



Policy for Monitoring Compliance and Contraventions

Name of Child Care Centre: Phoenix Child Centre

Date Policy and Procedures Established: August 2016

Date Policy and Procedures Updated: April 20, 2018

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
- Complaint Resolution Policy
- Emergency Management Policy and Procedures

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:

- Prohibited Practises Policy

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

- Phoenix Child Centre will monitor each staff, student and volunteer to assess whether policies, procedures and individualized plans are being implemented, as follows:
 - The Assistant Supervisor will observe and monitor the supervisor of the child care centre;
 - The Supervisor will observe and monitor the qualified staff in each program room (i.e. RECE or otherwise approved staff);
 - The Supervisor will observe and monitor other program staff (i.e. assistants);
 - The qualified Program staff will observe and monitor placement students; and
 - The qualified Program staff 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
 - reviewing written documentation (e.g. medication administration forms, daily written record, attendance records, etc.).
 - Random spot checks in all programs checking ratios, room safety, 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.
- Collaboration with Assistant Supervisor to ensure all individuals are being monitored efficiently may be necessary.

2. Documentation and Records

- Monitoring and observations will be recorded. Records of monitoring and observations may be documented using the *Compliance and Contravention Checklist*
- Documentation of observations will be completed at the time the observations are made or at least 2 times a year, and will include concrete examples of observed compliance and non-compliance.

- All records will be stored in staff files in child care centre office for at least three years from the date they are created.
- Documentation compiled in Compliance and Contravention Checklist will also be reread during the staff's annual goal review.

3. 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.
- The Supervisor will address their observations through a review and discussion with the individuals observed annually and will seek to or provide them with appropriate supports to achieve and maintain compliance (e.g. additional training).
- Reviewing centre policies, procedures, and individualized plans at least annually or as changes are made will assist in maintaining compliance. If needed this review can be increased.

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

- Phoenix Child 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, 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 3-5 days 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.
- 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.

Additional Policies and Procedures

Additional measures that Phoenix Child Centre takes to ensure that staff is maintaining compliance include but are not limited to:

- Workshops
- On line courses
- Weekly Team Meetings
- Weekly Staff Meetings
- Training Sessions (ie, public health, red cross, fire department, children's services, etc)

Date:	Revision:	Effective:
April 23 rd , 2018	Updated Policy and Procedure	April 23 rd , 2018

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.

Regulatory Requirement - Ontario Regulation 137/15:

6.1

(7) Every licensee of a child care centre or home child care agency shall have written policies and procedures that set out,

- (a) how compliance with the policies, procedures and individualized plans will be monitored on an ongoing basis, recorded and addressed; and
- (b) how contraventions of the policies, procedures and individualized plans will be monitored on an ongoing basis, recorded and addressed.

(8) Every licensee shall ensure that records of compliance or contraventions are kept in accordance with section 82.