

# AURORA CHILDREN'S CENTRE

## Policy for Monitoring Compliance and Contraventions

**Date Policy and Procedures Established:** September 2016

**Date Policy and Procedures Updated:** June 7, 2021

### Purpose

This policy sets out the process that will be followed to monitor the implementation of policies, procedures, and individualized plans on an ongoing basis at Aurora Children's Centre (herein after referred to as "ACC" or the "Centre").

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 childcare centres.

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

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

Other policies and procedures developed by the childcare centre:

- COVID-19 Policy

# Policy and Procedures for Monitoring Compliance and Contraventions

## 1. Monitoring and Observations

- ACC/CC will monitor each staff, student, and volunteer to assess whether policies, procedures and individualized plans are being implemented.
- 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, mealtimes, 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 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 annually , and will include concrete examples of observed compliance and non-compliance.
- All records will be stored in the staff's binder in the Supervisor's office for at least three years from the date they are created.

## 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.
- Supervisor will address their observations through a review and discussion with the individuals observed every annually and will seek to or provide them with appropriate supports to achieve and maintain compliance (e.g. additional training).

## Contravention of Policies

ACC/CC 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.

If at any time during employment, there is a contravention of these policies & procedures, the principles of progressive discipline will be followed.

Progressive disciplinary action will become increasingly severe with the repetition of misconduct, whether it is the same type of misconduct or other unsatisfactory work performance. The failure to improve may lead to termination of employment.

Degrees of discipline are generally progressive and are used to ensure that the employee has the opportunity to correct his or her performance or conduct. However, the Centre reserves the right to skip any or all of the steps outlined below in cases of serious misconduct. Serious misconduct may lead to immediate dismissal and termination of employment. Generally, progressive discipline will be dealt with in the following manner:

### **Verbal warning**

An employee may receive a documented verbal warning for unacceptable conduct. The verbal warning identifies the unacceptable conduct, informs the employee that this conduct will not be tolerated and the expectation that the misconduct will cease immediately. A copy of the verbal warning is signed by the employee to acknowledge receipt and placed in the employee's personnel file.

In addition, the employee will be advised of the consequences of continued unacceptable conduct.

### **Written warning**

Should the unacceptable conduct on the part of the employee continue, the employee may receive a written warning. The written warning identifies the unacceptable conduct, informs the employee that this conduct will not be tolerated and the expectation that the misconduct will cease immediately. A copy of the written warning is signed by the employee to acknowledge receipt and placed in the employee's personnel file.

In addition, the employee will be advised of the consequences of continued unacceptable conduct.

### **Termination**

When the employee is dismissed because of a serious misconduct, or as the final step in the progressive discipline policy, the employee may be dismissed for cause.

## **Glossary**

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