

# *Little Lambs Home Daycare*

## **Policy for Monitoring Compliance and Contraventions**

Date Policy and Procedures Established: 07/07/2017

Date Policy and Procedures Updated: 04/07/2018

### **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*:

- Provision of Equipment
- Standing Bodies of Water
- 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 Evacuation
- Waiting List
- Parent Issues and Concerns

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

- Anaphylaxis
- Special Needs
- Medical Needs

Other policies and procedures developed by the home child care agency:

- Sexual Abuse/Harassment Policy

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- Confidentiality/Documentation Handling
- Nutrition and Menu Planning
- Transportation 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**

- Little Lambs Home Daycare Agency will monitor each home child care agency staff, provider, student, volunteer and other person regularly present or ordinarily resident at a premises is to assess whether policies, procedures and individualized plans are being implemented, as follows:
  - The RECE Home Visitor will observe and monitor the home child care provider
  - The RECE Home Visitor with the assistance of the Home Child Care Provider will observe and monitor placement students;
  - The RECE Home Visitor with the assistance of the Home Child Care Provider will observe and monitor volunteers; and
  - The RECE Home Visitor with the assistance of the Home Child Care Provider will observe and monitor the other persons regularly present or ordinarily resident in a home child care premises.
- 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 at a home child care premises;
  - collecting feedback provided from families; and
  - reviewing written documentation (e.g. medication administration forms, daily written record, attendance records, etc.).
- Home child care agency staff, students, volunteers, home child care providers and other persons regularly present or ordinarily resident at a home child care premises are encouraged to raise questions or concerns to the home visitor about their own observations of others in order to encourage ongoing learning and constructive feedback.
- 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.
- Each month the RECE Home Visitor will plan a visit to the home child care premises. The visit is structured to be a time of support for the Home Childcare Provider. Nevertheless the home child care visitor will file a report with the agency office if she/he notices any contraventions and follow up with the provider as required.

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- Quarterly the RECE home child care visitor will complete a drop in safety inspection. This must be an unannounced visit. The RECE home visitor will use the Ministry's checklist as a tool to monitor compliance and contraventions of all policies, procedures and individualized plans. The checklist must be completed quarterly for all home child care premises and be filed at the agency office.

### **2. Documentation and Records**

- Monitoring and observations will be recorded. Documentation will vary depending on the type visit (monthly or quarterly). If during a monthly visit the Home Visitor notices a contravention a record of observation must be completed. During quarterly visits the Home Child Care will document the providers Compliance or Contraventions using the ministry supplied "checklist".
- Documentation of observations will be completed at the time the observations are made or at least 4 times a year and will include concrete examples of observed compliance and non-compliance.
- All records will be stored at the Agency Office in a manner which protects the confidentiality of the agency and Home Child Care Provider for at least three years from the date they are created.
- Whenever requested Home Child Care providers will submit through email any of the following documents to [littlelambshomedc@gmail.com](mailto:littlelambshomedc@gmail.com)
  - menu plan
  - attendance log
  - Weekly written record
  - daily routine
- Whenever requested the RECE Home Visitor will submit through email or in person the following documents:
  - Quarterly checks
  - notes concerning monthly visits
  - records of observation

### **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 RECE Home Visitor.
- The RECE Home Visitor will address their observations through a review and discussion with the individuals observed and will seek to or provide them with supports to achieve compliance as needed (e.g. additional training).
- Any areas of concern with an individual's ability to comply with policies, procedures and individualized plans that cannot be resolved solely by the RECE Home Visitor will be brought forward to the Licensee (Kristina Schwartz).

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

- Little Lambs Home Daycare will make every effort to clarify expectations, and encourages home child care agency staff, students, volunteers, home child care providers and other persons regularly present or ordinarily resident at a home child care premises to raise their questions and concerns about implementing policies, procedures and individual plans on an ongoing basis. However, these individuals need to understand that all non-compliances will be recorded and addressed.

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- Progressive discipline, up to and including dismissal or agreement termination, 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-compliances.
- Where a home child care visitor, student or volunteer is observed to be non-compliant, the home child care agency will take one or more of the following actions:
  - Inform the individual that a non-compliance was observed, including the review of 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;
  - 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.
  - Issue a probationary period of not more than 3 months. During this time any continued noncompliance will result in immediate dismissal or agreement termination.
- Where a provider and/or a person regularly present and/or ordinarily resident at a premises is observed to be non-compliant, the home child care agency will take one or more of the following actions:
  - Inform the individual that a non-compliance was observed, including the review of 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 close the home child care premises for 72 hours;
  - Terminate the active agreement with the home child care provider; and/or
  - 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.);
  - Issue a probationary period of not more than 3 months. During this time any continued noncompliance will result in immediate dismissal or agreement termination with the home child care provider.
- 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 home child care agency will follow up with the family of a child in accordance with our policies and procedures on parent issues and concerns.

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- Where appropriate, confidential surveys will be given to the families receiving care at the home child care premises. Surveys will discuss client concerns, client observations and address areas of strength they see in the Home Child Care Provider. Surveys will be discussed with the Home Child Care Provider in a manner that respects the families confidentiality.

### **Additional Policies and Procedures**

#### **5. Observations brought forward by other persons (e.g. neighbours, children etc)**

- Any areas of concern with an individual's ability to comply with policies, procedures and individualized plans brought forward by other persons will be addressed with the RECE Home Visitor.
- The RECE Home Visitor will complete a Non-Compliance form with the other persons and have said person sign the document.
- The RECE Home Visitor will address the concerns through a review and discussion with the individuals observed and will seek to or provide them with supports to achieve compliance as needed (e.g. additional training).
- Any areas of concern with an individual's ability to comply with policies, procedures and individualized plans that cannot be resolved solely by the RECE Home Visitor will be brought forward to the Licensee (Kristina Schwartz).
- Observations brought forward by others found to be true will follow the process outlined in #4: Dealing with contraventions of policies, procedures and individualized plans.

#### **6. Process for reviewing policies, procedures and individualized plans**

- Annually Little Lambs will review policies, procedures and individualized plans to ensure continued compliance with O.Reg 137/15. Policies, procedures and individualized plans may be amended before the annual review as required.

## **Glossary**

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

*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.

*Other persons:* an individual from the community (neighbour, extended family, bus driver etc). May be a minor or adult.