# Child Care Centre Policy for Monitoring Compliance and Contraventions

Name of Child Care Centre: Click here to enter text.

Date Policy and Procedures Established: Click here to enter text.

Date Policy and Procedures Updated: Click here to enter text.

## Purpose

This policy sets out the process that will be followed to monitor the implementation of our policies, procedures and individualized plans on an ongoing basis.

The policy sets out how compliance and contraventions (non-compliance) with the policies, procedures and individualized plans listed below will be monitored, recorded and addressed.

This document is intended to fulfill the obligations set out under Ontario Regulation 137/15 for written policies and procedures for monitoring, recording and addressing compliance and non-compliance with policies, procedures and individualized plans for child care centres.

Policies and procedures required under the *Child Care and Early Years Act, 2014*:

* Playground Safety
* Anaphylactic policy
* Sanitary Practices
* Sleep Supervision
* Serious Occurrence
* Drug and Medication Administration
* Supervision of Volunteers and Students
* Program Statement Implementation
* Staff Training and Development
* Police Record Check
* Fire Safety and Evacuation
* Waiting List
* Parent Issues and Concerns
* Emergency Management

Individualized plans required under the *Child Care and Early Years Act, 2014*:

* Anaphylaxis
* Special Needs
* Medical Needs

Other policies and procedures developed by the child care centre:

* [insert additional policies and procedures]

Note: definitions for terms used throughout this policy are provided in a Glossary at the end of the document.

## Policy and Procedures for Monitoring Compliance and Contraventions

1. Monitoring and Observations

* [Name of child care centre] will monitor each staff, student and volunteer to assess whether policies, procedures and individualized plans are being implemented, as follows:
* [Insert role] will observe and monitor the supervisor of the child care centre;
* [Insert role] will observe and monitor the qualified staff in each program room (i.e. RECE or otherwise approved staff);
* [Insert role] will observe and monitor other program staff (i.e. assistants);
* [Insert role] will observe and monitor placement students; and
* [Insert role] will observe and monitor volunteers.
* Monitoring and observations will be conducted on an ongoing basis through various means including, but not limited to:
* participating regularly and informally in the program;
* collecting feedback provided from parents and families; and
* reviewing written documentation (e.g. medication administration forms, daily written record, attendance records, etc.).
* Monitoring will be conducted at different times of the day (e.g. morning, afternoon, periods of arrival/departure, rest periods, meal times, outdoor play periods, transitions, etc.) to observe that policies, procedures and individualized plans are being implemented as required for different parts of the program and daily routines.
* [insert additional monitoring and record requirements]

1. Documentation and Records

* Monitoring and observations will be recorded. Records of monitoring and observations may be documented using the template found in Appendix A.
* Documentation of observations will be completed at the time the observations are made or at least [insert frequency] times a year, and will include concrete examples of observed compliance and non-compliance.
* All records will be stored in [insert secure location] for at least three years from the date they are created.

[insert additional documentation and record requirements]

1. Follow-up

* Any areas of concern with an individual’s ability to comply with policies, procedures and individualized plans will be brought forward to the supervisor or designate.
* [Insert role] will address their observations through a review and discussion with the individuals observed every [insert frequency] and will seek to or provide them with appropriate supports to achieve and maintain compliance (e.g. additional training).
* [insert additional follow-up requirements]

1. Dealing with Contraventions of Policies, Procedures or Individualized Plans:

* [Name of child care centre] will make every effort to clarify expectations and encourages staff, students and volunteers to raise their questions and concerns about implementing policies, procedures and individual plans on an ongoing basis to support clarity, learning, development and ongoing compliance.
* Progressive discipline may be used to address observed non-compliances with policies, procedures and individualized plans, taking into consideration the nature and severity of the incident, and the individual’s history of previous non-compliances.
* Where a staff, student or volunteer is observed to be non-compliant, the licensee, supervisor or designate will take one or more of the following actions:
* Inform the individual that a non-compliance was observed, including the review of any pertinent records or documentation that provide evidence of the non-compliance;
* Re-review the relevant policies, procedures, and/or individualized plans with the individual;
* Issue a verbal warning;
* Issue a written warning;
* Temporarily suspend the individual from their position at the child care centre for [insert amount of time, based on severity];
* Terminate the individual from their position;
* Inform any relevant parties (e.g. College of Early Childhood Educators, College of Teachers, College of Social Work and Social Services, the contact person for the program from which a student has been placed, CAS, police, etc.); and/or
* Report violations with the College of Early Childhood Educators’ Code of Ethics to the College.
* [insert additional follow-up actions]
* Where an observed non-compliance meets the criteria for a reportable serious occurrence (e.g. an allegation of abuse or neglect), the serious occurrence policy and procedures will be followed.
* Where appropriate, the supervisor or designate will follow up with the family of a child in accordance with our policies and procedures on parent issues and concerns.
* [insert additional policies and procedures]

### Additional Policies and Procedures

Consider including additional policies and procedures, where applicable, e.g. relevant information from collective agreements, the process and frequency for reviewing policies, procedures and individualized plans, the process for reviewing observations with individuals including frequency of review, how to address observations brought forward by other persons (e.g. other staff, children), what additional measures and/or training will be undertaken to ensure compliance with policies, procedures and individual plans, etc.

Click here to enter text.

## Glossary

*Licensee*: The individual or corporation named on the licence issued by the Ministry of Education responsible for the operation and management of the child care centre.

*Staff (Employee)*: Individual employed by the licensee (e.g. program room staff).

*Student*: Individual enrolled in an education program/school and is completing a placement.

*Volunteer:* Any individual who is engaged in the child care program and interacts with the children in care, but is not paid by the licensee.

[Enter additional definitions here]

### Regulatory Requirement - Ontario Regulation 137/15:

6.1

1. Every licensee of a child care centre or home child care agency shall have written policies and procedures that set out,
2. how compliance with the policies, procedures and individualized plans will be monitored on an ongoing basis, recorded and addressed; and
3. how contraventions of the policies, procedures and individualized plans will be monitored on an ongoing basis, recorded and addressed.
4. Every licensee shall ensure that records of compliance or contraventions are kept in accordance with section 82.

**Disclaimer:** This document is a sample of a policy and procedures that have been prepared to assist licensees in understanding their obligations under the CCEYA and O. Reg. 137/15.  It is the responsibility of the licensee to ensure that the information included in this document is appropriately modified to reflect the individual circumstances and needs of each child care centre it operates.

Please be advised that this document does not constitute legal advice and should not be relied on as such. The information provided in this document does not impact the Ministry’s authority to enforce the CCEYA and its regulations. Ministry staff will continue to enforce such legislation based on the facts as they may find them at the time of any inspection or investigation.

It is the responsibility of the licensee to ensure compliance with all applicable legislation. If the licensee requires assistance with respect to the interpretation of the legislation and its application, the licensee may wish to consult legal counsel.