



Monitoring Compliance and Contraventions Policy

Purpose

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 policy sets out the process that will be followed to monitor the implementation of our policies, procedures and individualized plans on an ongoing basis.

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 childcare centres.

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

1. Playground Safety
2. Anaphylactic policy
3. Sanitary Practices
4. Sleep Supervision
5. Serious Occurrence
6. Drug and Medication Administration
7. Supervision of Volunteers and Students
8. Program Statement Implementation
9. Staff Training and Development
10. Criminal Reference Check
11. Fire Safety and Evacuation
12. Waiting List
13. Parent Issues and Concerns
14. Emergency Management
15. Monitoring Compliance and Contraventions
16. Safe arrival and dismissal policy

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

- Anaphylaxis
- Special Needs
- Medical Needs

Other policies and procedures developed by Angus Valley Montessori:

15. Ill Child Policy
16. Elevator Transition Policy (Applicable to multi level AVMS locations)

Note: definitions for terms used throughout this policy are provided in a Glossary at the end of the document.



REVIEW OF POLICY

The Supervisor or Director will be responsible for an annual review of these policies and the method by which they are monitored. All staff will have knowledge of the consequences of any violation of the policy. The policy will be reviewed, signed, witnessed, and dated at the time of orientation and annually thereafter.

Policy and Procedures for Monitoring Compliance and Contraventions

1. Monitoring and Observations

Angus Valley Montessori will monitor each staff, student, and volunteer to assess whether policies, procedures and individualized plans are being implemented, as follows:

- The director or designated staff will observe and monitor the supervisor of the Angus Valley Montessori School
- The supervisor will observe and monitor the qualified staff in each program room (RECE or otherwise approved staff)
- The head teacher will observe and monitor other program staff such as Educational Assistants
- The head teacher will observe and monitor placement students/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 (medication administration forms, daily written records, attendance records, etc.)

Monitoring will be conducted at different times of the day (e.g., morning, afternoon, periods of arrival/departure, rest periods, mealtimes, 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 regarding policies, procedures and individualized plans will be recorded and documented using the template found in **Monitoring and Observations for Staff**. Documentation of observations will be completed at the time the observations are made or at least one time a year and will include concrete examples of observed compliance and non-compliance. Forms will be used to document when there is a non-compliance and have to be logged.
- Individual observations of each staff/ teacher will take place twice per year, in Oct/Nov and April/May accompanied by feedback and mentoring on their performance, teaching style and behaviour management, by using the form of **Monitoring of Program Statement Goals and Approaches**.



- All incidents, concerns, monitoring & observation records will be documented and stored in employee 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 supervisor or designate.
- The supervisor will address their observations through a review and discussion with the individuals observed every 3 months 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:

Angus Valley Montessori 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**: The Supervisor or Director will advise the person that his/her behaviour is not acceptable, that is contravenes policy and must stop. The person will be requested to reread and comply with the policy, if necessary, a discussion will follow. Documentation of the warning will be kept in his/her personnel file.
- Issue a **written warning**: The Supervisor or Director will advise the person that his/her actions have not been corrected. A written reprimand will be given to the person and will be filed in his/her personnel file.
- 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.



Glossary

Licensee: The individual or corporation named on the licence issued by the Ministry of Education responsible for the operation and management of childcare centre.

Staff (Employee): Individual employed by the licensee (e.g., program room staff).

Student: Individual enrolled in an education program/school and is completing a placement.

Volunteer: Any individual who is engaged in the childcare program and interacts with the children in care but is not paid by the licensee.