



**Home Child Care
Policies and Procedures**

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| Section: Office Protocol | Policy No: 2992696 |
| Policy Title: Monitoring Compliance and Contraventions Policy | Revision Date: April 2019 |

Authority: Ministry of Education and Manager, Home Child Care

Policy Statement: 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.

Policy Intent:

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 home child care.

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

- Provision of Equipment DOCS#2342761
- Standing Bodies of Water DOCS#1397108
- Anaphylactic policy DOCS#447015
- Sanitary Practices DOCS#158330
- Sleep Supervision DOCS#2186992
- Serious Occurrence DOCS#470812
- Drug and Medication Administration DOCS#162453
- Supervision of Volunteers and Students DOCS#435680
- Program Statement Implementation DOCS#2024418
- Staff Training and Development DOCS#2186992
- Criminal Reference Check Policy #445159/Offence Declaration DOCS#1941265
- Fire Evacuation DOCS#2251847/Record of Fire Drills DOCS#310434
- Parent Issues and Concerns DOCS#2487159

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

- Anaphylaxis DOCS#447015
- Special Needs DOCS#2216434
- Medical Needs DOCS#162453 / 2441932

Procedures:

1. Monitoring and Observations

- Home Child Care, Region of Waterloo will monitor each home child care agency staff, caregiver, 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:
 - Home Child Care Consultant will observe and monitor the home child caregiver
 - Home Child Care Supervisor and Consultant will observe and monitor placement students;
 - Home Child Care Consultant will observe and monitor volunteers; and
 - Home Child Care Consultant 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 Consultants staff, students, volunteers, home child caregivers and other persons regularly present or ordinarily resident at a home child care premises are encouraged to raise questions or concerns to the Home Child Care Consultant 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.

- Completion of Annual Policy Review DOCS#154068 by Home Child Caregiver and residents in their home.

2. Documentation and Records

- Monitoring and observations will be recorded. Records of monitoring and observations are to be documented using OCCMS Case Notes and where applicable the Standard Home Visitor Checklist (Quarterly Home Inspection).
- Documentation of observations will be completed at the time the observations are made or at least 12 times a year and will include concrete examples of observed compliance and non-compliance.
- All records will be stored in the caregiver's file 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 Home Child Care Consultant's supervisor.
- Home Child Care Supervisor / Home Child Care Consultant 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).
- If required caregiver will be given a Notice of Deficiency with a clear path of what is to be completed and deadline

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

- Home Child Care, Region of Waterloo will make every effort to clarify expectations, and encourages Home Child Care staff, students, volunteers, Home Child Caregivers and other persons regularly present or ordinarily a 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.
- 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 Caregiver, student or volunteer is observed to be non-compliant, Home Child Care 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.
 - In addition to these steps for Region of Waterloo Staff will also follow 1883 Collective agreement and Region of Waterloo Human Resource Policies
- Where a Home Child Caregiver and/or a person regularly present and/or ordinarily resident at a premises is observed to be non-compliant, Home Child Care will take one or more of the following actions:

Letters of Warning and Termination will be issued according to the Home Child Care Policy on Cautioning and Terminating a Caregiver as follows:

Step One

- Consultant/ Supervisor/ Manager takes information
- Consultant reviews records (Caregiver home, family file, OCCMS)

Step Two

- Consultant and Supervisor discuss the contravention/ incident
- Decide if it is a Serious Occurrence, does Family and Children's Services need to be contacted

Step Three

- Close home or not
- Review placement of children
- More information gathering
- Meet with Caregiver if Family and Children's Services is not involved

Step Four

- Decision making about term/ warning/ caution letter – consider the severity, history, age of children, safety and well-being of children
- Term/ Warning/ Caution letter about contravention

Step Five

- Follow up visit with Consultant- if warning letter sent, discuss letter
- Monitor progress or changes, weekly and then monthly once the

requirements in the warning letter are consistent

- Decision if another contravention should occur, go back to Step Four

The previous steps will be included where applicable as well as the following:

- 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;
 - Record contravention(s) on the Quarterly Inspection
 - Issue a verbal warning;
 - Issue a written warning; letter or Notice of Deficiency form
 - Temporarily close the home child care premises until the deficiencies have been corrected or as recommended by Family and Children's Services due to an investigation;
 - 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.);
- 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, Home Child Care 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

Complaint Recording Document – DOCS# 2980492

- Reviewed monthly and annually by Home Child Care Management to review trends and areas to assess policy changes to help eliminate reoccurrence.

References/Appendix

Home Child Care Contract and Schedule "A"
Home Child Care Policies and Procedures
Home Child Care Manual
CCEYC Act