

Official Review Questions and Answers for Service Delivery Sites

General:

1. **How is the Official Review process different from the Directed Improvement process?**

Under the Directed Improvement process, at the end of every fiscal year, the ministry will monitor whether service delivery sites (SDS) have achieved the provincial Service Quality Standard (SQS). Sites that do not achieve SQS will be notified in writing; the ministry will work closely with these sites to support them in meeting their contractual obligations

Under the Official Review process, the ministry will assess whether service delivery sites have achieved compliance and accountability requirements.

2. **Are the same compliance and accountability requirements for Official Review being used for both Employment Service (ES) and Literacy and Basic Skills (LBS) service delivery sites?**

Yes, the same compliance and accountability requirements for Official Review will be used for both ES and LBS.

3. **Can a service delivery site be placed on Official Review and Directed Improvement at the same time?**

Yes. Official Review and Directed Improvement are distinct corrective action processes designed to address both performance and organizational capacity issues within a service delivery site. Therefore, there may be situations where a service delivery site is on Official Review and Directed Improvement simultaneously.

4. **Are all compliance and accountability requirements weighted equally?**

Yes, all compliance and accountability requirements are weighted equally. If a site has been identified as having more than one issue, the service delivery site must identify in their action plan how each issue will

be addressed and the time line within which they expect to achieve improvement.

5. How does the ministry plan to work with service delivery sites that are identified as having triggered Official Review?

The ministry recognizes the unique geographical and community considerations of some service providers. We are committed to working closely with all service delivery sites that have triggered Official Review, to support the development of strategies to remedy any issue of non-compliance.

The ministry will continue to analyze the Official Review process to determine what improvements can be made.

2016-17 Process and Expectations

6. Why are Official Review letters being sent out to service delivery sites?

The ministry has reviewed the compliance requirements of all ES and LBS agreements. Based on 2016-17 results, some service delivery sites have not met key compliance and accountability measures. The following compliance, risk, and/or accountability measures were applied:

1. **≤ 25% Three Month Follow-Up During Fiscal 2016-17:** Any service delivery site that has failed to complete twenty-five percent or more of their scheduled three month client follow-ups between April 1, 2016 and March 31, 2017.
2. **Late Financial Reporting During Fiscal 2016-17:** Any service delivery site with two or more late financial reports between April 1, 2016 and March 31, 2017. Reports are considered late when they are received by the ministry after 11:59pm of the due date as set out in the Audit and Accountability Requirements. Financial reports include Estimate of Expenditure Reports (EER), Statement of Revenue and Expenditures Report (SRER) and Auditor's Report.
3. **Inaccurate Financial Forecasting During Fiscal 2016-17:** Any service delivery site with a variance of five percent or more (positive or negative) between their period 5 EER forecast and their SRER expenditure of total

budget.

Compliance and accountability is not limited to the measures listed above. Service delivery sites must continue to meet all accountability requirements specified in their agreements.

7. Why are Official Review letters being sent at this point in the fiscal year?

Official Review takes into consideration the results of the SRER, which is due in June and confirmed thereafter. In addition, more rigor was placed on data validation and a review of the entire process of Official Review, while taking into account information provided by the ministry's regional local offices. The ministry looks forward to a more timely process for next year.

8. What happens after the service delivery site receives an Official Review Letter?

Those ES and LBS sites that have not met key compliance and accountability measures for 2016-17 will be notified in December 2017. Upon receipt of an Official Review Letter, service delivery sites will be required to submit an action plan within 10 business days that addresses each issue and provide their Employment Training Consultant (ETC) with timelines for completion.

The ETC will review the action plan to confirm that improvement strategies identified are sufficient. When the action plan is approved by the local Service Delivery Manager, the ETC will respond to the service delivery site in writing to advise whether the action plan has been approved or requires further revision.

2017-18 Process and Expectations

9. How will the Official Review process differ in 2017-18?

For 2017-18, the ministry has identified the following four compliance and accountability issues:

1. **Late Financial Reporting:** Service delivery site with one (1) late financial report will receive an Employment Ontario Sanctions letter. At

the second occurrence of a late submission, the SDS will receive an Official Review letter. Reports are considered late when they are received by the ministry after 11:59 p.m. of the due date as set out in the Audit and Accountability Requirements. Financial reports include EER, SRER, and Auditor's Reports as per the service delivery site legal agreement.

2. **Client Follow Ups:** Any service delivery site that fails to complete twenty-five percent or more of their scheduled follow-ups at any of the follow-up intervals (3, 6 or 12 month) will be notified at the first occurrence via email by their ETC. If there is a second follow-up issue, the service delivery site will be placed under Official Review.
3. **Inaccurate Financial Forecasting:** Any SDS with a variance of more than five percent between the Period 5 EER forecast and the SRER will be placed under Official Review.
4. **Other Issues of Non-Compliance:** As determined by the ETC responsible for managing the agreement in conjunction with their Service Delivery Manager (SDM).