



DOC REF: QP-013

REV/ISSUE: 00/01

DATE: Sep 1, 2025

## **Policy & Procedure: Monitoring Compliance and Contraventions**

Date Policy and Procedures Established: September 1, 2025

Date Policy and Procedures Updated:

### **Purpose**

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.

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

- Playground Safety
- Anaphylactic policy
- Sanitary Practices
- Sleep Supervision
- Serious Occurrence
- Safe Arrival and Dismissal Policy
- Drug and Medication Administration
- Supervision of Volunteers and Students
- Program Statement Implementation
- Staff Training and Development
- Criminal Reference Check
- Fire Safety and Evacuation
- Waiting List
- Parent Issues and Concerns
- Emergency Management

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

- Anaphylaxis
- Special Needs
- Medical Needs



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Other policies and procedures developed by the childcare center:

- Staff Dress Code Policy
- Annual Verification of Evacuation Site Policy
- Fee and Refund Policy

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

### **Policy and Procedures for Monitoring Compliance and Contraventions**

#### **Monitoring and Observations**

- CedarBrook Montessori School will monitor each staff, student, volunteer to assess whether policies, procedures and individualized plans are being implemented, as follows:
  - Director will observe and monitor the supervisor of the childcare center
  - Supervisor will observe and monitor the qualified staff in each program room (i.e., RECE or otherwise approved staffs);
  - Director and Supervisor will observe and monitor other program staffs (i.e., assistants)
  - Supervisor and RECE will observe and monitor placement students; and
  - Supervisor and RECE 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.

#### **Documentation and Records**

- Monitoring and observations will be recorded.



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- Records of monitoring and observations of classroom may be documented using the template found in Appendix A
- Records of monitoring and observations of employee may be documented using the template found in Appendix B
- Documentation of observations will be completed at the time the observations are made or at least 2 times a year and will include concrete examples of observed compliance and non-compliance.
- All records, electronically or physical copy will be stored in document storage cabinet under "Record of Observation" for at least three years from the date they are created.

### **Follow-up**

- Any areas of concern with an individual's ability to comply with policies, procedures and individualized plans will be brought forward to supervisor or designate.
- All staff members given the responsibility to do the observation will address their observations through a review and discussion with the individuals observed every working day and will seek to or provide them with appropriate supports to achieve and maintain compliance (e.g. additional trainings)

### **Dealing with Contraventions of Policies, Procedures or Individualized Plans:**

- CedarBrook Montessori School will make every effort to clarify expectations, and encourages staff, students, 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-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 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 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.



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- Temporary suspend the individual from their position at the childcare center for 2 weeks based on severity.
- 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.
- Issue a probationary period of not more than 3 months. During this time any continued non-compliance will result in immediate dismissal or agreement termination.
- 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 childcare center will follow up with the family of a child in accordance with our policies and procedures on parent issues and concerns.
- Where appropriate, confidential surveys will be provided to the families receiving care at the licensed childcare premises. Surveys will discuss parents' concerns, parents observations and address areas of strength they see in the Licensee Child Care Center. Surveys will be discussed with the Licensed Child Care Provider in a manner that respects the parents' confidentiality.

### **Glossary**

*Licensee:* The individual or corporation named on the licence issued by the Ministry of Education responsible for the operation and management of the home child care agency.

*Staff (Employee):* Individual employed by the licensee (e.g.,

*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.

*Other Person:* an individual from community /(neighbour, extended family, bus driver etc.). May be a minor or adult.



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## **Policy & Procedure: Monitoring Compliance and Contraventions**

### **Appendix:**

*Appendix A: FR-34\_Classroom Checklist*

*Appendix B: FR-35\_Record of staff observation & monitoring*

