



Childcare By-Law No. 36 of 2025 – Monitoring Compliance and Contraventions

Area: Childcare

Effective Date: February 24, 2025

Subject: Monitoring Compliance and
Contraventions

Revision Date:

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 and procedures, and individualized plans for child care centres.

Policy and procedures required under the *Child Care and Early Years Act, 2014*.

- Playground Safety
- Anaphylactic policy
- Sanitary practices
- Sleep supervision
- Serious Occurrences
- 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

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 Non-Compliance

1. Monitoring and Observations

- Goderich Municipal Child Care Centre will monitor each staff, student, and volunteer to assess whether policies, procedures, and individualized plans are being implemented, as follows:
 - The Director will observe and monitor the Supervisor of the Child Care Centre.
 - The Supervisor will observe and monitor the Director, with any non-compliance reports being directed to the Chief Administrative Officer.
 - The Director/ Supervisor will observe and monitor the qualified staff in each program room (i.e. RECE or otherwise approved staff).
 - The Director/ Supervisor will observe and monitor other program staff (i.e. assistants)
 - The classroom educators will observe and monitor placement students; and
 - The Director/ Supervisor and classroom educator 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)
 - Providing the staff with opportunities for self-reflection

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.

2. Documentation and Records

- Monitoring of Policies and Procedures within the Centre is done through a combination of policy review, continuous informal observation, and periodic formal observation practices.
- 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 two times a year and will include concrete examples of observed compliance and non-compliance.
- A minimum of 4 varying policies and procedures will be observed and documented by the Director or Supervisor each year for each staff member.
- All records will be stored in a secure locked cabinet for at least three years from the date they are created.

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 director or supervisor. The director/ supervisor will determine if any follow up action is required.
- All regular employees participate in an Employee Performance Review at least once a year. The director/ supervisor will complete 2 observations throughout the year and will seek to or provide them with appropriate supports to achieve and maintain compliance (e.g. additional training) through written or verbal discussions.

3. Dealing with Contraventions of Policies, Procedures, and Individualized Plans:

- Goderich 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 individualized plans on an ongoing basis to support clarity, learning, development, and ongoing compliance.
- Progressive discipline may be used to address observed non-compliance with policies, procedures, and individualized plans, taking into consideration the nature and severity of the incident, and the individual's history of previous non-compliance.
- 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:
 - i. 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.
 - ii. Re-review the relevant policies, procedures, and/or individualized plans with the individual;
 - iii. The director/ supervisor will keep a written record of the discussion and any subsequent action;
 - iv. Issue a verbal warning;
 - v. Issue a written warning;
 - vi. Temporarily suspend the individual from their position at the Child Care Centre for one to five days, without pay, based on severity;
 - vii. Terminate the individual from their position;

- viii. 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
 - ix. 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

- All staff will review Child Care Centre policies, procedures, and individualized plans and anaphylactic plans yearly, or as required when updates/ changes are made to the existing Centre policy. This review may be provided individually, during a staff meeting, or by providing staff with adequate time to read the information. Once completed, a sign-off sheet will be maintained indicating the date and signature of each review.
- The Centre Director or designate will ensure that all new employees, students, and volunteers who will be providing care and guidance to the children must review and sign off indicating their understanding and agreement to follow all Policies, Individualized Plans, and any Anaphylactic plans before they will be permitted in any classroom with children. A sign-off sheet will be maintained indicating the date and signature of each for review.
- All employees of the organization share the responsibility for monitoring and ensuring that all policies are followed. In addition to ensuring that they are adhering to the policies themselves, all employees are also expected to constantly monitor the practices of their co-workers. An employee can inquire about the practices of any other employee at any time, without fear of reprisal. Any concerns can be discussed with another staff in a professional manner. Following a discussion with a staff member, if required, a staff may bring any concerns to the director/ supervisor for further conversation and assistance.
- If an employee raises a concern about the behaviour management practices or contravention of any other policy of another employee, the Centre Director will discuss the concerns with all persons involved and will keep a written record of the discussion and any subsequent action.
- All regular employees participate in an Employee Performance Review at least once a year or as deemed by the Town of Goderich. Any concerns or comments will be noted at that time, and a plan will be developed to assist the employee in understanding and following the Policies.

- It is the responsibility of all employees to ensure that the rights of each child and family are protected in the Child Care Centre at all times. Any concerns will be reported to the Director immediately. Contravention of any of these policies may result in disciplinary action.
- Staff are expected to comply with the program's stated policies and procedures. Failure to report concerns about the behaviour management practices or other contravention of policies by another employee within an appropriate time frame will be considered a contravention of the Policy. Failure to model appropriate behaviour management practices in interactions with fellow employees, parents, or other adult visitors to the Centre may result in disciplinary action.
- All staff are required to immediately report to the supervisor if any unusual discipline problems arise with a student attending the Child Care Centre.
- Any unusual discipline problems that may occur while a student is attending the Goderich Municipal Child Care Centre will be recorded in the Daily Record Book.
- Behaviour Management will be included in monthly staff meetings, during Professional Development days, and workshops. Minutes of all staff meetings and staff development are recorded and filed.

Glossary:

Licensee: The individual or corporation named on the license 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