



**Umbrella Family and
Child Centres of Hamilton**

3.2 Monitoring and Compliance Observation Policy

MANUAL	Staff Related Policy Manual
SECTION	3- Ministry of Education Policies
POLICY	3.2 Monitoring and Compliance Observation Policy
LAST REVISED	June 19, 2024

RATIONALE

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

RESPONSIBILITY

All Staff.

PROCEDURE

UFCC will monitor each staff, student, volunteer and other person regularly present to assess whether policies, procedures and individualized plans are being implemented, as follows:

- Supervisor will observe and monitor the centre staff, including relief and supply staff;
- Classroom staff will observe and monitor placement students;
- Supervisor and classroom staff will observe and monitor volunteers; and
- Supervisor will observe and monitor the other persons regularly present or ordinarily resident in a 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;
 - collecting feedback provided from 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, 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.

Both instances of compliance and non-compliance with policies are documented.

Documentation and Records

Monitoring and observations will be recorded on a *Monitoring and Compliance Observation Form*.

Documentation of observations will be completed at the time the observations are made or at least three times a year and will include concrete examples of observed compliance and non-compliance.

All records will be stored in the employee's file in a secure cabinet for at least three years from the date they are created as well as in the employee's electronic file.

Follow-up and Non-Compliance

Incidents of non-compliance with the UFCC policies and procedures will prompt a process of coaching and mentoring to ensure that individual staff, students and volunteers understand the expectations outlined in these documents. Individuals may be asked to sign off on specific documents again and additional monitoring will be employed to ensure expectations are being met. This process may also involve the staff being referred for specific training.

Ongoing issues of non-compliance will be addressed using the UFCC Progressive Discipline policy.

Policy Attachments: Monitoring and Compliance Observation Form, Progressive Discipline Policy