



**Instructions and Tips for Creating Compliant Policies and Procedures:
Written Policy and Procedures for Monitoring Compliance
and Contraventions (O. Reg. 137/15, ss. 6.1(7))**

Mandatory Information

The following information **must be included** in your home child care agency's written policy and procedures for monitoring compliance and non-compliance to demonstrate compliance with requirements under the Child Care and Early Years Act, 2014 and O. Reg. 137/15:

written policies and procedures that set out how compliance with all policies, procedures and individualized plans required under the regulation will be:

- monitored on an ongoing basis
- recorded
- addressed (e.g. discussions with the person in question, review of documentation, additional training, additional monitoring and support, etc.)

written policies and procedures that set out how contraventions of all policies, procedures and individualized plans required under the regulation will be:

- monitored on an ongoing basis
- recorded
- addressed (e.g. discussions with the person in question, review of documentation, additional training, additional monitoring and support, etc.)

Other Considerations

The following are some tips and other considerations for developing written policies and procedures for monitoring compliance and contraventions (i.e. non-compliance). These are not mandatory, but they will support the development of more comprehensive and high-quality policies and procedures:

General

- Include a space to put the date that the policies and procedures were last developed and/or updated.
- Set out procedures that are easy to understand and follow, in plain language.
- Include a list of all required policies, procedures and individualized plans that must be monitored for the purpose of implementing these policies and procedures, and ensure the list accurately reflects those that have been developed and implemented by the child care centre.

- Consult resources to learn about all the best practices that could support the development of your policies and procedures (e.g. professional resource networks, Consolidated Municipal Service Managers and District Social Services Administration Boards (CMSMs/DSSABs), other home child care agencies, etc.)
- Include how these policies and procedures may align with or be impacted by any established collective agreements, where applicable.
- Be clear about the intent of your policy and what you are trying to achieve through its implementation.
- Describe how your policy links to the four foundations of the How Does Learning Happen framework.
- As an alternative approach to developing a separate written policy and procedures, consider whether the process for monitoring compliance and contraventions will be included separately in every policy, procedure and individualized plan.
- Describe how other regulatory requirements may be linked to your process (e.g. prohibited practices, serious occurrence reporting, record keeping, parent issues and concerns policy and procedures, etc.).

Processes and Expectations to Include

1. Monitoring and Observations

- Identify whether or not all policies, procedures and individualized plans will have the same monitoring process or whether the monitoring processes will differ based on a person's role with the home child care agency.
- Set out how ongoing observations and monitoring will be conducted and by whom.
- Set out a schedule for regular observations, , taking into consideration how observations can be made during different parts of the day so that they are purposeful.

2. Documentation and Records

- Consider different ways to collect and document observations from other sources such as parents, families and children (e.g. surveys, comment boxes, prompting questions, etc.).
- Set out how observations will be documented, taking into consideration how these observations may be used for performance reviews.
- Provide a template to record observations that allow observers to document concrete examples of how an individual was compliant with policies, procedures and individualized plans or how they have been contravened, as well as actions taken or next steps to be followed.

3. Follow-up

- Set out how often recorded observations of compliance and contraventions will be reviewed with each home visitor, student, volunteer, provider or other person who may interact with children, where applicable.

4. Dealing with Non-Compliance with Policies Procedures or Individualized Plans

- Encourage staff, students, volunteer, home child care providers and other persons who may interact with children at a premises to bring forward their questions or concerns about policy, procedure and individualized plan implementation on an ongoing basis to support clarity, learning, development and compliance.
- Measures to deal with non-compliance may be different based on whether a person is a home visitor or a home child care provider. Set out progressive discipline measures depending on the nature, severity and frequency of non-compliance as well as the role of the individual at the home child care agency or at a home child care premises.
- Describe when an investigation needs to be conducted (e.g., in response to an allegation of abuse), list the steps that must be taken to deal with such situations and how these incidents will be documented.
- Include a process for reporting non-compliances to other relevant authorities, where appropriate (e.g. College of Early Childhood Educators, programs placing students, CAS, police, etc.).