has occurred where you do not use the funds to purchase new materials and/or toys, Peel may recover the amount equivalent to the proceeds of the sale. You must not accept cash for the sale. Documents supporting the sale may be subject to review.

Once the sales and/or purchases have been complete, licensed child care providers must email EarlyYearsSystemDivision@peelregion.ca and EarlyON providers must email EarlyON@peelregion.ca, copies of the following within 30 days:

- Electronic Funds Transfer (EFT) or cheque for each sale, including a bank statement for record of deposit; and
- Copy of invoices or receipts for new materials and/or toys purchased.

Conflict management

Peel Region prioritizes the health and safety of all its partners and their employees and is committed to working with and supporting our partners in building diverse, respectful, safe, and inclusive workplaces free from workplace harassment, racism, discrimination, or bullying behaviour.

The [Inter-Agency Dispute Resolution Policy](#), available on the Peel's website, reflects the responsibilities and obligations of all partners in ensuring the development and maintenance of a respectful, safe, and inclusive workplace. It applies to all the employees of the partners who support the delivery of early years and child care services to children and families in Peel. In the event of a conflict with external service delivery parties, you must comply with Peel's Inter-Agency Conflict Policy. Employers may wish to visit the Ministry of Labour, Immigration, Training and Skill Development's website for more information and consult their legal counsel as required. You are also encouraged to visit our [website](#) for more information.

Dispute Resolution

Child care providers may appeal the following situations:

Declined CWELCC Expansion Applications

Applicants may be denied if the application does not align with the requirements in Peel's CWELCC Multi-year Expansion Plan or Peel's Directed Growth Plan or if the applicant is considered not financially viable (deficits, liabilities or cash flow concerns).

Applicants may be required to revise the application to better align with the requirements of Peel's CWELCC Multi-year Expansion plan or submit additional financial documentation to demonstrate financial viability.

Ineligible CWELCC Costs

CWELCC costs may be deemed ineligible if they are not attributable, appropriate or reasonable for providing child care to eligible children in Ontario.

Providers may be required to submit supporting documentation and provide rationale for why the cost or amount is eligible.

Appeal Process

You must email us with the subject line “CWELCC Appeal” indicating what decision you are appealing along with supporting rationale to EarlyYearsSystemDivision@peelregion.ca within 30 calendar days from an eligibility decision. Additional documentation may be required.

We will review the appeal alongside relevant Peel Region policies and provincial legislation and guidelines to ensure all decisions comply with the necessary requirements. Please visit our [website](#) for more information related to participation in CWELCC.

We will notify you of our decision within 30 calendar days. All appeal decisions are final.

Change of business operations

EarlyON providers must follow the Change of Business Requirements for EarlyON Providers Policy. The policy, and related form, can be found on Peel Region’s [Funding Support and Resources website](#).

Child care site relocation

You must immediately notify us of any temporary or permanent location changes.

You must also:

- Provide all impacted families with a letter of notification, so they can decide if they want to attend the new location
- Email us a signed and dated PDF copy of the letter sent to families at EarlyYearsSystemDivision@peelregion.ca. The letter must include:
 - Date of the move to the new location
 - Address of the new location
 - Reason for the relocation
 - Anticipated date the program will return to the original location if temporary
- If the relocation will be extended beyond the originally communicated timeline, we must be notified at least 10 days in advance
- Where possible, CWELCC sites should prioritize relocation within 10km of their original address.

Opening a new site

Any service provider looking to open a new licensed child care site and participate in the CWELCC program, must submit a CWELCC Expansion application for approval. Applications are subject to Peel’s review as well as funding and space availability. We

will review applications against provincial requirements and Peel Region's specific criteria. Please visit our [website](#) for more details about the application process.

Change of business

If you plan to change the business of your child care centre or home care agency, you must notify us at least 60 days before the effective date, or before October 31st of the applicable funding year, by emailing us at EarlyYearsSystemDivision@peelregion.ca. Failure to comply with notice period could result in a delay and/or hold on payment.

Any change of business executions, including the transfer of funding agreement(s), will be approved at our discretion. We will not transfer existing funding agreement(s) to new or existing owner(s) if:

- The purchasing corporation has a different corporation name and/or number than the one identified on the executed EYCC Funding Agreement(s)
- The operating licence, as provided by the Ministry of Education, has been terminated, impacted, or altered

Please refer to the [Ministry of Education's child care licensing resources](#) for more information about Shares Transfers, Asset Sales or Amalgamations.



Types of business changes

Share transfer

A share transfer takes place when a corporation is transferred from one party to another, and the new shareholder(s)/owner(s) assumes responsibilities of the corporation in its current state. This includes the condition of the corporation before the purchase date and all effects after the purchase date.

The new shareholder(s) or owner(s) also obtains the operating licence issued by the Ministry of Education, including any CWELCC space allocations (at approved operating fees), the funding agreement(s) with Peel Region, and all reporting requirements associated with the corporation and its fiscal year-end. **It is the responsibility of the new shareholder(s) or owner(s) to collaborate with the previous owners to fulfill any reporting requirements.** If the provider fails to meet the reporting requirements, regardless of a share transfer, we may apply consequences under the Compliance Policy.

Asset sale

An asset sale occurs when part or all assets owned by a corporation are sold, and the purchaser assumes responsibility for the assets purchased on the effective date. The seller remains responsible for the assets, including any reporting requirements as per the executed funding agreement with Peel before the effective date.

The operating licence from the Ministry of Education, including any CWELCC space allocations and any funding agreement(s) with Peel Region would be terminated. Purchasers may apply to inherit the CWELCC spaces previously held by the seller. Should the purchaser apply for CWELCC spaces over and above what was previously allocated to the seller, the application will be subject to Peel's CWELCC Multi-Year Expansion Plan. Please visit our [website](#) for more information.

Amalgamation

An amalgamation occurs when two or more corporations merge and combine all assets and liabilities of each Corporation to form an entirely new legal entity, or *Corporation*.

The operating licence from the Ministry of Education, including any CWELCC space allocations, and any funding agreement(s) with the Peel would be terminated. Owners of the new entity/corporation may apply to inherit the CWELCC spaces previously held by the previous entity/corporation. Should the new entity/corporation apply for CWELCC spaces over and above what was previously allocated to the previous entity/corporation, the application will be subject to Peel's CWELCC Multi-Year Expansion Plan. Please visit our [website](#) for more information.

Corporation change

A corporation change takes place when a corporation changes its business type as recognized by the Ontario Business Registry to identify as a for-profit or not-for-profit, and/or corporation, sole proprietorship, or partnership.

The operating licence from the Ministry of Education, including any CWELCC space allocations, and any funding agreement(s) with Peel would be terminated. Owners of the new entity/corporation may apply to inherit the CWELCC spaces previously held by the previous entity/corporation. Should the new entity/corporation apply for CWELCC spaces over and above what was previously allocated to the previous entity/corporation, the application will be subject to Peel's CWELCC Multi-Year Expansion Plan. Please visit our [website](#) for more information.

Short-term and long-term temporary closures

Short-term closure is when an unplanned (not part of regular operations) closure of a program is expected to last longer than two consecutive weeks (and not more than four weeks of closure in a calendar year for CWELCC providers), up to one month.

Any closure days for which base-fees are charged, count towards your maximum number of closure days. This includes, but is not limited to:

- Non-statutory holidays/closures
- Professional Development (PD) days

Long term closure is when an unplanned closure of a program is expected to last longer than one month, up to 12 months. This relates to closures outside normal

operations but does not include closures due to inclement weather or provincial direction.

Peel asks that you provide 60 days notice if you suspect your centre will experience a temporary closure, a delay in opening a program, or a delay in resuming operations after a temporary closure. We understand that you may not be able to provide 60 days notice if there is of a temporary closure, however we ask that you provide as much notice as possible.

Please email EarlyYearsSystemDivision@peelregion.ca notifying us of any temporary closure and provide the following information:

- Expected date and duration of the closure
- Reason(s) for the closure
- If you will continue to charge families during the closure
- If you will continue to pay program staff
- Copy of communication sent to families notifying them of the closure
- Copy of email or notification to the Ministry of Education

After we review the information you submit, we will discuss funding impacts and restrictions with you, if applicable.

Labour and other service disruptions

Peel Region asks that you provide 60 days notice if you suspect your centre will have a service disruption that impacts licensed child care service delivery. We understand that you may not be able to provide 60 days notice if there is a service disruption, however we ask that you provide as much notice as possible.

Please email EarlyYearsSystemDivision@peelregion.ca notifying us of the disruption and let us know if you will continue to charge families and pay your staff. After we review your policies, we will discuss applicable funding impacts.

If you experience a type of service disruption, you will:

- Communicate program availability and closures to your families
- Follow your parent handbook related to charging families
- Determine if you will pay staff for closure days
- Notify Peel Region at the email provided above

Changes in staffing levels

Providers must notify us immediately if you experience an increase or decrease of 25% or more in staffing.

Termination of EYCCS agreements

You are liable for all obligations outlined in your EYCCS agreement(s) and applicable guidelines up to and following the termination of an agreement. When any of your

agreements are terminated, you must comply with all requirements referred to in the EYCC funding agreement, funding Guidelines, and this handbook, including but not limited to:

- Completing and submitting Ontario Child Care Management System (OCCMS) attendance, financial statements, and reconciliations by assigned deadlines
- Paying any funding identified as due to us following the reconciliation process

Insurance

You must maintain the following insurance at your own expense, unless otherwise required, as per your Funding Agreement with Peel Region:

- Commercial General Liability insurance
- Abuse coverage
- Automobile insurance, if applicable

Please review your Funding Agreement for required coverage amounts.

All policies shall:

- Be written with an insurer licensed to do business in Ontario
- Be completed on the applicable insurance certificate
- Serve as the primary insurance available to Peel Region
- Contain an undertaking from the insurer to notify Peel Region in writing within 30 calendar days of any cancellation, reduction in the coverage being provided, lapse or termination of the policies.

For existing providers, any expiry, renewal, amendment, or other impacts to your insurance policy, must be updated via the insurance form provided in GovGrants.

If you do not provide the required insurance, it may result in:

- The withholding and/or cancellation of payments
- The withholding of enrolment of further approved children for Child Care Subsidy
- The withholding of Child Care Subsidy rate increases
- At the sole option of Peel Region, termination of their funding agreement.

Change of banking information

If you plan to change your banking information, you must email us at EarlyYearsSystemDivision@peelregion.ca 60 days in advance of the effective date.

Financial reporting requirements

Any provider with a funding agreement must submit financial statements (Unaudited or Audited). All child care providers receiving CWELCC funding must submit audited financial statements and must also submit the Financial Annual Information Return (FAIR).

Your financial reporting requirements may vary, depending upon the amount of funding received and your participation in various programs, as outlined below:

CWELCC or non-CWELCC receiving Peel funding greater than or equal to \$150,000 in your fiscal year

- Audited Financial Statements and note disclosure
- FAIR (Financial Annual Information Return)
- Reconciliation Report(s), if applicable
- Operating Budgets (Application for those in receipt of Legacy Top-up funding)
- Standardize Financial Report (provided by the Ministry).

Non-CWELCC receiving less than \$150,000 in your fiscal year

- Unaudited Financial Statements
- FAIR (Financial Annual Information Return)
- Reconciliation Report(s), if applicable

Audited Financial Statements

It is your responsibility to verify that the auditor you select has a valid license to perform audits in Ontario. Only accountants with a Public Accounting License (PAL) may issue an Independent Audit Report. Please visit the [CPA website](#) to learn about accounting and assurance standards, search for an auditor, or report concerns regarding a Chartered Public Accountant (CPA).



Statement of Revenue and Expenditure

This is a financial report that shows a business's revenue and expenses over a period of time and is part of your audited financial statements. We will require a consolidated statement of revenue and expenditures for all Peel child care sites for the calendar year as a supplementary to your audited financial statements if you:

- operate multiple sites in Peel and other municipalities.
- operate both centre and home child care operations in Peel and other municipalities.
- are part of a larger organization.
- do not have a December 31 year-end.

In addition, for each funding received from Peel during the applicable calendar year, your audited financial statements must include a note disclosure of:

- Amount(s) received
- Amount(s) spent
- Amount(s) overspent/repayable to Peel (if applicable)

We will provide additional details related to note disclosure in the Fall of 2025.

Audited financial statements and any note disclosure must be provided within the prescribed deadlines regardless of changes to your fiscal year-end.

Financial Annual Information Return (FAIR)

The [FAIR reporting template](#) standardizes financial statement information. You may choose to complete the FAIR template on your own or your auditor or accountant may complete it on your behalf. More information is in the [FAIR Guideline](#).

[Financial Annual Information Return \(FAIR\) Guideline - October 2023](#)

You must complete the FAIR template and submit it to us with your financial statements and management letter (if applicable) within four months after your fiscal year-end. Please email the completed FAIR to earlyyearssystem@peelregion.ca

Reconciliation Reports

Reconciliation refers to the process of comparing the total amount of funding provided to the actual program cost spent. These comparisons take place on an annual basis after the end of the funding period.

During reconciliation, you will be required to report the total amount spent through GovGrants. You may be required to provide additional program-specific information or key performance indicators (KPIs) through a separate report. More details about reconciliation and additional reporting requirements are available in each respective funding guideline.

You must submit your reconciliation report(s) by Peel Region's submission deadline. Failure to submit your reconciliation report(s) by the deadline will result in sanctions as per the Compliance Policy. Please refer to your funding agreement(s) for more details.

Operating Budgets

If you are in receipt of Legacy Top-Up Funding, the Ministry has made a requirement to submit a 2025 Operating Budget. 2025 Operating Budgets will be used during

Cost Reviews and to assess eligibility of costs claimed. More details, including submission deadlines will be sent to you if applicable.

Standardized Financial Report

The ministry has set a requirement for all participants in the CWELCC program to submit a Standardized Financial Report. The financial report will include a breakdown of eligible costs as they relate to your benchmark allocation (for example, program staffing and accommodations). We are still awaiting further details from the ministry and will provide them when available.

Requirement to Provide Audited Financial Statements on a Calendar Year Basis

Effective January 1, 2025, providers participating in CWELCC in Peel must change their year-end to December 31 and provide calendar year (January to December) audited financial statements and the FAIR.

Extension

If you were approved for an extension to meet this requirement by January 1, 2026, the following applies:

Due 4 months after your 2024 and 2025 Fiscal Year End

1. Audited Financial Statements for your regular fiscal year-end
2. FAIR

Due April 30, 2026

1. Audited Financial Statements for the partial year ended December 31, 2025
2. Audited Statement of Revenue and Expenditures for your Peel child care operations for the calendar year (January 1 to December 31, 2025)
3. FAIR (January 1 to December 31, 2025)

Due April 30, 2027

1. Audited Financial Statements for the calendar year (January 1 to December 31, 2026)
2. FAIR (January 1 to December 31, 2026)

Exemption

If you were approved for an exemption, the following applies:

Due 4 months after your fiscal year end each year

1. Audited Financial Statements for your regular fiscal year end
2. FAIR for the previous calendar year if different from the April submission.

3. Audited Statement of Revenue and Expenditures for your Peel child care operations for the previous audited calendar year.

Due April 30 each year starting in April 2026

1. Unaudited Statement of Revenue and Expenditures for your Peel child care operations for the calendar year (January 1 to December 31).
2. FAIR for calendar year January 1 to December 31.

Recoveries

You must repay Peel Region all or part of your funding if you:

- Do not meet the eligibility criteria at any point during the funding period
- Do not spend all or part of your funding
- Misuse funding as per the requirements set out in the funding agreement, and Peel's guidelines
- Claim expenses that were supported by other government funding
- Do not provide supporting documentation for expenses claimed
- Do not comply with or participate in an audit process;
- Cease or close operations of your business; and/or
- Do not comply with any requirements as per your funding agreement(s)

We will deduct payments through our recovery process. If you opt-out of CWELCC or end your agreement with us and your monthly allocation is less than the recovery amount, at the time of the recovery, you will have to repay Peel Region via certified cheque within 30 days of our report or communication.

Accountability framework

The accountability framework consists of principles, tools, and mechanisms which guide our operations as a service system manager. The Early Years and Child Care Services (EYCCS) Accountability Framework is a lens we use to promote a responsible use of public funds and developing supportive stakeholder relationships. This framework will guide the creation and/or modification of future policies and procedures, our approach to stakeholder interactions, and our administrative efforts to maximize the external use of public funds.

Guiding principles

- **Transparent** - we will clarify our expectations by communicating timely and openly the funding rules and the relevant consequences for non-compliance without breaking confidentiality.
- **Evidence-based decision-making** - we will use relevant data to guide our decisions on agreements, funding allocations, processes, reporting requirements, compliance audits selection criteria, and continuing or terminating relationships. Examples of the relevant data: monthly OCCMS CWELCC attendance and GovGrants Head Office and Site profile changes.
- **Risk-based** - we will identify and prioritize the highest compliance risks and funding exposure in our accountability mechanisms and processes to maximize impact and minimize waste.
- **Consistent** - we will maintain a consistent and equitable approach for all service providers with consideration to unique situations while balancing our accountability goals and upholding our reputational integrity.
- **Supportive** - we will maintain accountability for public funds in a manner that is fair and supports the financial viability of the early years' system.
- **Responsive** - our rules, principles, mechanisms, and corrective actions are responsive to the change in ministry direction and the evolving needs of the child care early years system.

Compliance audit mechanisms

We, or an authorized agent, will conduct onsite or virtual funding inspections and reviews to ensure you follow guidelines and policies. These visits could happen at any time and may include your centres, provider head offices, or locations where records are stored. We will ask for and review supporting documents to confirm that you follow specific sections of a funding guideline and complete applicable requirements. These reviews and inspections may result in recoveries and funding impacts. We may select your agency for any of the following, once every three to five years.

Funding inspections

The purpose of a funding inspection is to verify compliance with specific sections of the funding guideline(s). We may conduct random onsite or virtual funding inspections, including an attendance review.

Funding reviews

The purpose of a funding review is to confirm how you used funding and ensure that you comply with applicable guidelines, policies, memos, and regulations. A funding review can be conducted across multiple funding streams and periods.

Third-party funding reviews

These are funding reviews completed by our authorized third-party auditors. The purpose is like a staff-led funding review. The scope may vary depending on the budget and the agreed auditor engagement letter.

Starting in 2025 calendar year, the province requires us to select a 5% sample of eligible centres/agencies that received cost-based funding for the calendar year, to undergo a Direct Engagement as part of the reconciliation process.

Direct Engagements will evaluate compliance and verify that base fee revenue and costs reported on the standardized financial report were eligible. It will also confirm that a reasonable methodology has been used to pro-rate costs, where necessary.

Enhanced reconciliation reviews

The purpose of an enhanced reconciliation review is to verify amounts claimed during reconciliation by requiring supporting documents and asking additional questions. Enhanced reconciliations could take place before your reconciliation is approved or in some cases, we may reopen a previously approved reconciliation.

Unplanned reviews

The purpose of unplanned reviews is to address compliance issues for specific funding because of a request or complaint from the provider, staff, and/or a concerned citizen. Unplanned reviews may also take place following the completion of an enhanced reconciliation review or funding inspection.

Compliance audit selection

We will use the following parameters to select a random sample of service providers for reviews and inspections:

- Late, inaccurate, or non-submission of reporting requirements
- Non-compliance to policies, guidelines, agreements, and the Service Provider Handbook
- Quality Enhancement Initiative and program quality concerns received

- Complaints from staff, parents, and concerned citizens
- Viability concerns as reflected in the financial statements and the FAIR
- Not selected for a compliance audit mechanism in the previous 3 to 5 years

Notice

If you are selected for a funding review or funding inspection, we will send you advanced notice before our on-site visit or virtual review. The notice will inform you of the following:

- A detailed scope of the audit
- A list of documents you must prepare
- Dates and deliverables
- Names of staff who will be involved
- The estimated timeline

You will need to work with us or our authorized agent by:



- Providing suitable on-site space for our staff to complete the audit
- Providing access to related locations for operational and records observation, evaluation, collection, and review
- Ensuring that all requested documents are available on-site or uploaded to GovGrants
- Consenting to us having full access information, and the right to discuss and receive information with other agencies, if required, to verify expenditure of funding made under the Funding Agreement
- Being available to answer any questions during the audit
- Notifying employees or contractors that personal information related to their employee/contractor records may be collected and used by us if our funding was used. This information is collected under s. 71 of the Child Care and Early Years Act, 2014 (CCEYA) and follows notification requirements as set out in the Municipal Freedom of Information and Protection of Privacy Act (MFIPPA). Employees should be directed to us for any questions related to this request for information.
- When submitting information please redact the Social Insurance Number (SIN), addresses, and the last three letters of the last name of the employees, children, and/or parents. Please note that we hold the right to check the original date during review, and you have the responsibility to guarantee the integrity of the original data.
- You are responsible for advising employees that we require access to information related only to funding. You can redact information that may not be relevant to our funding, such as donations or increased tax deductions.

Compliance audit requirements

During these reviews and inspections, we may require any of the following information:

- Proof of credits or reimbursements/refunds issued to families
- Proof of payments to suppliers, staff, or home child care providers such as copies of:
 - staff payroll registers
 - T4s
 - paystubs
 - staffing schedules
 - distribution of HCC payments
 - staff distribution plan
 - timesheets including the number of hours worked
 - bank statements and canceled cheques copies
 - billing to parents
 - bank reconciliation statements including outstanding cheques
 - documentation of staff reassignment to other duties
 - communication to parents and staff etc.
- Actual enrolment data and/or attendance records
- Proof of revenue generated such as, parent fees, funding from government or third-party support programs, including copies of grant applications and approvals/discounts
- Receipts, invoices, quotations, proof of purchase, and any other documentation to assess expenses regardless of the amount
- Copies of lease and other long-term agreements, including any amendments
- Allocation methodology to pro-rate costs
- Additional reporting and/or audit requirements may be implemented on a case-by-case basis
- Note, all providers must retain supporting documentation for seven years.

Requirements for Supporting Documentation

- Receipt Requirements must include items claimed only and include:
- Date of the purchase
- Name, address, and contact information of the seller or supplier
- Name, billing, and shipping address of the buyer
- Full description of the goods or services, quantity, and amount. If this is not possible (e.g., a cash register tape), you must write a description of the goods or services on the receipt.
- vendor's business number if they are a GST/HST registrant. If this is not included, GST/HST amounts may not be paid.
- A written label with the funding component (e.g., R&M)
- Multi-sites must label their sites to their receipts/invoices

NOTE: if an item is sold or work is completed by someone related by blood, marriage, common-law partnership, or adoption, you must get a minimum of two quotes in addition to receipts / paid invoices.

Paid Invoice

- You must document proof of payment on the invoice (e.g., cheque #, e-transfer confirmation or credit card receipt).
- Online orders must include the receipt requirements information including payment details. A credit card statement and bank statement may be required as proof of payment.
- Your invoice must meet all receipt requirements.

Our compliance audit mechanisms may result in the following but not limited to, if you do not follow or comply with the funding guidelines and the related agreement(s), the following consequences may apply:

- Recovery of funding
- Discontinuation of funding
- Suspending eligibility for municipal rate increase
- Suspending eligibility for any new funding initiatives (ex. One-time Funding)
- Termination of your funding agreement(s)

We may review one or more funding streams for up to seven years for each audit. A follow-up audit may occur depending on our findings. We reserve the right to change our audit selection parameters and the frequency of our compliance audit mechanisms.

After completing our funding inspection and funding review, we will set up a meeting with you to discuss the results and findings. We will issue a report of our findings within 30 days after we finish our review.

You must submit accurate reports to us. Any reports containing false information could result in consequences including but not limited to hold on payments, reduction in funding, ineligibility for new funding, or termination of the agreement.

Please refer to the Event of Default and Corrective Action Section of the funding agreement for other actions we may take relating to audit findings.

Cost Reviews

We are directed by the Ministry to review the costs of any CWELCC provider's legacy (for 2025) or rolling top-up (for calendar years after 2025) eligible centres/agencies with the most disproportionately high top-up ratios, per the cost review selection criteria outlined below. The goal of these reviews is to gradually standardize the overall cost of providing child care in Peel. We will collaborate with you to identify ineligible costs and possible efficiencies.

Cost Review Selection

You may be selected for a Cost Review if your Legacy top-up ratio exceeds Peel's 2025 growth multiplier of 23%. Peel must select whichever group is smaller of the following two options:

- The top 10% of providers with a Legacy top-up ratio exceeding 23%, or
- All providers with a Legacy Top-up Ratio exceeding 23%.

Your top-up ratio, as identified by:

- Your eligible centre's/agency's legacy top-up (for 2025 only) or rolling top-up (for calendar years after 2025) divided by your benchmark allocation

If you were selected for a cost review in a previous calendar year, you will not be subject to a new cost review in the current calendar year, if you continue to work on cost reduction actions.

Cost Review Requirements

During this review we may require documents and information to identify the following:

- Costs that are ineligible; or,
- Opportunities for improved efficiencies in eligible costs, including costs that
 - may not provide significant value to the quality of the child care being provided, such as redundant costs that could be eliminated; or
 - could be incurred in more efficient ways, such as through bulk ordering, outsourcing of certain tasks, or other common business approaches.

Timing

We must complete this review by December 31 of the calendar year. It is important that you submit all the required documents on a timely manner for us to complete the

review and report to the Ministry. Once complete, we will set up a meeting with you to discuss the results and findings.

Appendix A – Child care subsidy program information

We provide Child Care Subsidy to help eligible families with child care costs for children 0-12 years of age in licensed child care programs. Information about eligibility criteria, the application process, and family responsibilities while receiving Child Care Subsidy is available on our [website](#).

Payment information

Start date

The CSW will notify you of a child's subsidy start date on the Confirmation of Child Care Subsidy notice.

We will pay our portion of the fee (which is the approved daily rate minus any parent contribution) beginning on the approved start date.

Late starts

If the child's start date is delayed, we will pay up to a maximum of 10 absent days until the child physically attends care. If the child does not attend care within those 10 days, the child is considered to have withdrawn from care without notice.

Withdrawals

If a family tells us they're withdrawing, we will give you at least two weeks written notice before withdrawing the child. If the family gives you notice they're withdrawing, email your CSW.

If the family does not provide at least two weeks' notice, we will pay you the approved daily rate minus any parent contribution (i.e. the municipal contribution) for up to 10 days, minus any days within that period the vacancy was filled.

Outstanding fees

You are responsible for reviewing and enforcing your payment policies with families. If a family owes you an outstanding balance for unpaid fees at the time they withdraw, you should advise the CSW of the amount owing. If a family reapplies for subsidy, they must make a repayment agreement with you before the application is approved.

Statutory holidays

We will pay you the approved daily rate on the following statutory holidays according to the child's approved schedule:

New Year's Day, Family Day, Good Friday, Victoria Day, Canada Day, Labour Day, Thanksgiving Day, Christmas Day, and Boxing Day.

Days your program is closed

You must report days when your program is closed (for example, staff professional development day, Easter Monday, Civic Holiday, or Christmas break) and whether you are charging full-fee families. This information should be included in your parent handbook and we recommend including it on your website. We will only pay for closed days if you are charging full-fee families. The web attendance [online training](#) shows you how to report closure days.

Absent day

Absent day allowance

If the child is away from the child care program for any reason, it is considered an absent day. We will pay the approved daily subsidy rate for all days a child is on a sick or health-related absence (e.g. medical appointment) and up to 60 absent days for other reasons (e.g. vacation) from January 1 to December 31. Unused absent days will not carry over to the following calendar year. Parents are responsible to pay their parent contribution for all days the child is absent regardless of the reason.

When all absent days are used

We will not pay the approved daily rate when a child uses up all their absent days. The Region will monitor absence days and will advise you and the family when a family is approaching their limit and must start paying you the full fee for any additional absence days.

Families are informed of this policy as part of the application process, through the Parent Agreement, and on an annual basis as part of their mandatory annual review.

Reporting consecutive absences

If a child is absent for 20 consecutive days for any reason, you must notify the CSW on the 20th day.

If the consecutive absences result in a withdrawal where no notice was given, see the web attendance [online training](#) for how to report the withdrawal in the OCCMS web attendance.

Break-in-service

A family's subsidy file will be closed when their child is no longer in care or they are no longer in receipt of subsidy. If the family is taking a break from care, we advise the family that they have to speak with you to see if you can hold their child care space during this time. The decision about their child care space is yours to make. When a

family returns to care, they can contact their CSW to have their file reopened and subsidy payments would resume.

Snow days and inclement weather

If you provide full-day care to approved school-age children who cannot attend the regular school board program due to school closure or bus cancellation, we will reimburse the approved full-day school-age rate.

If you typically walk the children to school but choose not to walk the children to school when the school is open, we will only pay the before and/or after-school rate.

Parental leave

Siblings may continue to receive Child Care Subsidy for a maximum of eight weeks after the new child is born or the last day of the parent's approved activity, whichever comes first. If after eight weeks the parent is not returning to work or school, their subsidy will end and they will have to reapply when they return.

Subsidy will not be paid after the eight weeks unless the CSW has provided advance written approval of an extension.

Enrolment into kindergarten

Children eligible to attend full-day kindergarten are not eligible to receive Child Care Subsidy for full-day child care on instructional days. Subsidy for full-day care may be approved up to the date before school starts. When school starts, subsidy will be paid for before and after school programs on instructional days and full-day care on non-instructional days such as PA days, March Break, if eligible.

Municipal rates and market rates

If you are currently enrolled in CWELCC, rates for the programs serving children under 6 years old are frozen and ineligible for increase. Rates for new providers must be below the Ministry's [Cap on Fees](#).

Please see the following options to request a municipal rate increase:

The rate increase process will vary depending on your participation in the Canada-Wide Early Learning and Child Care (CWELCC) program.

If you have **opted in** to the CWELCC program, you do not need to apply for a rate increase for your programs serving children under 6 years old through the regular municipal rate increase process as this has already been funded through the CWELCC you are receiving. For your programs serving children 6 to 12 years of age, you may apply for a municipal rate increase through the regular municipal rate increase process.

If you have **opted out** of the CWELCC program, you may apply for a municipal rate increase for your programs serving children 0-12 years of age through the regular municipal rate increase process. Please refer to the [Opt-out Policy](#) for more details.

How to apply for a municipal rate increase

Please complete one [Municipal Rate Increase Application](#) for your eligible program.

Rate increase windows

Every year, there are two periods to apply for a municipal rate increase but you can only apply once a year. You can request a municipal rate increase to take effect on either January 1 or September 1. Rate increases must be submitted at least 60 calendar days before the date the rate increase will take effect:

- January 1 rate increase requests must be submitted by November 1 of the previous year
- September 1 rate increase requests must be submitted by July 1 of the same year

Rate increase requests received after the due date will be moved to the subsequent increase period. For example, if a January 1 rate increase request is received after November 1, it will be considered for a September 1 rate increase.

Note: If you decide to change your rate increase period, you will need to wait 18 months for your next increase to take effect. For example, if you received an increase for January 1, 2023, you need to wait until September 1, 2024, for your next rate increase if you want to move your rate increase period from January to September.



Municipal daily rates

Municipal Approved Daily Rates are the rates you charge Peel Region for children who receive Child Care Subsidy. The Municipal Approved Daily Rate is the maximum rate we pay for Child Care Subsidy. You can find approved municipal rates in GovGrants. The Approved Daily Rate shall be set according to the age categories shown in Table 1.

Table 1. Age categories

Age Category	Age Range
Infant	0 to 18 months
Toddler	19 to 30 months
Preschool	2.5 to 4 years
Kindergarten	4 to 5 years
School age	6 to 12 years

Payment is contingent on verification of the enrolment and attendance records of an Approved Child as set out in Appendix C – Web Attendance Reporting

You shall be responsible to collect the Parent's Contribution

You shall not charge the parent of an approved child a fee which exceeds Peel Region's Approved Daily Rate

You will be responsible for collecting any balances owing from the Parent's Contribution, or fees due because the parent no longer receives Child Care Subsidy

Circumstances that may affect the municipal approved daily rates

a. Mixed age grouping

- You must ensure that the Approved Child is in the correct Program for their age group. Peel Region will pay the Approved Daily Rate based on the correct Program for an approved child's age group regardless of the Program for which the child is placed. You will see this on the monthly schedules in the OCCMS web attendance. Any situations where an approved child is placed temporarily in a program not intended for their age group must be temporary and short term.

Discounted rates

- The Approved Daily Rate may be adjusted if you offer a discount to your market rates. Any discounts offered to market daily rates, which may include, but are not limited to, percentage deductions for multiple siblings or for staff, must also be applied to the municipal daily rates.

Where an approved child never starts an approved program and does not provide 10 days' advance notice to the service provider, Peel Region may pay you for the Child

Care Subsidy portion of an Approved Daily Rate up to a maximum of 10 days upon request and with approval.

- You must report withdrawals with no notice in accordance with the Reporting Consecutive Absences section in Appendix B and the web attendance e-learning.

Market daily rates

Market rates are the fees that you charge to full-fee families who do not receive Child Care Subsidy.

Calculation of market daily rates

We will not pay a Municipal Approved Daily Rate that is higher than your Market Daily Rate for 6 to 12 programs. This is how Market Daily Rates are determined:

Rate frequency identified on provider fee schedule	Number of days child is enrolled per week	Market daily rate calculation <i>(Divide the rate by the average number of days below)</i>
Monthly Rate	5	21.75
	4	17.42
	3	13.08
	2	8.75
	1	4.42
Weekly Rate	5	5
	4	4
	3	3
	2	2
	1	1

Market Rate Fee Schedule

Changes to your market rates will vary depending on your participation in the Canada-Wide Early Learning and Child Care (CWELCC) program.

If you have opted in to the CWELCC program, your rates for your programs serving children 0 to 6 years old are frozen and cannot be changed. For your programs serving children 6 to 12 years of age, you may change your market rates as per your business process.

If you have opted out of the CWELCC program, you may change your market rates as per your business process for your programs serving children 0-12 years of age.

Your market and approved daily rates may differ, Peel Region may review and determine continued eligibility for funding at any time, where the Market Rates in a Fee Schedule are:

- Increased significantly in Peel Region's determination in comparison to Approved Daily Rates;
- Increased or planned to be increased twice or more in a calendar year
- Increased beyond the Canadian Consumer Price Index over a 12 month period

If your funding eligibility or allocation change as a result of a Market Rate review; Peel Region will provide a minimum of 30 calendar days' notice of its decision before effecting the change(s).

You must post your market rates in your child care facility and include them in your Parent Handbook. You are encouraged to give families at least 30 days notice of a market rate increase.

You are required to submit a copy of your new Market Rate Fee Schedule to us at least 60 calendar days before any changes to your market rates. Please submit New Market Rate Fee Schedules to EarlyYearsSystemDivision@peelregion.ca. Failure to provide updated information may result in funding implications.

Cross-jurisdictional placements

We can enter into cross-jurisdictional agreements with other municipalities. These agreements allow families to access a child care program in another municipality than where they live.

When a cross-jurisdictional agreement is in place:

- A cross-jurisdictional placement will be considered under certain circumstances and with approval from both municipalities in the cross-jurisdictional agreement
- The municipality where the family lives approves the Child Care Subsidy and reimburses the municipality where the child care program is located
- The municipality where the child care program is located confirms the Child Care Subsidy start date and makes the subsidy payment to the program on behalf of the child

Appendix B – OCCMS web attendance reporting for licensed child care

OCCMS web attendance mandatory training

All staff who provide attendance data to us must complete the following:

- [OCCMS Web Attendance Online Learning](#)

After you complete the mandatory training, we will provide you a username and password to access [OCCMS Web Attendance](#)

Security and user rights

- In [OCCMS Web Attendance](#), each head office requires a separate username and password
- To receive a username and password, you must complete the mandatory OCCMS Web Attendance [e-learning training](#)
- The head office username and password are only intended for one user who has signing authority
- The head office user can [set up access](#) for other secondary users. More information on “user rights” is available through the OCCMS Web Attendance [e-learning training](#)
- Each user must have their own username and password; it is not to be shared for security and privacy reasons.

Attendance schedule and reporting

OCCMS Web Attendance is available on the first calendar day of each month. The attendance schedules reflect the enrolment for children in receipt of Child Care Subsidy and an aggregate reporting of CWELCC enrollment the previous month. For example, programs will have access to the Attendance Schedule for June on July 1.

Attendance is to be completed and submitted by the ninth business day of the month. If not submitted on time, your payment may be delayed. Due dates are listed on the EYCCS [funding calendar](#).

Attendance information is saved on OCCMS for a minimum of seven years. You can view your previous month’s attendance at any point by signing in with your username and password.

Reporting child care subsidy placement

You must complete the attendance for each child with the appropriate attendance code as outlined below and in the web attendance training.

Attendance type	Code
Absent (includes vacation)	A
Non-paid days	N
Present	P
Sick/Health Related	S
Statutory holidays	H
Vacation (no longer in use - record as 'A')	V
Withdrawal	W
End date (will appear if an End Date has been entered on the child's formal placement and if the child is scheduled for that day)	E
Other paid day (used when a program is closed and full fee families are charged, such as a snow day)	O

Reporting CWELCC attendance

Attendance reporting for children under 6 is captured at a site level for child care centres with multiple sites and at a head office level for licensed home child care agencies.

Child care providers are required to submit an accurate collection of the following for each month as defined in the [OCCMS User Guide](#).

- Vacancies: # of spaces that are currently available per program, based on the current staffing complement.
- Operating capacity: # of children the centre/home child care can serve based on their staffing complement and budget. This cannot exceed the licensed capacity.
- Waitlist: # of children waiting for admission per program.
- Full fee children: # of FULL FEE children enrolled, receiving the CWELCC fee reduction, per care type.
- Full fee spaces: # of spaces occupied by a FULL Fee children per care type.
- Report the use of alternate capacity. If you change from your licensed capacity to your alternate capacity (or vice-versa), you must report the months where alternate capacity was used, and the number of children impacted.
 - The use of alternate capacity should be reported in the comments section of the monthly attendance report.

Licensed home child care agencies are also required to report the number of active homes in the comments section of the attendance report.

Appendix C – Child Care Subsidy payments

Payment process

Payment can be processed when completed Attendance Schedules for all sites under the Head Office have been submitted and verified.

Advance payments

You can receive a monthly advance payment for subsidy prior to completing your attendance schedules. Advance payments will be a percentage of your total subsidy for the month and will be based on your previous month's payment.

Advance payments will be paid in the first 14 days of the month. The remaining amount of your payment will be processed according to the regular payment process.

Advance payments are optional. You can opt-in to receive advance payments at any time with a minimum of ten business days' notice prior to the first of the month. The same notice is required if you are receiving advance payments and want to opt-out. To opt-in or out, email earlyyearssystemdivision@peelregion.ca.

Adjustments

Any changes to a child's placement should be reported to the CSW as they happen during the month rather than waiting for attendance reporting. This will ensure the attendance schedule is accurate when it becomes available for you and avoids adjustments, administrative work and payment delays.

If a change is needed after the attendance schedule becomes available (for example, placement is incorrect, a child's name is missing, etc.), you must report it immediately to your CSW for review and approval before submitting the attendance schedule. Payment for changes reported to the CSW after the attendance schedule has been submitted, may be delayed.

Centre Payment Detail Summary

The Centre Payment Detail Summary is available after the attendance has been verified. It provides a summary of the payment based on what you reported, including any adjustments. You should review this summary within 30 days to ensure any payment errors are reported by the deadline.

Payment Confirmation

You will receive an automated email notification advising you of the payment details, including the expected timeframe for the deposit.

Reporting over/underpayments

You must report any over or underpayments within three months of the payment date.

Region's discretion to adjust past payments

We have the discretion to adjust prior payments up to 24 months from the date of written notice to correct a subsidy over or underpayment.

Appendix D – EYCCS Policies

Compliance Policy

Purpose

It is important that Service Providers submit information in a timely manner and meet the deadlines and guidelines required by the Peel Region (Peel). These actions by Service Providers are critical to the Peel's role as service system manager for managing its budget to ensure accountability of public funds. Peel will collaborate with Service Providers to ensure they continue to comply with the Agreement and Regional Guidelines.

The Compliance Policy outlines corrective actions that Peel will take when a Service Provider misses a deadline to submit required financial documents, or does not meet obligations according to their Agreement, the Service Provider Handbook, and/or Regional Guidelines.

For further details respecting terminology, please visit *Appendix A – Glossary of Terms*.

Table 2. Timeline

Timeline	Corrective Actions
Immediately following the missed deadline	Peel will inform the Service Provider of their non-compliance and provide 30 days to comply. This will include notice of holds that will follow if the Service Provider does not comply. An Early Years Specialist (EYS) will reach out to support in resolving the non-compliance.
31 to 60 days from due date	If compliance is not met, Peel will suspend eligibility for any new funding initiatives (ex. One-time Funding)
Between 61 to 90 days	<p>Peel will inform the Service Provider that more penalties are being applied. If compliance is not met, Peel will take the following actions:</p> <ul style="list-style-type: none">• Suspending eligibility for rate increases**• Peel will consider holding other Funding (ex. Local Priorities Funding) <p>** Service Providers will be ineligible to submit an application until they are in compliance. Service Providers must be in compliance prior to the application due date to be considered eligible for the rate increase. Once compliance is met, the Service Provider must wait to apply for a rate increase until their next rate increase window, as per the agreed rate increase cycle (ex. January or September)</p>

Timeline	Corrective Actions
After 91 days	Peel will contact Service Provider to arrange a meeting which will address: <ul style="list-style-type: none"> • Nature of the non-compliance • Next Steps and opportunity to remedy • Termination after an additional 30 days, if necessary, if non-compliance is not resolved
After 365 days	Non-compliances that last longer than 365 days will result in: <ul style="list-style-type: none"> • Termination of any funding agreement(s)*** • Non-renewal of any funding agreement(s) <p>*** If a Service Provider has their funding agreement terminated, they will be required to wait at least 365 days before re-applying for funding, as per Section 11.</p>

Exceptions

Certificate of Insurance: Proof of insurance (copy of policy) is required before or on the expiry date. All funding will be held immediately if Peel's Certificate of Insurance form is delayed. If this is not received, the funding agreement may be terminated. The Certificate of Insurance form is required; no other proof of insurance will be accepted.

If a Service Provider, who is participating in the CWELCC program, fails to submit, within 60 days, information related to their Audited Financial Statements (AFS), Financial Annual Information Return (FAIR), Cost Reviews, and Direct Engagement, all CWELCC funding will be held.

Failure to report accurate and timely data required for calculating funding allocations may result in delayed payments to the Service Provider and potential ineligibility for funding.

Multiple Missed Deadlines

Peel may deem a Service Provider ineligible for funding if they have missed multiple (3 or more) deadlines within a period of 24 months, regardless if those non-compliances have been resolved. A poor record of compliance with deadlines may impact the Service Provider's funding allocations or result in termination of the agreement.

Expectations of the Service Provider

Peel is committed to helping Service Providers meet their contractual requirements. Service Providers must comply with this policy, and understand the obligations in funding agreements, all applicable funding guidelines, and Peel's Service Provider Handbook. Service Providers must maintain the same level of quality service for both families and staff, despite a recovery or a hold against your funding.

Sanctions, and the timelines associated, remain in effect until the non-compliance has been resolved, as determined by Peel. For clarity, failure to submit a report is not resolved until Peel deems the report complete and accurate.

Peel has discretion to grant exceptions for exceptional circumstances, which may include adjustments in timeline

APPROVAL SOURCE:	Early Years and Child Care Services Division: Program and Funding Administration Manager
ORIGINAL DATE:	October 10, 2019
LAST UPDATE:	November 1, 2024
EFFECTIVE DATE:	January 1, 2025

Appendix A - Glossary of Terms

The following terms are defined as:

- a. Hold: Peel will hold a Service Providers funding in GovGrants for the identified amount of time. If a Service Providers funding is placed on hold, upon meeting compliance, the Service Provider would be eligible to receive retroactive pay for the entirety of the funding which was held;
- b. Non-renewal: Peel will not renew a Service Provider's Funding Agreement for the following term (year). The Funding Agreement will remain in effect until the end of its Term;
- c. Suspending Eligibility: If a Service Provider has their eligibility suspended, they will be deemed ineligible to receive any applicable funding from Peel, until compliance is met;
 - If a Service Provider is deemed ineligible during an application window and the application window closes before the provider becomes compliant, the Service Provider must wait until the next application window to apply (ex. For new funding initiatives or rate increases). Providers who miss the application window for one-time funding will be ineligible to receive the identified monies; and,
- d. Termination: Peel will terminate the Service Provider's Funding Agreement during its Term.

Canada-Wide Early Learning and Child Care (CWELCC) Opt-out Policy

Purpose

The purpose of this policy is to outline the Service Provider's obligations upon opting-out of the Canada-Wide Early Learning and Child Care (CWELCC) program, and how it impacts their EYCC Funding Agreement (the "Service Agreement"), Child Care Subsidy funding, Start-up Funding, if applicable, and how Peel will repurpose any CWELCC spaces as they become available.

How to Opt-out of CWELCC

If you would like to opt out of CWELCC, contact your Early Years Specialist (EYS) or to discuss next steps. You must:

- Communicate the decision to families and staff at least 45 calendar days before your effective termination date.
- Communicate the decision to Peel with at least 60 calendar days notice by notifying your EYS or emailing EarlyYearsSystemDivision@peelregion.ca

Service Provider's Right to Opt-out

Service Provider's reserve the right to opt-out of the CWELCC program at anytime.

Service Agreement

In the event the Service Provider opts-out of CWELCC, the Service Provider would no longer have access to any funding identified in Schedule A of the Service Agreement, with the exception of Child Care Subsidy. If the Service Provider opts-out of CWELCC, Child Care Subsidy funding may continue for children in receipt of subsidy who are currently enrolled in the program until they age-out, become ineligible for Child Care Subsidy, or leave your program.

If the Service Provider opts-out of CWELCC and does not have children enrolled in Child Care Subsidy, the Service Agreement may be terminated, per Section 5.5 (b).

Child Care Subsidy and Local Priorities Funding

Upon opting-out of CWELCC, the Service Provider will only be eligible for Child Care Subsidy funding.

The Service Provider will be:

- Ineligible to place additional children, aged 0 to 12, in receipt of Child Care Subsidy in their program after the opt-out effective date; and,
- Ineligible to receive Local Priorities Funding for children, aged 0 to 12, in receipt of Child Care Subsidy, which may include the Wage Enhancement Grant and General Operating Fund

Child Care Subsidy Rates

If the Service Provider opts-out of CWELCC and has municipal rates below the Peel municipal rate cap, they will be eligible to receive:

CWELCC Eligible Rates (Ages 6 years and under)

A one-time supplemental 10% increase to the municipal daily rates, up to a maximum of 10% over the municipal rate cap, to supplement Local Priorities Funding which the provider no longer has access to upon Opt-out and inflationary increases during participation in CWELCC

Non-CWELCC Eligible Rates (Ages 6 years and over)

A one-time supplemental 3% increase to the municipal daily rates, up to a maximum of 10% over the municipal rate cap, to supplement Local Priorities Funding which the provider no longer has access to upon Opt-out

Please note:

- a Service Provider's municipal daily rate can never exceed their market daily rate; and
- a Service Provider may be ineligible for a municipal rate increase if the current municipal rate is more than 10% over the current municipal rate cap.

The Service Provider will be eligible to apply for an additional **municipal rate increase** as per the regular Rate Increase process. If your new municipal rate caps are below the current municipal rate caps, you may be eligible to apply for an additional **municipal rate increase** as per the regular Rate Increase process.

Service Providers Obligations Upon Opt-out

- Send a copy of letter sent to families and staff via email to EarlyYearsSystemDivision@peelregion.ca, 10 days before effective opt-out date.
- Share updated Fee Schedule with Peel 10 days before effective opt-out date
- Update parent handbook to reflect the following:
 - Site is no longer participating in CWELCC
 - Fee Schedule effective upon Opt-out

Reporting

The Service Provider shall submit to Peel:

- all outstanding reconciliation requirements, which may include:
 - audited financial statements and any accompanying notes, as required per the Service Provider Handbook;
 - the Financial Annual Information Return (FAIR) reporting template; and,
- any other information requested by Peel pertaining to the performance of the Service Provider's participation in CWELCC.

The Service Provider may be required to submit additional reporting information/documents to Peel after the opt-out effective date for any other funding they may be in receipt of (ex. Child Care Subsidy). For Service Providers not participating in CWELCC, but still in receipt of funding from Peel, please visit the Service Provider Handbook for more details.

Monies

Upon opting-out of the CWELCC program, whether at a Head Office or Site level, the Service Provider shall return in a timely manner to Peel, a prorated portion of any of the Funding paid by Peel to the Service Provider, via certified cheque or deduction of future payments, applicable to dates beyond the date of opting-out.

The Service Provider shall promptly return to Peel any of the Funding indicated for recovery as a result to a reconciliation process. Funding must be returned to Peel via certified cheque within 30 calendar days.

Start-up funding

If a Service Provider is or was in receipt of Start-up Funding and chooses to Opt-out of CWELCC before March 31, 2026, Peel will recover any Start-up Funding received by the Service Provider up to the applicable opt-out effective date. Peel will also recover any surplus Funding paid to the provider after the applicable opt-out effective date.

Further Obligations

- In addition to its other obligations under this Policy, the Service Provider shall:
- comply with any other instructions reasonably provided by Peel;
- provide any other information requested by Peel pertaining to the participation in CWELCC; and,
- remain liable with respect to any obligations which have occurred up to the date of opt-out but have not been properly satisfied or discharged, as per the Service Agreement, including:
 - retain financial records for a period of no less than seven (7) years to ensure Funding was utilized as per Peel requirements.
 - representations, warranties, covenants, obligations of confidentiality, right of entry, inspection and consultation, indemnification, release and waiver, records, reporting, and audit requirements contained in the EYCC Funding Agreement shall survive and not merge on the termination or expiry of the EYCC Funding Agreement.

Re-applying for CWELCC

Any Service Provider who opts-out of CWELCC must re-apply to participate in the program once again. Peel does not honour spaces previously held by the Service Provider. All applications are subject to eligibility, availability of spaces, alignment with Provincial CWELCC targets, and Peel's discretion.

Reallocating Opt-out Spaces

If a Service Provider opts-out of the CWELCC program, Peel will reallocate CWELCC spaces, of the site who is opting out using the principles below:

- The first principle for the reallocation of spaces is to keep them within a 10km radius of the program that has closed or opted out.
- The second principle is readiness to open. Programs that can be ready to operate within three months will be given priority.
- If there are multiple providers that meet the first two principles, the region will then assess the number of spaces being requested against the number of spaces that are available to be reallocated.

The Service Provider agrees to abide by this policy, as it is a binding component of their Service Agreement with Peel, which also includes the Funding Guideline(s), and the Service Provider Handbook. The Service Provider also understands that the rights referenced in this document are not limiting of Peel's or the Service Provider's rights under the Service Agreement.

APPROVAL SOURCE:	Early Years and Child Care Services Division: Program and Funding Administration Manager
ORIGINAL DATE:	January 1, 2025
LAST UPDATE:	November 10, 2024
EFFECTIVE DATE:	January 1, 2025

Inter-Agency Dispute Resolution Policy

Early Years and Child Care Inter-Agency Dispute Resolution Policy

Peel Region Early Years and Child Care Service Providers

Released: December 2023

Section 1: Purpose

The Regional Municipality of Peel ("Peel") prioritizes the health and safety of all its partners and their employees and is committed to working with its partners to support them in building diverse, respectful, safe, and inclusive workplaces free from Workplace Harassment, Racism, Discrimination, or Bullying Behaviour (all as defined below).

The Inter-Agency Dispute Resolution Policy (the "Policy") reflects the responsibilities and obligations of all workplace partners in ensuring the development and maintenance of a respectful, safe, and inclusive workplace.

The Policy responsibilities and obligations apply to the partners who receive funding from Peel Region and their employees who deliver early years and child care services to children and families in Peel (the "Organizations") (such as Resource Consultants and Supervisors, CDRCP staff, The Indigenous Network RECEs).

Section 2: Definitions

The Act means the *Occupational Health and Safety Act*, R.S.O. 1990 c. o.1.

Bullying Behaviour means acts by a person that intimidates or demeans another person and includes, but is not limited to, abuse of power, humiliation or embarrassment, persistent and unjustified criticism, exclusion and/or isolation, threats or rumours/gossip.

The Code means the *Ontario Human Rights Code*, R.S.O. 1990, c. H.19.

Discrimination results from treating a person unequally or unfairly, rather than treating the person fairly based on individual merit. Discrimination can be either intentional or unintentional and is usually based upon personal prejudices, biases and, stereotypical assumptions related to at least one of the protected grounds set out in the *Ontario Human Rights Code*.

Employee or Staff means any person who delivers early years and child care services to the residents of Peel for an Organization that receives related funding, in Peel. This includes any person hired on a regular, contract, temporary or casual basis, working either full-time or part-time hours.

Race is a social construct. When social constructs lead us to ascribe meanings to people's identities, this can lead to unconscious bias, stereotypes, racism, and racial discrimination. **Racism** is a systemic form of oppression based on social constructs.

Inter-Agency Dispute means a disagreement between two or more separate Organizations.

Racism means prejudice, attitudes, beliefs (such as belief that one or more races are superior to others), stereotyping, and discrimination that is directed at people based on their race. Racism can manifest itself in interpersonal interactions (racial slurs, abuse, harassment) but also institutionally through policies or practices that systemically exclude groups of peoples (such as biased recruitment and hiring practices, lack of career advancement and promotion practices).

Respectful Workplace means a positive, safe, and healthy workplace that results in the preservation of equal dignity and creates a culture of inclusion that supports an individual's physical, emotional, and social well-being. The workplace includes all locations where employees conduct business on behalf of their employer or social activities and where their behaviour may have a subsequent impact on work relationships, work environment and/or performance.

Workplace means any land, premises or location, upon, in or near which an employee performs work on behalf of an Organization.

Workplace Harassment (including sexual harassment): As defined by the Act, means engaging in a course of comments or conduct which is humiliating, offensive, degrading or abusive, against an employee in a workplace that is known or ought reasonably to be known to be unwelcome.

Section 3: Scope

This Policy identifies expectations and actions for Peel and for the Organizations in cases of dispute between staff working for different Organizations. Those can be disputes based on Harassment, Racism Discrimination, or Bullying Behaviour. The requirements set out in this Policy do not replace or substitute the requirements established under the Act and the *Ontario Human Rights Code* and do not limit any obligations of the Organizations under any other legislation. As such, this Policy should be interpreted as consistent with the *Act and Code*.

Section 4: Policy requirements

Organizational Respectful Workplace Policy

All Organizations must have respectful Workplace policies. An Organization's Respectful Workplace policy must speak to compliance with all relevant legislation (OHSA s.32.0.1), regulations and policies including the standards required by the College of Early Childhood Educators for its members. The policy must be posted in a common location in the workplace.

Employee Conduct and Adherence to Respectful Workplace Policies

All employees have a responsibility for their behaviour and conduct within the Workplace. Employees are expected to uphold and adhere to their Organization's Respectful Workplace policy and contribute to a positive workplace free from Harassment, Racism and Discrimination. This responsibility extends to workplace environments that are shared with any other organizations that deliver early years and child care services in Peel region.

Employee Reporting Obligations

If an employee experiences or witnesses any behaviour or actions while working with staff from other Organizations that may violate this policy, they have an obligation to report it through the process detailed below. All employees have a duty to report any act of Harassment, Racism, Discrimination, or Bullying Behaviour.

Please note: This Policy applies only to disputes between agencies. Disputes between employees of the same organization are to be managed exclusively by the Organization using their Respectful Workplace policy.

Section 5: Complaint process

In the event that an employee of an Organization experiences or witnesses behaviour that is inconsistent with the Respectful Workplace policy by an employee of a different Organization, they are encouraged to bring forward a complaint following the process below:

Informing

To start a formal complaint, the employee must report the complaint to their direct supervisor. This complaint shall be documented in writing by the employee or direct supervisor. The complaint shall follow the Organization's Respectful Workplace policy complaint format.

The Organization that receives the complaint must send written notification to the appropriate Peel manager and to the Organization where the respondent is employed, within three business days of the formal complaint. That notice must include:

- The date the harassment or discrimination incident occurred;
- Where the interaction took place; and
- Names of all staff who were involved (complainants, respondents, witnesses), and their positions and employer.

The two Organizations involved in the complaint must meet, independent of Peel, as soon as possible after receiving the written complaint notification, to discuss the issue and to develop a collaborative approach to addressing it per their Respectful Workplace policies.

It is the responsibility of all Organizations to ensure that all employees involved in the complaint/situation are aware of their responsibility to keep the issue confidential.

Addressing the Complaint

- The two Organizations will collaboratively prepare a written summary of the agreed-upon approach to addressing the complaint, including an approximate timeline, which will be given to Peel in a timely manner.
- Peel will have 10 business days to review and provide written feedback on the approach.

- Organizations are required to integrate Peel's feedback and implement their agreed-upon approach within the timeline as submitted in their written summary.
- If the Organizations cannot agree on a collaborative approach to resolving the issue using their Respectful Workplace policies, the Organizations may then request approval from Peel to engage a third-party investigator.
- In order to qualify for a third-party vendor, the Organizations involved must be able to demonstrate to Peel that they worked in good faith to resolve the dispute prior to submitting the request.
- Peel will meet with the Organizations to review documentation and determine if a third-party investigation is warranted.

Third-Party Investigation Contracting

- If approved by Peel, the Organization where the complaint originated will contract a third-party investigator to conduct an investigation of the complaint.
- Three quotes must be obtained prior to contracting. The quotes must be obtained in a timely manner following Peel's approval.¹
- All Organizations who are parties to the complaint and Peel must agree on the investigator selected in writing (for example, by email) before the contract is signed. The complainant Organization must sign within five business days of the agreement.
- Peel will provide funding to the complainant Organization for the purpose of the investigation.
- The Organizations involved will each identify a lead (not named in the investigation), who will facilitate the process with staff and the investigator. This includes providing relevant documents and policies to the investigator, as requested.
- The Organization leads will send a written update (for example email) every two weeks on the investigation to the appropriate Peel manager.
- All parties will participate actively in the investigation to support its completion.

Determination

- Once the third-party has completed the investigation, it will be required to provide the summary report with recommended next steps to the leads and Peel.
- The report shall be final.
- The report shall be confidential to the parties and Peel.
- The Organization leads will collaborate to determine an appropriate timeline for implementation of any recommendations. The timeline will be shared with Peel in a timely manner following receipt of the summary report for approval.

¹ May be subject to change based on provider procurement requirements.

- Each lead will provide Peel with updates on the implementation of recommendations within the report's required timelines.

Section 6: Participation in the third-party investigation

Roles and Responsibilities

Investigator responsibilities include, but are not limited to:

- Investigating the complaint;
- Examining the circumstances of a complaint;
- Exercising objectivity and impartiality;
- Ensuring confidentiality;
- Recording/maintaining appropriate documentation;
- Making all necessary findings of fact with respect to allegations in the complaint;
- Discussing findings, conclusions and recommendations with the Organization leads involved in the complaint; and
- Informing the complainant and respondent of the results of the findings (please note that findings will not be shared with witnesses or the public).

Complainant, respondent, witness responsibilities include, but are not limited to:

- Reporting incidents to their direct supervisor or Human Resources where infringements of the Respectful Workplace Policy have occurred;
- Attending interview(s) and providing information to the investigator in a timely manner when requested (within five business days of the request);
- Maintaining confidentiality; and
- Cooperating fully in any attempts to resolve or investigate an incident.

The Organization leadership and Human Resources responsibilities include, but are not limited to:

- Actively promoting a respectful workplace that embraces diversity and inclusion;
- Providing guidance on their respectful workplace policy and the program to people leaders and employees, including to the complainants/respondents;
- Supporting the selection of an external Investigator as required;
- Reviewing their Organization's Respectful Workplace policy on an annual basis in accordance with the Ontario Occupational Health and Safety Act;
- Keeping a detailed written record of infringements or complaints brought to their attention and any action taken to assist in resolving the concern;
- Maintaining confidentiality;
- Ensuring that employees involved in the complaint/situation are aware of their responsibility to keep the issue confidential;
- Cooperating in attempts to reach an informal resolution and in the investigation of the complaint;

- Working collaboratively with Peel, third-party investigator, and the Organizations involved in the dispute;
- Help involved staff reprioritize their workload to support their participation in the investigation process;
- Taking corrective action as required within the agreed-upon timeframe and,
- Informing the complainant of any corrective action that has been/will be taken as a result of the investigation.

Peel responsibilities include, but are not limited to:

- Actively promoting a respectful workplace culture with Organizations that embraces diversity and inclusion;
- Reviewing/approving/funding Organization requests for third-party investigations;
- Maintaining confidentiality;
- Supporting Organizations in implementing recommendations;
- Taking corrective action as required if Organizations fail to participate in the investigation process or fail to implement the recommendations from the investigator's report.
- Reviewing and updating this Policy as required.

Investigation Interview Timing and Prioritization

The completion of the investigation is to be a priority of all Organizations and staff involved. This means that:

- The investigator shall book all necessary time for interviews with each complainant, respondent and witness during its introductory conversation (e.g., if it is estimated
- that three hours of interviews will be necessary with the complainant, all three hours should be booked upfront and the balance cancelled, if not required).
- Complainants, respondents and witnesses will respond to investigator requests for meetings and make all required meeting times available in a timely manner.
- Organizations will support employees in reprioritizing their workload to make time for investigation interviews to occur in a timely manner.

Failure to Fully Participate in Third-party Process

Failure of an organization to participate properly in a third-party process approved under this Policy (including failure of their staff to participate) or failure to implement report recommendations could result in sanctions under the Deadlines and Compliance Policy such as:

- Holds on current and future funding;
- Suspending eligibility for any upcoming funding;
- Reduced current and future funding allocations, including administration funding or any new funding initiatives;
- Holding placement of children who receive fee subsidy; and/or,

- Proposing terminating or not renewing an Agreement.

Duration of the Complaint Process

- This process must be completed in a timely manner, not exceeding three-months.
- The Organizations must notify Peel as soon as possible if the process will take longer.

Section 7: Confidentiality

- All persons involved with a complaint must ensure that the matter remains confidential. Personal information will be disclosed only on a need-to-know basis.
- If applicable, third-party investigators must advise all persons interviewed that they will be expected to treat the matter as confidential, and that breaching confidentiality may lead to corrective action being taken. Persons interviewed by the investigator will be required to sign a confidentiality agreement.