



PLP 100B Monitoring Compliance and Contraventions

Park Lawn Preschool Inc. expects all employees, students and volunteers to comply with the policies, procedures and children's individualized plans. In addition, employees, students and volunteers are expected to conduct themselves in a professional manner at all times. Any employee, student and volunteer found engaging in professional misconduct, inappropriate behaviour, or who is in violation of any Park Lawn Preschool Inc. policies, may be subjected to progressive discipline or immediate dismissal where, in the view of Park Lawn Preschool Inc., it is warranted.

Park Lawn Preschool Inc. monitors compliance and contraventions of policies, procedures, and individualized plans on an ongoing basis. Observations and incidents are recorded and addressed with employees, students and volunteers.

1. Monitoring and Observations

- Park Lawn Preschool Inc. will monitor each staff, student and volunteer to assess whether policies, procedures and individualized plans are being implemented, as follows:
 - PLP Managers will observe and monitor the supervisor of the child care centre;
 - Centre Supervisors & Assistant Supervisors will observe and monitor the qualified staff in each program room (i.e. RECE, Assistant or otherwise approved staff);
 - Centre Supervisors, Assistant Supervisors and Program Staff will observe and monitor placement students; and
 - Centre Supervisors, Assistant Supervisors and Program Staff will observe and monitor volunteers.
- 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, 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.

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 two times a year, and will include concrete examples of observed compliance and non-compliance.
- All records will be stored in the employee's HR File in a locked filing cabinet 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.
- The Centre Supervisor will address their observations through a review and discussion with the individuals observed every week and will seek to or provide them with appropriate supports to achieve and maintain compliance (e.g. additional training).

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

- Park Lawn Preschool Inc. 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.
- Progressive discipline may be used to address observed non-compliances 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 staff, student or volunteer is observed to be non-compliant, the licensee, supervisor or designate will take one or more of the following actions:
 - Inform the individual that a non-compliance was observed, including the review of any pertinent 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 suspend the individual from their position at the child care centre ;
 - Terminate the individual from their position;
 - 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.

- 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 supervisor or designate will follow up with the family of a child in accordance with our policies and procedures on parent issues and concerns.

Roles and Responsibilities

All Employees, students and volunteers shall:

- Demonstrate professional and appropriate interactions with colleagues, families and children.
- Report any reasonable suspicion of abuse or neglect of a child to a Children's Aid Society or police and the supervisor.
- Report any reasonable suspicion of sexual misconduct or sexual abuse of a student to a Children's Aid Society or police and the supervisor or PLP manager.
- Follow and comply with all Park Lawn Preschool Inc.'s Policies.

Supervisors shall:

- Communicate and enforce behavioural and work expectations.
- Conduct performance reviews twice a year.
- Record compliant observations of policies and procedures in Performance Evaluations.
- Review any contraventions of policies and procedures immediately
- Contraventions of policies and procedures are documented.
- Handle disciplinary situations.
- Conduct investigations into any allegations or professional misconduct.
- Administer appropriate corrective disciplinary action.
- Be responsible of ongoing monitoring of compliance and contravention of policies and procedures
- Review recorded observations with each employee, student or volunteer as incidents arise.
- Report any violations of professional misconduct to the College of ECE where necessary.

Management shall:

- Communicate and enforce behavioural and work expectations.
- Conduct Supervisor performance reviews twice a year.
- Record compliant observations of policies and procedures in Performance Evaluations.
- Review any contraventions of policies and procedures immediately
- Contraventions of policies and procedures are documented Handle disciplinary situations.
- Conduct investigations into any allegations or professional misconduct.
- Administer appropriate corrective disciplinary action.
- Be responsible of ongoing monitoring of compliance and contravention of policies and procedures
- Make necessary recommendations to the Board of Directors.

- Report any violations of professional misconduct to the College of ECE where necessary.

Board of Directors shall:

- Consider recommendations from the management team to terminate employment of an employee.
- Assist in investigations of allegations in employee professional misconduct.
- Assist in investigations of child abuse.

Types of Disciplinary Actions

Progressive Discipline

Where appropriate, Park Lawn Preschool Inc. will follow a practice of progressive discipline and permit the employee an opportunity to correct his/her behaviour or performance. Progressive Discipline may include some or all of the following steps before a decision is made to terminate an employee's employment: verbal warning, written warning, agreement to a performance improvement plan (SMART), or suspension with or without pay. Park Lawn Preschool Inc. will consider the circumstances surrounding any performance issue, misconduct, or breach of policy when assessing what type of discipline ought to be applied. Factors that Park Lawn Preschool Inc. will consider may include the nature and severity of the breach/misconduct, whether this is the first offence, and whether the employee has acknowledged the misconduct and demonstrated remorse.

Park Lawn Preschool Inc. reserves the right to terminate an employee without progressive discipline for any serious misconduct.

All allegations of inappropriate behaviour or conduct and contravention of PLP's policies and procedures will be investigated by the Supervisor, PLP Manager and/or Park Lawn Preschool Inc.'s Board of Directors.

Verbal Warning

Verbal Warnings are documented in the **Verbal Warning Log** (Appendix A). Based on the severity of the incident, the employee may receive a verbal warning.

SMART Goals (Specific, Measurable, Attainable, Realistic, Timely)

SMART Goals (Appendix B) are used to support staff in progressive discipline. Based on the severity of the incident, the employee and the supervisor will meet together to identify performance goals and an action plan. The goals will be reviewed in a timely manner, to evaluate the success of the employee's action plan. SMART Goals may be used in conjunction with a verbal warning or written disciplinary action.

Written Disciplinary Action

Written Disciplinary Actions are documented on the **Notice of Disciplinary Action form** (Appendix C). Based on the severity, frequency and circumstances of the incident, a written disciplinary action may be used and may result in termination. Written disciplinary actions may also be used in the event an incident has not been rectified after an employee has received a verbal warning or was unsuccessful in meeting the SMART Goals identified.

Suspension

A suspension of employment may be necessary in order for Park Lawn Preschool Inc. to carry out a reasonable investigation into allegations of misconduct.

Termination

Termination of employment may be used as the final stage of progressive discipline depending on the severity of the incident. If the incident in question is of an extremely severe nature, termination may be the immediate consequence.

All Disciplinary Actions will be documented in the employee's human resource file.