

CATEGORY: Policy and Procedures

SUBJECT: Monitoring Compliance and Contraventions

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REVIEWED: June 2026

Policy Statement

CICC is obligated to develop and implement policies and procedures as required by the Child Care and Early Years Act, 2014 (CCEYA), under Ontario Regulation 137/15 for written policies, procedures, and individualized plans for childcare centres.

Purpose

This policy sets out the process for monitoring the implementation of our policies, procedures, and individualized plans on an ongoing basis. It also describes how compliance and contraventions (non-compliance) will be monitored, documented, and addressed.

Procedure

1. Policy Review

- All policies written for Centennial Infant and Child Centre's (CICC) Preschool Program will be reviewed by the Executive Director annually.
- Date of review will be recorded in the header of the policy and printed and placed in the CICC Preschool Policy binder.
- Policies posted on CICC's website will be updated at this time.
- Once reviewed by the Executive Director, all preschool staff, volunteers, and students will review the policies.
- Staff, volunteers, and students must review and acknowledge all required policies before starting work or placement, whenever a policy is revised, and annually thereafter.
- Documentation of review will be placed in each staff, volunteer, and student's personnel file.
- Documentation of monitoring activities, observations, policy reviews, corrective actions, and contraventions will also be retained in personnel files for a minimum of three years.

- **Responsibilities:**

- The Preschool Manager will be responsible for ensuring all staff review and acknowledge policies and procedures.
- The Student and Volunteer Program Coordinator will be responsible for ensuring all volunteers and students review and acknowledge all policies and procedures and documentation completed.

2. Monitoring and Observations

Each staff, volunteer and student will be monitored to assess whether policies and procedures and individualized plans are being implemented as follows:

- The Executive Director will observe and monitor the Preschool Manager and the Assistant Preschool Manager
- The Preschool Manager will observe and monitor the qualified staff i.e., RECEs
- The Preschool Manager will observe and monitor the other program staff i.e., 1:1 Support Worker, Supply Staff, Educational Assistant (EA)
- The RECEs will observe and monitor the students, and provide feedback to the Student and Volunteer Program Coordinator and/or Preschool Manager.

Monitoring and observations will be conducted on an ongoing basis through various means, including:

- Participating formally and informally in the program
- Collecting feedback from parents and families
- Reviewing written documentation i.e., daily record book, medication administration forms, attendance records, etc.
- Observing at different times of the program to ensure Individual Program Plans, policies, and procedures are being implemented.

3. Policies to Review

The following policies are to be reviewed by all preschool staff, volunteers, and students before starting work or placement, whenever a policy is revised, and annually thereafter.

- **General Preschool Policies:**

- Fire Safety and Evacuation Procedures
- Monitoring Compliance and Contraventions Policy
- Individual Program Plan
- Sanitary Practices
- Serious Occurrence

- Program Statement
- Program Statement Implementation
- Childcare Supervision Policy for Students and Volunteers
- Police Record Check
- Staff, Volunteer, Student Training and Development
- Wait List and Admission
- Smoking
- Child Abuse
- Parent Issues and Concerns
- Equity, Diversity, and Inclusion
- Bill 132-Workplace Violence and Harassment
- Emergency Management Plan
- **Individualized Health Plans:**
 - Anaphylactic Policy
 - Emergency Plans, Allergies, Special Dietary and Feeding
 - Drug and Medication Administration
- **Additional Staff Policies:**
 - Workplace Health and Safety
 - Slips, Trips and Falls
 - Acceptable IT Use
 - Parent Involvement
 - Withdrawal
 - Confidentiality

The following Health and Safety and Sanitary policies are to be reviewed by **staff** before starting work, whenever a policy is revised, and annually thereafter.

- Immunization Policy
- Diapering & Toileting
- Cleaning & Disinfecting
- Toy Cleaning
- Illness: Exclusion of Sick Children
- Hand Hygiene
- Human Biting Incident
- Management of Common Communicable Diseases
- Management of Outbreaks

The following Health and Safety and Sanitary policies will be reviewed by **students** before starting placement, whenever a policy is revised, and annually thereafter.

- Emergency Plans, Allergies, Special Dietary & Feeding
- Drug Administration
- Anaphylactic
- Immunizations
- Diapering & Toileting
- Environmental Cleaning and Disinfecting
- Toy Cleaning and Disinfecting
- Hand Hygiene
- Human Biting Incident

The following Health and Safety and Sanitary policies are to be reviewed by **volunteers** before starting work, whenever a policy is revised, and annually thereafter.

- Emergency Plans, Allergies, Special Dietary & Feeding
- Drug and Medication Administration
- Anaphylactic Policy
- Immunization Policy
- Diapering & Toileting
- Hand Hygiene
- Human Biting Incident

Record of policy review will be kept in all staff, volunteer, and student personnel files.

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

CICC will make every effort to clarify expectations and encourage staff, students, and volunteers to raise their questions and concerns regarding the implementation of policies, procedures, and individual plans on an ongoing basis to clarify, learn, and develop ongoing compliance.

- **Progressive discipline** may be used depending on the nature and severity of the incident, and the individual's history of previous non-compliances.
- **Immediate action** may be taken, up to and including removal from duties pending investigation, when the non-compliance involves a prohibited practice, child protection concern, health or safety risk, or other serious violation.

Steps for Addressing Observed Non-Compliance:

- Inform the individual that a non-compliance was observed, including review of any supporting records and/or documentation.
- Re-review the relevant policies, procedures, and/or individualized plans.

- Depending on the severity, disciplinary actions may include:
 - Verbal warning
 - Written warning
 - Suspension from duties (one day or more)
 - Termination of employment/placement/volunteer role
- Notify relevant external parties as required (e.g., College of Early Childhood Educators, College of Teachers, College of Social Work and Social Services, University/College placement contacts).
- Report violations of the Code of Ethics to the College of Early Childhood Educators, as required.
- If non-compliance meets the criteria for a reportable serious occurrence, the **Serious Occurrence Policy** will be followed.
- Where appropriate, follow up with families in accordance with the **Parent Issues and Concerns Policy**.