



Guidelines for Home-Based Education and Care  
Assurance Statement and Self-Audit Checklists  
For Services Licensed under 2008 Regulatory Framework

January 2021

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# Ko te Tamaiti te Pūtake o te Kaupapa

## The Child – The Heart of the Matter

### Introduction

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**Home-based education and care service** means -

- (a) the provision of education or care, for gain or reward, to children who are under the age of 5 years, or who are 5 years of age but not enrolled in school, in –
  - (i) the children’s own home; or
  - (ii) the home of the person providing the education or care; or
  - (iii) any other home nominated by the parents of the children; and
- (b) includes the provision of education or care to any child of the person providing the service who is –
  - (i) under the age of 5 years; or
  - (ii) 5 years of age but not enrolled in school.<sup>1</sup>

**Licensed home-based education and care service (“licensed home-based care service”)** means a home-based education and care service in respect of which the service provider holds a current licence issued under the Education (Early Childhood Services) Regulations 2008.

#### **Requirements for licensed home-based education and care service**

- (1) A licensed home-based education and care service may be provided to 1 or more children, up to a total of 4 in any 1 home.
- (2) While children are participating in the service, the total number of children present in the home in which the service is provided (including those receiving the service) must not be more than 6.
- (3) In this section,-

**children** means children aged 13 years or younger (other than children of the educator who are enrolled in school)

**educator** means the person who—

- (a) provides education and care and comfort directly to children in the person’s care; and
- (b) attends to the health and safety of those children<sup>2</sup>

Early childhood education in licensed home-based care services aims to promote young children’s learning and development. Key mechanisms for ensuring that services provide a minimum standard of care, and to encourage provision of high quality care and education include:

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1 Section 10 Education and Training Act 2020

2 Section 19 Education Act and Training Act 2020

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- The Education (Early Childhood Services) Regulations 2008<sup>3</sup> set the minimum standards, primarily for curriculum, premises and facilities, health and safety practices, management and administration. The purpose of these minimum standards is to ensure the health, comfort, care, education, and safety of children attending licensed home-based care services and therefore to establish the level of quality education and care that one would expect to find in a licensed service;
  - Licensing, intended to provide public assurance that a service provider is meeting the standards established in the regulations, and guarding against entry of services below the minimum standard into the early childhood centre education market;
  - The Licensing Criteria for Home-Based Education and Care Services 2008 which are deemed regulations prescribed by the Minister of Education, and that are used by the Secretary of Education to assess compliance with regulated standards of education and care; and
  - The Early Childhood Education Curriculum Framework based on Te Whariki, which is New Zealand’s curriculum for early childhood education and provides guidelines for consistent and high-quality early childhood programmes;

Another key mechanism used to ensure that licensed home-based care services meet the minimum regulated standards of education and care is external evaluation by the Education Review Office (ERO). Review reports prepared by ERO are used by staff, management, parents and government officials to inform their understanding of the quality of care and education in licensed home-based care services and the sector as a whole.

The legal framework described above provides a baseline for all ‘**service providers**’ (the body, agency, or person who or that arranges, or offers to arrange, that education or care). ERO wants to know that the service provider is taking all reasonable steps to meet the minimum standards with which it must comply in order to ensure the health, comfort, care, education, and safety of children attending the licensed home-based care service.

[Read more about the changes relating to early childhood education \(ECE\), including ngā kōhanga reo](#)

- [Police vetting is required for all adults who live in a home where home-based early childhood education and care is being provided](#)
- [Enabling the Education Review Office \(ERO\) to obtain information from early learning service parent entities](#)
- [Enabling the Education Review Office \(ERO\) to enter a home where home-based early learning is being provided](#)

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<sup>3</sup> Note: this Regulations continue to apply under the Education and Training Act 2020, clause 4, [Schedule 1 Transitional, savings, and related provisions](#). Also note, [Schedule 26 Consequential amendments and revocations](#) to the Regulations.

## High Quality Evaluation Contributing to High Quality Education

### Licensing and Compliance Issues

Home-based education and care services must meet licensing criteria as well as other regulatory requirements contained in the regulations in order to gain and maintain a licence and receive government funding.

The Education (Early Childhood Services) Regulations 2008, should therefore be read in conjunction with the *Licensing Criteria for Home-Based Education and Care Services 2008* and the *Early Childhood Education Curriculum Framework*.

Compliance with regulatory requirements is clearly an integral part of the provision of high quality care and education.

Service providers and network coordinators are asked to provide assurance to ERO about legal compliance. Where there are areas of non-compliance, service providers will be asked to advise what action they are taking to achieve compliance.

In order to help with this process, ERO has developed these *Guidelines for Home-Based Education and Care Assurance Statement and Self-Audit Checklists* containing:

- a brief outline of the regulatory requirements with which licensed home-based care service providers must comply that are of key interest to ERO;
- checklists to be filled out by service providers and coordinators as part of a self-review process to assist ERO in determining whether the service provider is complying with regulatory requirements; and
- an assurance statement to be signed by the service provider and the appropriate network coordinator that provides evidence of the service's compliance (or not) with regulatory requirements.

The completed checklists and assurance statement are for your own self review, and used by ERO to help the scoping and planning stages of the review. The more assurance the service provider and coordinator can provide to ERO that they are meeting the legal requirements and taking appropriate action to remedy areas of non-compliance, the greater the emphasis can be on other areas of the review.

The detailed issues for evaluation are determined at the beginning of the review following a discussion with the service provider.

**Note:** The *Guidelines for Home-Based Education and Care Assurance Statement and Self-Audit Checklists* do not cover every legal requirement with which service providers must comply. The *Guidelines* are not intended to be exhaustive of all relevant legislation and requirements (such as those provided in Ministry of Education Circulars and other documents). Information in the *Guidelines* may not represent the official version of Acts, Regulations and other legal requirements. In any situation the full legislation and the requirements themselves should be referred to. Service providers should refer to the Ministry of Education, Early Childhood Education website – [www.education.govt.nz](http://www.education.govt.nz), for further guidance.

## Section One – Curriculum Standard Guide

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### Key Legislation

- Education and Training Act 2020
- The Education Act 1989
- Education (Early Childhood Services) Regulations 2008

### Key Documents

- Licensing Criteria for Home-Based Education and Care Services 2008
- Early Childhood Education Curriculum Framework.

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### Introduction

#### Early Childhood Education Curriculum Framework

The Early Childhood Education Curriculum Framework (Curriculum Framework) for licensed services is based on *Te Whāriki: He Whāriki Mātauranga mō ngā Mokopuna o Aotearoa*, which is New Zealand's curriculum for early childhood education. *Te Whāriki* sets out the learning experience goals for children from birth up to school age. It identifies what a child needs to know and use later in life. It is envisioned as a mat with four principles interwoven with five strands.

The four principles are:

- **Empowerment / Whakamana** - giving the child the power to learn and grow
- **Holistic Development / Kotahitanga** - learning as a whole rather than in separate subjects
- **Family and Community / Whānau Tangata** - linking with the child's family and community
- **Relationships / Ngā Hononga** - learning by responding and doing things alongside others.

The five strands are:

- **Well-being / Mana Atua** - having a safe and healthy environment in which to grow and learn
- **Belonging / Mana Whenua** - feeling like they belong
- **Contribution / Mana Tangata** - feeling valued and encouraged to take responsibility
- **Communication / Mana Reo** - learning to express themselves with others in a variety of ways
- **Exploration / Mana Aotūroa** - learning by doing.

The purpose of the Curriculum Framework is to provide the basis and context for specific curriculum regulatory requirements in the Education (Early Childhood Services) Regulations 2008 relating to the standards of education and care and to the associated curriculum criteria. The Curriculum Framework is made up of the English and te reo Māori versions of the principles and strands from *Te Whāriki*.

Each licensed home-based care service will develop its own programmes to implement *Te Whāriki*. The *Licensing Criteria for Home-based Education and Care Services* outlines how service providers must comply with the standards.

The service provider of a licensed home-based care service must implement the principles and strands set out in the Curriculum Framework.<sup>4</sup>

The service provider is also required to meet the curriculum standard under regulation 43 of the Education (Early Childhood Services) Regulations 2008, and produce specific documentation to demonstrate compliance with the *Licensing Criteria for Home-based Education and Care Services 2008* consistent with the prescribed curriculum framework to assess the curriculum standard.

The curriculum standard in regulation 43 of the Education (Early Childhood Services) Regulations 2008 is set out below, followed by a summary of the criteria against which compliance will be assessed.

**Regulation 43 - Curriculum standard: general**

- (1) The curriculum standard: general is the standard that requires every licensed service provider to whom this regulation applies to—
  - (a) plan, implement, and evaluate a curriculum that is designed to enhance children's learning and development through the provision of learning experiences and that is consistent with any curriculum framework prescribed by the Minister that applies to the service; and that—
    - (i) responds to the learning interests, strengths, and capabilities of enrolled children; and
    - (ii) provides a positive learning environment for those children; and
    - (iii) reflects an understanding of learning and development that is consistent with current research, theory, and practices in early childhood education; and
    - (iv) encourages children to be confident in their own culture and develop an understanding, and respect for, other cultures; and
    - (v) acknowledges and reflects the unique place of Maori as tangata whenua; and
    - (vi) respects and acknowledges the aspirations of parents, family, and whanau; and
  - (b) make all reasonable efforts to ensure that the service provider collaborates with the parents and, where appropriate, the family or whanau of the enrolled children in relation to the learning and development of, and decision making about, those children; and
  - (c) obtain information and guidance from agencies with expertise in early childhood learning and development, to the extent necessary, to—
    - (i) support the learning and development of enrolled children; and

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<sup>4</sup> Gazetted in the *New Zealand Gazette* No 136 dated 4 September 2008 at page 3617. Refer to the MOE – Early Childhood Education website – <https://www.education.govt.nz>, or the Department of Internal Affairs' web-site <https://www.dia.govt.nz/> and search under *New Zealand Gazette On-line*.

- (ii) work effectively with parents and, where appropriate, family or whanau.
- (2) Each licensed service provider to whom this regulation applies must comply with the curriculum standard: general.

## Key Requirements

### Licensing Criteria for Early Childhood Education and Care Centres 2008

**Clause 4 – Interpretation** – for the purpose of these criteria, unless the context indicates otherwise: (Note: applies to all sections of this Compliance Guide and the attached Self-Audit Checklists)

- (a) **assessment** means the process of noticing children’s learning, recognising its significance, and responding in ways that foster further learning. It includes documenting some, but not necessarily all, of what and how children are learning in order to inform teaching, and make learning visible;
- (b) **coordinator** means the person who has primary responsibility for overseeing the education and care, comfort, and health and safety of the children, and providing professional leadership and support to educators within the service;
- (c) **culture** means the understandings, patterns of behaviour, practices, and values shared by a group of people;
- (d) **educator** means the person with the designated role of providing education and care directly to children in his or her care, and attends to the health and safety of those children;
- (e) **medicine** means any substance used for a therapeutic purpose and includes prescription and non prescription preparations having the meaning assigned to these under Appendix 2;
- (f) **excursion** means –
  - i. being outside the licensed premises whilst receiving education and care from the service; but
  - ii. does not include an excursion for the purposes of emergency evacuations, drills or the receipt of urgent medical attention.
  - iii. regular excursion means – excursions that parents have agreed to at the time of their child’s enrolment, that are part of an ongoing planned and consistent routine of education and care.
  - iv. special excursion means – excursions that parents have agreed to prior to the excursion taking place, that are not a regular excursion.
- (g) **out-of-school-care** means the presence of any child during licensed hours who is aged 13 years or younger, who is enrolled at school, and who is counted towards the total number of children that can be present in the home, in line with the requirements set out in s19 of the Education and Training Act 2020.



- (h) **parent** means –
  - i. the person (or people) responsible for having the role of providing day to day care for the child; and
  - ii. may include a biological or adoptive parent, step parent, partner of a parent of a child, legal guardian or member of the child’s family, whānau or other culturally recognised family group.
- (i) **philosophy** means a statement that –
  - i. outlines the fundamental beliefs, values, and ideals that are important to the people involved in the service – management, adults providing education and care, parents, families/whānau, and perhaps the wider community;
  - ii. identifies what is special about the service; and
  - iii. is intended to be the basis for decisions about the way the service is managed and about its direction in the future;
- (j) **policy** means a statement intended to influence and determine decisions, actions, and other matters;
- (k) **premises** means home in which education and care is to be provided, and its associated outdoor space;
- (l) **procedure** means a particular and established way of doing something;
- (m) **process** means a goal-directed, interrelated series of actions, events, procedures, or steps;
- (n) **records** means information or data on a particular subject collected and preserved;
- (o) **regulation** means a regulation under the Education (Early Childhood Services) Regulations 2008;
- (p) **service** means a home-based education and care service;
- (q) **service curriculum** means all of the experiences, interactions, activities and events – both direct and indirect, planned, and spontaneous – that happen at the service. Teaching practices including planning, assessment, and evaluation form part of the service curriculum;
- (r) **service provider** means the body, agency, or person who or that operates the home-based education and care service; and
- (s) **specified agency** means any government agency or statutory body that a home-based education and care service is required to notify if there is a serious (or as defined) injury, illness, incident or allegation. This may include but is not limited to the New Zealand Police; the Ministry of Health; Child, Youth and Family; Worksafe NZ; and the Teaching Council.

## Clause 5 - Purpose of criteria

1. The criteria are to be used by the Secretary of Education to assess compliance with the minimum standards set out under regulations 43 and 45 to 47 of the Education (Early Childhood Services) Regulations 2008.
2. Regulations 43 and 45 to 47 impose minimum standards that each licensed service provider is required to comply with, and are set out in these criteria so that readers can see how the regulations and criteria fit together.

## Clause 6 - Criteria to assess Curriculum standard

In this section

- [Professional practice](#) - Criteria and guidance for C1-C4
- [Culture and identity](#) - Criteria and guidance for C5-C6
- [Children as learners](#) - Criteria and guidance for C7-C10
- [Working with others](#) - Criteria and guidance for C11-C13
- [Documentation required](#) - For curriculum criteria

For good practice guidance refer to [www.education.govt.nz](http://www.education.govt.nz)

## Useful Resources

Early Childhood Education Curriculum Framework

<https://www.education.govt.nz/early-childhood/licensing-and-regulations/the-regulatory-framework-for-ece/licensing-criteria/centre-based-ece-services/curriculum/>

Ngā Arohahehae Whai Hua

Self-Review Guidelines for Early Childhood Education

Ministry of Education, 2006

<https://www.education.govt.nz/early-childhood/licensing-and-regulations/the-regulatory-framework-for-ece/licensing-criteria/self-review-guidelines/>

Quality in Action

Ministry of Education, 1998

<http://www.education.govt.nz/assets/Documents/Early-Childhood/Learning-tools-and-resources/QualityInActionTeMahiWhaiHua.pdf>

*Pathways to the Future*

Ministry of Education, 2002

<https://www.educationcounts.govt.nz/publications/ECE/locality-based-evaluation-of-pathways-to-the-future-nga-huarahi-arataki>

## Section Two - Premises and Facilities Standard Guide

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### Key Legislation

- Education and Training Act 2020
- Education Act 1989
- Education (Early Childhood Services) Regulations 2008
- Building Act 2004
- Fire and Emergency New Zealand 2017
- Fire Safety, Evacuation Procedures and Evacuation Schemes Regulations 2018
- Health and Safety at Work Act 2015
- Regulations made under the Health and Safety at Work Act 2015
- Resource Management Act 1991
- Smoke-Free Environments Act 1990

### Key Documents

- Licensing Criteria for Home-Based Education and Care Services 2008.
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### Introduction

The service provider of a licensed home-based care service is required to meet the premises and facilities standard: general under regulation 45 of the Education (Early Childhood Services) Regulations 2008. In addition the service provider must produce supporting documentation to demonstrate compliance with the *Licensing Criteria for Home-Based Education and Care Services 2008 - Premises and facilities*.

The minimum premises and facilities standard: general in regulation 45 of the Education (Early Childhood Services) Regulations 2008 is set out below, followed by a summary of the criteria against which compliance will be assessed.

#### **Regulation 45 – Premises and facilities standard: general**

- (1) The premises and facilities standard: general is the standard that requires every licensed service provider to whom this regulation applies—
  - (a) to use premises and facilities that, having regard to the number and age range of the children attending the premises, provide sufficient and suitable space for a range of activities, facilities for food preparation, eating, sleeping, storage, toileting, and washing, and sufficient and suitable heating, lighting, noise control, ventilation, and equipment to support—
    - (i) appropriate curriculum implementation by the service provider; and
    - (ii) safe and healthy practices by the service provider; and
  - (b) to comply with the requirements of Schedule 4 (which relates to activity spaces).
- (2) Each licensed service provider to whom this regulation applies must comply with the premises and facilities standard: general.

## Key Requirements

Licensing Criteria for Home-Based Education and Care Services 2008.

### Clause 7 - Criteria to assess Premises and facilities standard

In this section

- [General](#) - Criteria and guidance for PF1-PF11
- [Food preparation and eating](#) - Criteria and guidance for PF12-PF13
- [Sanitary facilities](#) - Criteria and guidance for PF14-PF18
- [Sleep](#) - Criteria and guidance for PF19-PF22

### Building Act 2004

The Building Act establishes a series of minimum safety standards (building regulations), which must be complied with. The purpose of these regulations is to ensure all new buildings and alterations are constructed to a standard that ensures the safety of the occupants.

The purposes of the Building Act 2004 (Section 3) are to provide for the regulation of building work, the establishment of a licensing regime for building practitioners, and the setting of performance standards for buildings, to ensure that-

- (a) people who use buildings can do so safely and without endangering their health; and
- (b) buildings have attributes that contribute appropriately to the health, physical independence, and well-being of the people who use them; and
- (c) people who use a building can escape from the building if it is on fire; and
- (d) buildings are designed, constructed, and able to be used in ways that promote sustainable development.

Sections 118 to 120 of the Building Act require building owners to ensure access, facilities and signage are in place to cater for the needs of disabled staff, children and visitors when constructing a new building or altering any building.

**Criterion PF3** requires home-based education and care premises to conform to any relevant bylaws of the local authority and the Building Act 2004, and the relevant documentation referred to in **PF3**.

### Useful Resources

Refer under *Centre based ECE Services, - Premises and facilities*.

<https://www.education.govt.nz/early-childhood/licensing-and-regulations/the-regulatory-framework-for-ece/licensing-criteria/centre-based-ece-services/>

*New Zealand Standard (NZS) EN 5828: 2004: Playground Equipment and Surfacing*

<https://shop.standards.govt.nz/catalog/5828%3A2004%28NZS%29/view>

*New Zealand Standard (NZS) 4121:2001: Design for access and Mobility: Buildings and Associated Facilities*

<https://shop.standards.govt.nz/catalog/4121%3A2001%28NZS%29/view>

## Section Three - Health and Safety Practices Standard Guide

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### Key Legislation

- Education and Training Act 2020
- Education Act 1989
- Education (Early Childhood Services) Regulations 2008
- Building Act 2004
- Fire and Emergency New Zealand Act 2017
- Health and Safety at Work Act 2015
- Human Rights Act 1993
- Smoke-Free Environments Act 1990
- Children's Act 2014
- Children's (Requirements for Safety Checks of Children's Workers) Regulations 2015

### Key Documents

- Licensing Criteria for Home-Based Education and Care Services 2008
- 

### Introduction

The service provider of a licensed home-based care service is required to meet the health and safety practices standard under Regulation 46 of the Education (Early Childhood Services) Regulations 2008. In addition, the service provider must comply with the certification criteria and produce supporting documentation as set out in the *Licensing Criteria for Home-Based Education and Care Services 2008 – Health and safety*.

The minimum health and safety practices standard: general in regulation 46 of the Education (Early Childhood Services) Regulations 2008 is set out below, followed by a summary of the criteria against which compliance will be assessed.

#### **Regulation 46 Health and safety practices standard: general**

1. The health and safety practices standard: general is the standard that requires every licensed service provider to whom this regulation applies to—
  - (a) take all reasonable steps to promote the good health and safety of children enrolled in the service; and
  - (b) take all reasonable precautions to prevent accidents and the spread of infection among children enrolled in the service; and
  - (c) take all reasonable steps to ensure that the premises, facilities, and other equipment on those premises are—
    - (i) kept in good repair; and
    - (ii) maintained regularly; and
    - (iii) used safely and kept free from hazards; and
  - (d) take all reasonable steps to ensure that appropriate procedures are in place to deal with fires, earthquakes, and other emergencies.

- (2) Each licensed service provider to whom this regulation applies must comply with the Health and safety practices standard: general.

## Key Requirements

Licensing Criteria for Home-Based Education and Care Services 2008

### Clause 8 - Criteria to assess Health and safety practices standard

In this section:

- [Hygiene](#) - Criteria and guidance for HS1-HS3
- [Emergencies](#) - Criteria and guidance for HS4-HS7
- [Sleep](#) - Criteria and guidance for HS8-HS10
- [Hazards and outings](#) - Criteria and guidance for HS11-HS15
- [Food and drink](#) - Criteria and guidance for HS16-HS20
- [Child health and wellbeing](#) - Criteria and guidance for HS21-HS27
- [Child protection](#) - Criteria and guidance for HS28-HS32
- [Notification](#) - Criteria and guidance for HS33
- [Supervision](#) - Criteria and guidance for HS34

### Children's Act 2014 – Child Protection Policy

The Children's Act 2014 requires state sector agencies who work with children, and the organisations they fund, to have child protection policies. As ECE services are funded by the Ministry of Education, service providers will need to work towards meeting these requirements. The policy needs to contain provisions on the *identification and reporting of child abuse* and neglect. New guidelines have been launched to help service providers.<sup>5</sup> The guidelines include a review tool to help identify gaps in current policies, information about what to include in a new policy, and example policies.

### Health and Safety at Work Act 2015<sup>6</sup>

The new legislation applies to Persons Conducting a Business or Undertaking (PCBU). For home-based, this can include the service provider, and educators working in their own home or in a family's home.

Under the Health and Safety at Work Act, a self-employed educator is classified as a PCBU and the home where they are working is classified as a workplace.

### Building (Pools) Amendment Act 2016

The above Act came into effect on 1 January 2017 and repealed the Fencing of Swimming Pools Act 1987 and included new pool safety provisions in the Building Act 2004.

The following information is from MOE website:

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<sup>5</sup> *Safer Organisations, Safer Children* from Children's Action Plan website – <https://www.childrensactionplan.govt.nz/Children's Act 2014 - a practical guide>; [Children's \(Requirements for Safety Checks of Children's Workers\) Regulations](#)

<sup>6</sup> Refer to webpage <http://www.education.govt.nz/school/health-safety> for guidance and updates and [Implementing the Health and Safety at Work Act – a guide for early learning services](#).

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You must have fences and signage that meet the legal requirements and design standards set out in:

- [Health and Safety at Work Act 2015](#) (Legislation website)
- [Building Act 2004](#) (Legislation website)
- [Building Code \(including the new Clause F9 for pool fencing\)](#) (Building Performance website)
- [NZS 8500:2006 'Safety barriers and fences around swimming pools'](#) (Standards NZ website)

### **Smoke-Free Environments Act 1990**

The Smoke-Free Environments Act requires centres to have smoke-free buildings and grounds at all times. The total smoke ban includes centre grounds during weekend sports games, fund-raising activities, community days or evening classes, as well as when the grounds or buildings are rented out by other groups. Service providers should also display smoke-free notices at every entry gate or building entrance, and that they take all reasonably practicable steps to ensure there is no smoking on their premises.

### **Civil Defence**

Service providers should have written documentation of a procedure, and basic supplies for dealing with emergencies that are consistent with national or regional Civil Defence guidelines to provide a safe environment for children and parents who are present. The building in which the service meets should have a civil defence emergency kit.

Adults providing education and care must be familiar with relevant emergency drills and regularly carry these out with the children. The centre should have documentation of a record of emergency drills carried out with children (Criterion HS7 of the Health and Safety practices standard).

### **Useful Resources**

[Children's Act 2014 - a practical guide](#) [PDF, 5.2 MB]

ACC ThinkSafe Education  
Accident Compensation Corporation, 2005  
[www.acc.co.nz](http://www.acc.co.nz) and search under 'thinksafe'.

ACC Website, especially Child Safety Organisations page (containing links to a wide range of health and safety-related sites)  
[www.acc.co.nz](http://www.acc.co.nz)

Guidelines for reporting suspected or actual child abuse and neglect  
<https://www.education.govt.nz/assets/Documents/School/Traumatic-incidents-and-emergencies/MoE-STA-CYFProtocolForReportingActualOrSuspectedChildAbuseNov09Amendment-3-2015.pdf>

Changes to the Smokefree Environments Act 1990: Information for Schools and Early Childhood Centres

Ministry of Health, 2004

<https://www.health.govt.nz/>

Health and Safety in Employment Act Website

<http://legislation.govt.nz/act/public/1992/0096/latest/DLM278829.html>

Human Rights Commission

[www.hrc.co.nz](http://www.hrc.co.nz) and go to 'Resources'

*Influenza Pandemic Planning*

<https://www.education.govt.nz/school/health-safety-and-wellbeing/emergencies-and-traumatic-incidents/pandemic-planning-guide/>

Let's Stop Child Abuse Together: An Interagency Guide to Breaking the Cycle

Child Youth and Family Services, 2001

<https://nzfvc.org.nz/sites/nzfvc.org.nz/files/lets-stop-child-abuse-together.pdf>

Netsafe Kit for Schools

Internet Safety Group, 2003

<https://www.netsafe.org.nz/the-kit/>

*The New Zealand Disability Strategy*, Office of Disability Issues, 2001

<https://www.odi.govt.nz/> for strategy and FAQs about the Office of Disability Issues

*New Zealand Fire Service*: including information on Evacuation Procedures

<https://www.fireandemergency.nz/>

New Zealand Standard (NZS) 4121: 2001: Design for Access and Mobility: Buildings and Associated Facilities

<https://www.standards.govt.nz/>

*New Zealand Standard (NZS) EN 5828:2004: Playground Equipment and Surfacing*

<https://www.standards.govt.nz/>

Sun Safety

<http://sunsmartschools.co.nz/>

Treaty of Waitangi Resources for Schools

Waitangi Tribunal

<https://waitangitribunal.govt.nz/publications-and-resources/school-resources/>

What's the Plan Stan?

Ministry of Civil Defence and Emergency Management, 2006

<https://getready.govt.nz/prepared/school/whats-the-plan-stan>



Ministry of Education circulars

- 1997/08 Responsibility of Early Childhood Service Staff to Children of Separated Parents.
- 1999/21 HIV/Aids and other Blood-borne viruses.
- 2001/15 Guidance for the Administration of Prescribed Medication in Early Childhood Services

## Section Four - Governance, Management and Administration

### Standard Guide

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#### Key Legislation

- Education and Training Act 2020
- The Education Act 1989
- Education (Early Childhood Services) Regulations 2008
- Privacy Act 1993
- Children’s Act 2014
- Children’s (Requirements for Safety Checks of Children’s Workers) Regulations 2015
- Teaching Council Rules 2016

#### Key Documents

- Licensing Criteria for Home-Based Education and Care Services 2008
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#### Introduction

The service provider of a licensed home-based care service is required to meet the governance, management and administration standard under regulation 47 of the Education (Early Childhood Services) Regulations 2008. In addition the service provider must comply with the certification criteria and produce certain documentation as set out in the *Licensing Criteria for Home-Based Education and Care Services 2008 - Governance, management and administration*.

The minimum governance, management and administration standard in regulation 47 of the Education (Early Childhood Services) Regulations 2008 is set out below, followed by a summary of the criteria against which compliance will be assessed.

#### **Regulation 47 – Governance, management and administration standard: general**

- (1) The governance, management, and administration standard: general is the standard that requires every licensed service provider to whom this regulation applies to ensure that—
  - (a) the service is effectively governed and is managed in accordance with good management practices; and
  - (b) the service provider regularly collaborates with—
    - (i) parents and family or whānau of children enrolled in the service; and
    - (ii) the adults responsible for providing education and care as part of the service; and
  - (c) appropriate documentation and records are—
    - (i) developed, maintained, and regularly reviewed; and
    - (ii) made available where appropriate—

- (A) at any reasonable time on request by a parent of a child enrolled in the service; and
  - (B) at any time on request by any person exercising powers or carrying out functions under Part 26 of the Act; and
  - (d) adequate information is made available to parents of enrolled children and, where appropriate, to the families or whānau of those children about the operation of the service; and
  - (e) all reasonable steps are taken to provide staff employed or engaged in the service with adequate professional support, professional development opportunities, and resources.
- (2) Each licensed service provider to whom this regulation applies must comply with the governance, management, and administration standard: general.

## Key Requirements

Licensing Criteria for Home-Based Education and Care Services 2008

### **Clause 9 - Criteria to assess Governance, management and administration standard.**

#### **In this section**

- [Parent involvement and information](#) - Criteria and guidance GMA1-GMA3
- [Professional practices](#) - Criteria and guidance GMA4-GMA6A
- [Planning and documentation](#) - Criteria and guidance GMA7-GMA11

#### ***Additional Obligations of Service provider***<sup>7</sup>

The service provider must maintain a list of homes used for home-based care, and ensure that the requirements of the regulations are being complied with in respect of each home. The service provider should also ensure that the person responsible (or co-ordinator) has-

- contacted each educator at least once per fortnight, and
- visited each educator once per month, and
- taken reasonable steps each month to observe each child participating in the service while the child is receiving education and care.

#### **Section 27– Parent's right of entry**<sup>8</sup>

The **parent** of a child has a right to enter the premises of a licensed early childhood education and care centre or a licensed home-based education and care service when the child is there unless the **parent**—

(a) is required to comply with—

<sup>7</sup> Regulation 28, Education (Early Childhood Services) Regulations 2008

<sup>8</sup> Education and Training Act 2020

Guidelines for Home-Based Education and Care Assurance Statement and Self-Audit Checklist  
[For Services Licensed under 2008 Regulatory Framework]  
Education Review Office January 2021

*(i) a court order that prohibits access to, or contact with, the child (either generally or when attending the centre or service); or*

*(ii) a warning under section 4 of the Trespass Act 1980 to stay off the premises; or*

*(b) is suffering from a contagious or infectious disease likely to have a detrimental effect on the children if passed on to them; or*

*(c) is, in the opinion of a person responsible for the operation of the centre or service,—*

*(i) under the influence of alcohol or any other substance that has a detrimental effect on the functioning or behaviour of the person; or*

*(ii) exhibiting behaviour that is, or is likely to be, disruptive to the effective operation of the centre or service*

### **Education (Registration of Early Childhood Services Teachers) Regulations 2004**

Licensed home-based care services are covered by the teacher registration requirements in Part 5, subpart 4 of the Education and Training Act 2020.

Persons affected by the above regulations are those employed by early childhood services in ‘teaching positions’ as defined in regulation 6.

Education (Registration of Early Childhood Services Teachers) Regulations 2004 (SR 2004/236)

Replace regulation 3 with:

#### **3 Interpretation**

(1) In these regulations, unless the context otherwise requires,—

**Act** means the Education and Training Act 2020

**declared early childhood service** means an early childhood service (as defined in section 10(1) of the Act) that is declared by regulation 4(1) to be an early childhood education and care service for the purposes of the Act

**teaching position** has, for the purposes of the transition plan set out in these regulations, the meaning given in regulation 6.

(2) In these regulations, unless the context otherwise requires, terms defined in the Act and used, but not defined, in these regulations have the same meaning as in the Act.

Replace regulation 4(1) with:

(1) Every early childhood service within the meaning of the Act (other than an early childhood service that is specified in subclause (2)) is declared to be an early childhood education and care service for the purposes of the Act.

In regulation 5, replace “Part 10 of the Education Act 1989” with “Schedule 3 of the Act”.

Replace regulation 6 with:

### **6 Meaning of person employed in teaching position**

For the purposes of these regulations, **teaching position**, as defined in section 10(1) of the Act, is modified to mean,—

(a) in relation to an early childhood education and care centre, and to a licensed hospital-based education and care service, a person responsible (as defined in regulation 3 of the Education (Early Childhood Services) Regulations 2008); and

(b) in relation to a licensed home-based education and care service, a person responsible (as defined in regulation 3 of the Education (Early Childhood Services) Regulations 2008).

### **Children’s worker – Safety Checks**

Children’s worker safety checks became law in the Children’s Act 2014 (the CA), and applies to new workers in core children’s workforce roles from 1 July 2015.

Briefly, the following checks must have been completed where the service provider is seeking to employ or engage a new children’s worker<sup>9</sup> (including as a contractor) from 1 July 2015 for core children’s workforce roles, and from 1 July 2016 for non-core children’s workforce roles:

- Identity verification - proof people are who they say they are, including previous identities
- Information requirement – reliable information about history and behaviour, which may include reference checks, interviews, and Police vetting
- Risk assessment – considered judgement based on the information collected
- Periodic re-checking – information to be updated and reassessed every three years.

The CA prohibits people with certain child abuse, sexual offending, or violence convictions from working in core worker roles. These are specified in the Act. Anyone convicted of the offences listed in the Act will not be able to work in core worker roles unless they are granted an exemption. The Ministry of Social Development manages applications for exemptions.

### **Police vetting of adult members of household where licensed home-based education and care service provided<sup>10</sup>**

The service provider of a licensed home-based education and care service must obtain a Police vet of every adult (*a person who is 17 years or over*) who lives in a home where the service is being provided, but that is not the home of every child to whom the service is being provided. The Police vet must be obtained before the adult is, or is likely to be present when the service

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<sup>9</sup> Example: educators, co-ordinators, or person responsible who have regular contact with children

<sup>10</sup> The following is a summary of Schedule 4, clauses 1,2 3 and 8 of the Education and Training Act 2020. Guidelines for Home-Based Education and Care Assurance Statement and Self-Audit Checklist [For Services Licensed under 2008 Regulatory Framework] Education Review Office January 2021

is being provided. A further Police vet must be obtained every three years if the person still lives in the home.

The service provider must ensure that strict confidentiality is observed, and must not take adverse action against the adult until he/she has validated or been given a reasonable opportunity to validate the information contained in the Police vet within a reasonable time.

## [25 Police Vetting in respect of early childhood services](#)

### [Schedule 4](#)

#### [Police vetting](#)

[Police vetting is required for all adults who live in a home where home-based early childhood education and care is being provided](#)

### **Mandatory Reporting**

The service provider must immediately report to the Teaching Council when (among other things) the service provider dismisses a co-ordinator (who is registered) for any reason, or has reason to believe that the co-ordinator has engaged in serious misconduct or has not reached the required level of competence. Service providers should refer to sections :

#### *Mandatory reporting*

- 489 Mandatory reporting of dismissals and resignations
- 490 Mandatory reporting of complaints received about former employees
- 491 Mandatory reporting of possible serious misconduct
- 492 Mandatory reporting of failure to reach required level of competence
- 493 Mandatory reporting of convictions

### **Teaching Council Rules 2016**<sup>11</sup>

#### **4 Overview**

(1) These rules—

(a) provide preliminary provisions (see this Part); and

(b) set out how to make a mandatory report or a complaint to the Teaching Council about a teacher (see [Part 2](#)); and

(c) set out the criteria for reporting serious misconduct (see [Part 3](#)); and

(d) provide a procedure for the chief executive to deal with reports and complaints about teachers in the first instance (see [Part 4](#)); and

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<sup>11</sup> These rules were amended on 29 September 2018, and continue to apply under clause 4, Schedule I of the Education and Training Act 2020.

*(e) provide for the practices and procedures of the disciplinary bodies when dealing with reports, complaints, and other matters (see [Parts 5 and 6](#)); and*

*(f) provide for the practices and procedures of professional practice evaluators and the Competence Authority when dealing with matters relating to competence (see [Part 7](#)); and*

*(fa) provide for certain applications for teacher registration to be referred to a Registration Panel for determination (see [Part 7A](#)); and*

*(g) establish the disciplinary bodies and the Competence Authority and include provisions about their membership and operation, and the membership and operation of the Registration Panel (see [Part 8](#)); and*

*(h) provide for procedural requirements for Police vetting of applicants for registration as a teacher or for an authority to teach (see [Part 9](#)); and*

*(i) revoke various rules (see [Part 10](#)).*

*(2) This rule is by way of explanation only, and, if any other provision in the Act or rules conflicts with it, the other provision prevails.*

### **Human Rights Act 1993**

The Human Rights Act is designed to help ensure that people are treated fairly. It prohibits certain discriminatory practices in relation to the employment and treatment of employees. The grounds of discrimination in section 21 of the Act include religious belief, ethical belief, colour, race, ethnic or national origins, disability, age, political opinion, sex, employment status, family status, sexual orientation and marital status.

Discrimination can be direct or indirect. Direct discrimination occurs when a person is treated unfairly or less favourably than another person in the same or similar circumstances. Indirect discrimination occurs when an action or policy that appears to treat everyone in the same way, actually has a discriminatory effect on a person or group.

Service providers have obligations to ensure staff are not subjected to sexual harassment. Under the Human Rights Act, employers can be liable for sexual harassment committed by their employees. Service providers can work towards providing a safe physical and emotional learning environment for all by developing prevention of sexual harassment policies and procedures for children and employees.

The Act uses an expanded definition of 'employment'. It applies to employees, voluntary workers, people seeking work, and contract workers. This means the Act applies to a number of people who are not covered by other employment legislation, such as the Employment Relations Act 2000, which only applies to employees. The Act covers advertisements, job applicants, employment opportunities and conditions for employees and how employees leave their employment.

Section 102 of the Employment Relations Act 2000 provides for personal grievances under that Act. Under section 103 a personal grievance can be made because of sexual harassment by an employer or a representative of an employer.

## **Employment Relations Act 2000**

The object of the Employment Relations Act 2000 is to build employment relationships through the promotion of good faith in all aspects of the employment environment and of the employment relationship.

## **Privacy Act 2020**

Service providers must ensure that they are familiar with the principles of the Privacy Act 2020 including mandatory notification of privacy breaches when it applies from 1 December 2020, and that there are policies and procedures in place to ensure personal information is collected, stored, used and disclosed in accordance with those principles.

## Useful Resources

Refer to <https://www.education.govt.nz/early-childhood/licensing-and-regulations/the-regulatory-framework-for-ece/licensing-criteria/home-based-ece-services/> under 'Home-Based Education and Care Service'





## Home-Based Education and Care Assurance Statement and Self-Audit Checklists

January 2021

## How to fill out the Self-Audit Checklists and Home-Based Education and Care Assurance Statement

As part of the review process, the Education Review Office (ERO) asks the service provider of each licensed centre to complete a **Self-Audit Checklist** and a **Home-Based Education and Care Services Assurance Statement (HBECAS)**. The information in each of these documents assists ERO in the scoping and planning of the review.

Completing the checklists and the HBECAS will be a useful process for your own self review. Please read the Guidelines for Home-Based Education and Care Assurance Statement before completing these forms.

### How to fill in the Checklists

The checklists cover requirements of key interest to ERO in the following standards:

- Curriculum
- Premises and Facilities
- Health and Safety Practices
- Governance, Management and Administration

Please complete each sheet and add any further comments or explanations on the sheet of paper provided. Please use extra paper if you need to. Attach any explanations or matters you are unsure about to the relevant sheet.

### How to fill in the Home-Based Education and Care Assurance Statement

After you have completed all the checklist sheets please complete and sign the HBECAS. The second page of the HBECAS is for your service provider to note areas where you are aware that you are not meeting legal requirements. There is space for you to outline the circumstances and the action you are taking on each issue. This information will be very useful for you as well as for the review.

**Please remember to attach your checklists to your Home-Based Education and Care Assurance Statement.**

## Home-Based Education and Care Assurance Statement

**To: The Chief Review Officer  
Education Review Office**

**From: The Service Provider**

(Home-Based Care)

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### Compliance Certification

Has the service provider taken all reasonable steps to meet its legal requirements including those detailed in Ministry of Education Circulars and other documents related to:

| Compliance Area |  | Yes | No | Unsure |
|-----------------|--|-----|----|--------|
| 1               | Curriculum Standard                                |     |    |        |
| 2               | Premises and Facilities Standard                   |     |    |        |
| 3               | Health and Safety Practices Standard               |     |    |        |
| 4               | Governance, Management and Administration Standard |     |    |        |

**Areas of self-identified non-compliance and actions to be taken: see next page.**

### Attestation:

The Service Provider has taken all reasonable steps to meet their legal requirements including those detailed in Ministry of Education Circulars and other documents. Where non-compliance has been identified, measures are being taken to remedy this.

### *Service Provider*

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**Name**

**Signature**

**Date**

### *Network Coordinator*

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**Name**

**Signature**

**Date**



## Self-Audit Checklist - Section 1 – Curriculum Standard

### What does ERO want to know?

ERO wants to know that the service provider meets the curriculum standard and the certification criteria in terms of the regulatory requirements, and implements the *Early Childhood Education Curriculum Framework* as gazetted, and has the required documentation to demonstrate compliance with the relevant criteria. *Please tick all questions including bullet points.*

### Criteria to assess curriculum standard

| Please tick all questions including bullet points. |   | Yes | No | Unsure |
|--|---|-----|----|--------|
| <b>1</b>   | <b>Professional Practice</b>  |     |    |        |
|  | <i>Criterion C1:</i><br>Is the service curriculum consistent with the Early Childhood Education Curriculum Framework?   |     |    |        |
|  | <i>Criterion C2:</i><br>Is the service curriculum informed by assessment, planning, and evaluation (documented and undocumented) that demonstrates an understanding of children’s learning, their interests, whānau, and life contexts? |     |    |        |
|  | <i>Criterion C3:</i><br>Do educators, engage in meaningful, positive interactions to enhance children’s learning and nurture reciprocal relationships?  |     |    |        |
|  | <i>Criterion C4:</i><br>Do the practices of educators and coordinators demonstrate an understanding of children’s learning and development, and knowledge of relevant theories and practice in early childhood education?               |     |    |        |
| <b>2</b>   | <b>Culture and identity</b>   |     |    |        |
|  | <i>Criterion C5:</i><br>Does the service curriculum acknowledge and reflect the unique place of Māori as tangata whenua?  |     |    |        |
|  | Are children given the opportunity to develop knowledge and an understanding of the cultural heritages of both parties to Te Tiriti o Waitangi?   |     |    |        |
|  | <i>Criterion C6:</i><br>Does the service curriculum respect and support the right of each child to be confident in their own culture and encourage children to understand and respect other cultures?                                   |     |    |        |

## Criteria to assess curriculum standard

| Please tick all questions including bullet points. |  | Yes | No | Unsure |
|--|--|-----|----|--------|
| 3  | <b>Children as learners</b>  |     |    |        |
|  | <i>Criterion C7:</i><br>Is the service curriculum inclusive, and responsive to children as confident and competent learners?   |     |    |        |
|  | Are children's preferences respected, and are they involved in decisions about their learning experiences?   |     |    |        |
|  | <i>Criterion C8:</i><br>Does the service curriculum provide a language-rich environment that supports children's learning?   |     |    |        |
|  | <i>Criterion C9:</i><br>Does the service curriculum provide children with a range of experiences and opportunities to enhance and extend their learning and development – both indoors and outdoors, individually and in groups?                         |     |    |        |
|  | <i>Criterion C10:</i><br>Does the service curriculum support children's developing social competence and understanding of appropriate behaviour?   |     |    |        |
| 4  | <b>Working with others</b>   |     |    |        |
|  | <i>Criterion C11:</i><br>Are positive steps taken to respect and acknowledge the aspirations held by parents and whānau for their children?  |     |    |        |
|  | <i>Criterion C12:</i><br>Are regular opportunities (formal and informal) provided for parents to:  |     |    |        |
|  | <ul style="list-style-type: none"> <li>• communicate with educators and coordinators about their child, and share specific evidence of the child's learning; and</li> <li>• be involved in decision-making concerning their child's learning?</li> </ul> |     |    |        |
|  | <i>Criterion C13:</i><br>Is information and guidance sought when necessary from agencies/services to enable educators and coordinators to work effectively with children and their parents?  |     |    |        |

## Criteria to assess curriculum standard

| Please tick all questions including bullet points. |  | Yes | No | Unsure |
|--|--|-----|----|--------|
| 5  | <b>Documentation</b><br>Is there documentation that provides evidence of the service's compliance with criteria C1 to C13?   |     |    |        |
|  | <i>Note: Documentation may take a variety of forms to suit the service's operation (such as portfolios, wall displays, policies and procedures) but must include:</i>  |     |    |        |
|  | 1. A process for providing positive guidance to encourage social competence in children (C10);   |     |    |        |
|  | 2. A process for providing formal and informal opportunities for parents to: <ul style="list-style-type: none"> <li>communicate with educators and coordinators about their child, and share specific evidence of the child's learning; and</li> </ul> |     |    |        |
|  | <ul style="list-style-type: none"> <li>be involved in decision-making concerning their child's learning (C12).</li> </ul>  |     |    |        |
|  | 3. A record of information and guidance sought from agencies and/or services (C13).  |     |    |        |
| 6  | <b>Curriculum Framework - The Principles</b><br>Has the service provider ensured that:   |     |    |        |
|  | <ul style="list-style-type: none"> <li>The service's curriculum empowers the child to learn and grow?</li> </ul>   |     |    |        |
|  | <ul style="list-style-type: none"> <li>The service's curriculum reflects the holistic way children learn and grow?</li> </ul>  |     |    |        |
|  | <ul style="list-style-type: none"> <li>The wider world of family and community is an integral part of early childhood curriculum?</li> </ul>   |     |    |        |
|  | <ul style="list-style-type: none"> <li>Children learn through responsive and reciprocal relationships with people, places and things?</li> </ul>   |     |    |        |
|  | <b>The Strands</b> <ul style="list-style-type: none"> <li>The health and well-being of the child are protected and nurtured?</li> </ul>  |     |    |        |

Criteria to assess curriculum standard

| Please tick all questions including bullet points.   | Yes | No | Unsure |
|--|-----|----|--------|
| <ul style="list-style-type: none"> <li>• Children and their families feel a sense of belonging?</li> </ul>                                     |     |    |        |
| <ul style="list-style-type: none"> <li>• Opportunities for learning are equitable and each child's contribution is valued?</li> </ul>          |     |    |        |
| <ul style="list-style-type: none"> <li>• The languages and symbols of children's own and other cultures are promoted and protected?</li> </ul> |     |    |        |
| <ul style="list-style-type: none"> <li>• The child learns through active exploration of the environment?</li> </ul>                            |     |    |        |





## Self-Audit Checklist - Section 2 – Premises and facilities standard

### What does ERO want to know?

ERO wants to know that the service meets the minimum premises and facilities standard and the licensing criteria in terms of the regulatory requirements and the service provider has the required documentation to demonstrate compliance with the relevant criterion including other relevant legislative requirements. *Please tick all questions including bullet points.*

### Criteria to assess Premises and facilities standard.

| Please tick all questions including bullet points.  |  | Yes | No | Unsure |
|---|--|-----|----|--------|
| 1   | <i>General</i><br><i>Criterion PF1</i><br>Does the design and layout of the premises:  |     |    |        |
|   | <ul style="list-style-type: none"> <li>support the provision of different types of indoor and outdoor experiences; and</li> </ul>  |     |    |        |
|   | <ul style="list-style-type: none"> <li>include quiet spaces, areas for physically active play, and space for a range of individual and group learning experiences appropriate to the number, ages, and abilities of children attending?</li> </ul> |     |    |        |
|   | <i>Criterion PF2:</i><br>Does the design and layout of the premises support effective adult supervision so that children’s access to indoor and outdoor spaces is not unnecessarily limited?   |     |    |        |
|   | <i>Criterion PF3</i><br>Do the premises conform to any relevant bylaws of the local authority?   |     |    |        |
|   | Do any premises undergoing alterations conform to the Building Act 2004?   |     |    |        |
|   | <i>Documentation:</i><br>1. Code Compliance Certificate issued under section 95 of the Building Act 2004 for any building work undertaken, or alternatively any other documentation that shows evidence of compliance.                             |     |    |        |
|   | 2. Current Annual Building Warrant of Fitness (if the premises require a compliance schedule under section 100 of the Building Act 2004).  |     |    |        |
| <i>Criterion PF4</i><br>Is a variety of equipment and materials provided, appropriate for the learning and abilities of the children attending? |  |     |    |        |

Criteria to assess Premises and facilities standard.

| Please tick all questions including bullet points.   | Yes | No | Unsure |
|--|-----|----|--------|
| <p><i>Criterion PF5</i><br/>If infants, toddlers or children not walking attend, are there safe and comfortable (indoor and outdoor) spaces for them to lie, roll, creep, crawl, pull themselves up, learn to walk, and to be protected from more mobile children?</p> |     |    |        |
| <p><i>Criterion PF6</i><br/>Are floor surfaces durable, safe, and suitable for the range of activities to be carried out (including wet and messy play), and can they easily be kept clean?</p>  |     |    |        |
| <p><i>Criterion PF7</i><br/>Are there spaces for the safe storage of children’s play equipment, personal belongings, cleaning materials, and confidential administrative records?</p>  |     |    |        |
| <p><i>Criterion PF8</i><br/>Are there facilities (other than those required for PF 18) or alternative arrangements available for the preparation and cleaning up of paint and other art materials?</p>   |     |    |        |
| <p><i>Criterion PF9</i><br/>Is a telephone available for calls to and from the premises?</p>   |     |    |        |
| <p><i>Criterion PF10</i><br/>Do parts of the home used by children have:</p> <ul style="list-style-type: none"> <li>• lighting (natural or artificial) that is appropriate to the activities offered or purpose of each room;</li> </ul>                               |     |    |        |
| <ul style="list-style-type: none"> <li>• ventilation (natural or mechanical) that allows fresh air to circulate (particularly in sanitary and sleep areas); and</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>• a safe and effective means of maintaining a room temperature of no lower than 16 degrees C?</li> </ul>  |     |    |        |
| <p><i>Criterion PF11</i><br/>Is there an outdoor activity space that is:</p> <ul style="list-style-type: none"> <li>• easily accessible and available to children;</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>• enclosed by structures and/or fences and gates designed to ensure that children cannot leave the premises without the help or knowledge of the educator and</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>• safe, well-drained, and suitably surfaced for a variety of activities</li> </ul>  |     |    |        |

Criteria to assess Premises and facilities standard.

| Please tick all questions including bullet points. |  | Yes | No | Unsure |
|--|--|-----|----|--------|
| 2  | <b>Food preparation and eating spaces</b>  |     |    |        |
|  | <i>Criterion PF12</i><br>Is there a safe and hygienic place for children attending to sit when eating?   |     |    |        |
|  | <i>Criterion PF13</i><br>Are there facilities for the hygienic preparation, storage and/or serving of food and drink that contain:                                   |     |    |        |
|  | <ul style="list-style-type: none"> <li>a means of keeping perishable food at a temperature at or below 4 degrees C and protected from vermin and insects;</li> </ul> |     |    |        |
|  | <ul style="list-style-type: none"> <li>a means of cooking and/or heating food;</li> </ul>  |     |    |        |
|  | <ul style="list-style-type: none"> <li>a means of hygienically washing dishes;</li> </ul>  |     |    |        |
|  | <ul style="list-style-type: none"> <li>a sink connected to a hot water supply;</li> </ul>  |     |    |        |
|  | <ul style="list-style-type: none"> <li>storage; and</li> </ul>   |     |    |        |
|  | <ul style="list-style-type: none"> <li>food preparation surfaces that are impervious to moisture and can be easily maintained in a hygienic condition?</li> </ul>    |     |    |        |
| 3  | <b>Sanitary facilities</b>   |     |    |        |
|  | <i>Criterion PF14</i><br>Is there space (away from where food is stored, prepared, or eaten) where a sick child can:   |     |    |        |
|  | <ul style="list-style-type: none"> <li>be temporarily kept at a safe distance from other children (to prevent cross-infection);</li> </ul>                           |     |    |        |
|  | <ul style="list-style-type: none"> <li>lie down comfortably; and</li> </ul>  |     |    |        |
|  | <ul style="list-style-type: none"> <li>be supervised?</li> </ul>   |     |    |        |
|  | <i>Criterion PF15</i><br>Is there a first aid kit that:  |     |    |        |
|  | <ul style="list-style-type: none"> <li>complies with the requirements of Appendix 1;and</li> </ul>   |     |    |        |
|  | <ul style="list-style-type: none"> <li>is easily recognisable and readily accessible to adults; and</li> </ul>   |     |    |        |

Criteria to assess Premises and facilities standard.

| Please tick all questions including bullet points.   |   | Yes | No | Unsure |
|--|---|-----|----|--------|
|  | is inaccessible to children?<br>[refer to the Licensing Criteria document for Appendix 1]   |     |    |        |
|  | <i>Criterion PF16</i><br>Is there a toilet and hygienic handwashing and drying facilities suitable for the use of the children attending?   |     |    |        |
|  | <i>Criterion PF17</i><br>Are there safe and hygienic nappy changing facilities for children wearing nappies?  |     |    |        |
|  | <i>Criterion PF18</i><br>Is there a plumbing fixture (such as a shower, shub, or bath) for washing sick or soiled children?   |     |    |        |
| <b>4</b>   | <b>Sleep</b>  |     |    |        |
|  | <i>Criterion PF19</i><br>Is there space available for the restful sleep of children who need it at any time they are attending?   |     |    |        |
|  | <i>Criterion PF20</i><br>Are furniture and items intended for children to sleep on (such as cots, beds, stretchers, or mattresses) of a size that allows children using them to lie flat, and of a design to ensure their safety?   |     |    |        |
|  | <i>Criterion PF21</i><br>Are furniture and items intended for children to sleep on (such as cots, beds, stretchers or mattresses) that will be used by more than one child over time securely covered with or made of a non-porous material (that is, a material that does not allow liquid to pass through it) that: |     |    |        |
|  | <ul style="list-style-type: none"> <li>protects them from becoming soiled;</li> </ul>   |     |    |        |
|  | <ul style="list-style-type: none"> <li>allows for easy cleaning (or is disposable); and</li> <li>does not present a suffocation hazard to children?</li> </ul>  |     |    |        |
| <i>Criterion PF22</i><br>Is clean individual bedding (such as blankets, sheets, sleeping bags and pillowslips) provided for sleeping or resting children that is sufficient to keep them warm? |   |     |    |        |

Criteria to assess Premises and facilities standard.

| Please tick all questions including bullet points. |   | Yes | No | Unsure |
|--|---|-----|----|--------|
| 5  | <b>Swimming pools</b>   |     |    |        |
|  | <ul style="list-style-type: none"> <li>If any swimming pool structure exists, does it meet the criteria listed in the <a href="#">NZS 5826:2010 Pool water quality</a> (external link) (Standards NZ website) and</li> <li><a href="#">NZS 8500:2006 'Safety barriers and fences around swimming pools'</a> (external link) (Standards NZ website)</li> </ul> <p><i>[Write N/A if not applicable]</i></p> |     |    |        |



## Self-Audit Checklist - Section 3 – Health and safety practices standard

### What does ERO want to know?

ERO wants to know that the service provider meets the minimum health and safety practices standard and the licensing criteria in terms of the regulatory requirements and has the required documentation to demonstrate compliance with the relevant criteria including other relevant legislative requirements. *Please tick all questions including bullet points.*

### Criteria to assess Health and safety practices standard

| Please tick all questions including bullet points. |  | Yes | No | Unsure |
|--|--|-----|----|--------|
| 1  | <b>Hygiene</b>   |     |    |        |
|  | <i>Criterion HS1</i><br>Are the premises, furniture, fittings, equipment, and materials kept safe, hygienic and maintained in good condition?  |     |    |        |
|  | <i>Criterion HS2</i><br>Is linen used by children or adults hygienically laundered?  |     |    |        |
|  | <i>Documentation:</i><br>A procedure for the hygienic laundering (off-site or on-site) of linen used by the children or adults.  |     |    |        |
|  | <i>Criterion HS3</i><br>Is there a procedure for the changing (and disposal, if appropriate) of nappies which is consistently implemented?   |     |    |        |
|  | <i>Documentation:</i><br>A procedure for the changing (and disposal, if appropriate) of nappies. The procedure aims to ensure: <ul style="list-style-type: none"> <li>• safe and hygienic practices; and</li> <li>• that children are treated with dignity and respect.</li> </ul>                           |     |    |        |
| 2  | <b>Emergencies</b>   |     |    |        |
|  | <i>Criterion HS4</i><br>Is there a written emergency plan and supplies to ensure the care and safety of the children and educator at the home and when away from the home?<br><br>Does the plan include evacuation procedures that apply in a variety of emergency situations that are relevant to the home? |     |    |        |



## Criteria to assess Health and safety practices standard

| Please tick all questions including bullet points.  | Yes | No | Unsure |
|---|-----|----|--------|
| Does the written emergency plan also include out-of-school care children if out-of-school care is being provided in the home?   |     |    |        |
| If the home is in a building that has an approved Fire Evacuation Scheme, are the evacuation procedures consistent with that scheme?  |     |    |        |
| <p><i>Documentation:</i><br/>A written emergency plan that includes at least:</p> <ul style="list-style-type: none"> <li>• An evacuation procedure for the premises.</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>• A list of safety and emergency supplies and resources sufficient for the age and number of children and adults at the service and details of how these will be maintained and accessed in an emergency.</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>• A communication plan for families and support services.</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>• Evidence of review of the plan on an, at least, annual basis and implementation of improved practices as required.</li> </ul>  |     |    |        |
| <p><i>Criterion HS5</i><br/>Has the service provider ensured that designated assembly areas for evacuation purposes outside the building keep children safe from further risk?</p>  |     |    |        |
| <p><i>Criterion HS6</i><br/>Are heavy furniture, fixtures, and equipment that could fall or topple and cause serious injury or damage secured?</p>  |     |    |        |
| <p><i>Criterion HS7</i><br/>Are educators familiar with relevant emergency drills and carry these out with the children on an at least three-monthly basis?</p>   |     |    |        |
| <p><i>Documentation:</i><br/>A record of emergency drills carried out and evidence of how evaluation of the drills has informed the annual review of the service's emergency plan.<br/><br/>For services providing out-of-school care the record must include evidence of drills performed with enrolled children and out-of-school care children at the same time.</p> |     |    |        |

## Criteria to assess Health and safety practices standard

| Please tick all questions including bullet points.   |   | Yes | No | Unsure |
|--|---|-----|----|--------|
| 3  | <b>Sleep</b>  |     |    |        |
|  | <i>Criterion HS8</i><br>Is a procedure for monitoring children’s sleep implemented, and information communicated to parents about their child’s daily sleep patterns?   |     |    |        |
|  | <i>Documentation:</i><br>A procedure for monitoring children’s sleep. The procedure ensures that children:  |     |    |        |
|  | <ul style="list-style-type: none"> <li>do not have access to food or liquids while in bed; and</li> </ul>   |     |    |        |
|  | <ul style="list-style-type: none"> <li>are checked for warmth, breathing, and general well-being at least every 10 – 15 minutes (during day-time sleep), or more frequently according to individual needs.</li> </ul>   |     |    |        |
|  | <i>Criterion HS9</i><br>Are furniture or items intended for children to sleep on (such as cots, beds, stretchers, or mattresses) arranged and spaced when in use so that:   |     |    |        |
|  | <ul style="list-style-type: none"> <li>adults have clear access to at least one side (meaning the length, not the width);</li> <li>the area surrounding each child allows sufficient air movement to minimise the risk of spreading illness; and</li> <li>children able to sit or stand can do so safely as they wake?</li> </ul> |     |    |        |
| <i>Criterion HS10</i><br>If not permanently set up, is furniture or items intended for children to sleep on (such as cots, beds, stretchers, or mattresses) and bedding hygienically stored when not in use? |   |     |    |        |
| 4  | <b>Hazards and excursions</b>   |     |    |        |
|  | <i>Criterion HS11</i><br>Are equipment, premises and facilities regularly checked on everyday of operation for hazards to children?   |     |    |        |
|  | Are accident/incident records analysed to identify hazards and appropriate action taken?  |     |    |        |

## Criteria to assess Health and safety practices standard

| Please tick all questions including bullet points.   | Yes | No | Unsure |
|--|-----|----|--------|
| Are hazards to the safety of children eliminated, isolated, or minimised?  |     |    |        |
| Consideration of hazards must include but is not limited to: <ul style="list-style-type: none"> <li>• cleaning agents, medicines, poisons, and other hazardous materials;</li> </ul>                 |     |    |        |
| <ul style="list-style-type: none"> <li>• electrical sockets and appliances (particularly heaters);</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>• hazards present in kitchen or laundry facilities;</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>• vandalism, dangerous objects, and foreign materials (e.g. broken glass, animal droppings);</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>• the condition and placement of learning, play and other equipment;</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>• windows and other areas of glass;</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>• poisonous plants; and</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>• bodies of water?</li> </ul> [Note: consideration of hazards is not limited to above]  |     |    |        |
| <b>Documentation:</b><br>A documented risk management system.  |     |    |        |
| <b>Criterion HS12</b><br>Are all practicable steps taken to ensure that noise levels do not unduly interfere with normal speech and/or communication, or cause any child attending distress or harm? |     |    |        |
| <b>Criterion HS13</b><br>Are safe and hygienic handling practices implemented with regard to any animals at the service?   |     |    |        |
| Are all animals able to be restrained?   |     |    |        |
| <b>Criterion HS14</b><br>When children leave the premises on an excursion: <ul style="list-style-type: none"> <li>• is assessment and management of risk undertaken?</li> </ul>                      |     |    |        |

## Criteria to assess Health and safety practices standard

| Please tick all questions including bullet points.   | Yes | No | Unsure |
|--|-----|----|--------|
| <ul style="list-style-type: none"> <li>is a supervision plan specific to the excursion developed and implemented?</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>have parents given prior written approval of their child's participation;</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li> <ul style="list-style-type: none"> <li>i. for regular excursions at the time of enrolment; and</li> </ul> </li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li> <ul style="list-style-type: none"> <li>ii. for special excursions prior to the excursion taking place; and</li> </ul> </li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>are there communication systems in place so that people know where the children are and the educator can communicate with others as necessary?</li> </ul>                                   |     |    |        |
| <p><i>Documentation:</i><br/>A record of excursions that includes:</p> <ul style="list-style-type: none"> <li>the names of adults and children involved;</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>the time and date of the excursion;</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>the location and method of travel;</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>the excursion supervision plan;</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>assessment and management of risk;</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>evidence of parental permission for the regular excursions at the time of enrolment; and</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>evidence of parental permission for special excursions.</li> </ul>  |     |    |        |
| <p><i>Criterion HS15</i><br/>If children travel in a motor vehicle while in the care of the service:</p> <ul style="list-style-type: none"> <li>is each child restrained as required by Land Transport legislation? and</li> </ul> |     |    |        |
| <ul style="list-style-type: none"> <li>is the written permission of a parent of the child obtained before the travel begins?</li> </ul>  |     |    |        |
| <p><i>Documentation:</i><br/>Evidence of parental permission for any travel by motor vehicle.<br/><i>[Note: in most cases this requirement will be met by the excursion records required for criterion HS14]</i></p>               |     |    |        |

## Criteria to assess Health and safety practices standard

| Please tick all questions including bullet points.  |  | Yes | No | Unsure |
|---|--|-----|----|--------|
| 5   | <b>Food and drink</b>  |     |    |        |
|   | <i>Criterion HS16</i><br>Is food served at appropriate times to meet nutritional needs of each child while they are attending?   |     |    |        |
|   | Where food is provided by the service, is it of sufficient variety, quantity, and quality to meet the nutritional and developmental needs of each child?   |     |    |        |
|   | Where food is provided by the parents, does the service encourage and promote healthy eating guidelines?   |     |    |        |
|   | <i>Documentation:</i><br>A record of all food served to children while they are participating in the service (other than that provided by parents for their own children). Records show the type of food provided, and are available for inspection for 3 months after the food is served.   |     |    |        |
|   | <i>Criterion HS17</i><br>Is food prepared, served, and stored hygienically?  |     |    |        |
|   | <i>Criterion HS18</i><br>Is there an ample supply of water that is fit to drink available to children at all times, and are older children able to access this water independently?  |     |    |        |
|   | <i>Criterion HS19</i><br>Are children supervised and seated while eating?  |     |    |        |
|   | Where food is provided by the service, foods that pose a high choking risk are not to be served unless prepared in accordance with best practice as set out in <b>Ministry of Health: <a href="#">Reducing food-related choking for babies and young children at early learning services</a></b>   |     |    |        |
|   | Where food is provided by parents, the service promotes best practices as set out in <b>Ministry of Health: <a href="#">Reducing food-related choking for babies and young children at early learning services</a></b> and<br>Must provide to all parents at the time of enrolment a copy of Ministry of Health: Reducing food-related choking for babies and young children at early learning services. |     |    |        |
| <i>Criterion HS20</i><br>Are infants under the age of 6 months and other children unable to drink independently held semi-upright when being fed? |  |     |    |        |
| Is any infant milk food given to a child under the age of 12 months of a type approved by the child's parent?                                     |  |     |    |        |

## Criteria to assess Health and safety practices standard

| Please tick all questions including bullet points.   |   | Yes | No | Unsure |
|--|---|-----|----|--------|
| 6  | <b>Child health and wellbeing</b>   |     |    |        |
|  | <i>Criterion HS21</i><br>Are rooms used by children kept at a comfortable temperature no lower than 16 degrees C (at 500mm above the floor) while children are attending?   |     |    |        |
|  | <i>Criterion HS22</i><br>Is an adult present at all times while children are attending who:   |     |    |        |
|  | <ul style="list-style-type: none"> <li>holds a current first aid qualification gained from a New Zealand Qualifications Authority accredited first aid training provider; or</li> </ul>   |     |    |        |
|  | <ul style="list-style-type: none"> <li>is a registered medical practitioner or nurse with a current practising certificate?; or</li> </ul>  |     |    |        |
|  | <ul style="list-style-type: none"> <li>is a qualified ambulance officer or paramedic?</li> </ul>  |     |    |        |
|  | If access to first aid training is limited due to circumstances beyond the service provider's control, has the service provider ensured that educators have knowledge of first aid, and gain a first aid qualification within 4 months of starting work at the service? |     |    |        |
|  | If a child is injured, is any required first aid administered or supervised by an adult meeting these requirements?   |     |    |        |
| <i>Documentation:</i>  |   |     |    |        |
| 1. Copies of current first aid (or medical practising) certificates for adults counting towards this requirement.  |   |     |    |        |
| 2. Where access to first aid training for an educator is limited, a record of the actions taken by the service provider to ensure the educator has knowledge of first aid and achieves a first aid qualification within 4 months of stating work at the service. |   |     |    |        |
| <i>Criterion HS23</i><br>Are all practicable steps taken to ensure that children do not come into contact with any person (adult or child) on the premises who is suffering from a disease or condition likely to have a detrimental effect on them?             |   |     |    |        |

## Criteria to assess Health and safety practices standard

| Please tick all questions including bullet points.  | Yes | No | Unsure |
|---|-----|----|--------|
| <p>Specifically:</p> <ul style="list-style-type: none"> <li>are children who become unwell while attending the service kept at a safe distance from other children (to minimise the spread of infection) and returned to the care of a parent or other person authorised to collect the child without delay?</li> </ul> |     |    |        |
| <ul style="list-style-type: none"> <li>Ensured the out-of-school care is not provided to children who are absent from school due to illness?</li> </ul>   |     |    |        |
| <p><i>Criterion HS24</i><br/>Are all practicable steps taken to get immediate medical assistance for a child who is seriously injured or becomes seriously ill, and to notify a parent of what has happened?</p>  |     |    |        |
| <p><i>Documentation:</i><br/>1. A record of serious injuries, illnesses and incidents that occur at the service.</p>  |     |    |        |
| <p>Records include:</p> <ul style="list-style-type: none"> <li>the child's name;</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>the date, time, and description of the injury, illness or incident;</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>actions taken and by whom; and</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>evidence that parents have been informed.</li> </ul>   |     |    |        |
| <p>2. A procedure outlining the service's response to injury, illness and incident, including the review and implementation of practices as required.</p>   |     |    |        |
| <p><i>Criterion HS25</i><br/>Has the service provider ensured that medicine (prescription and non-prescription) is not given to a child unless it is given:</p> <ul style="list-style-type: none"> <li>by a doctor or ambulance personnel in an emergency; or</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>by the parent of the child; or</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>with the written authority (appropriate to the category of medicine) of a parent?</li> </ul>   |     |    |        |
| <p><i>Documentation</i><br/>1. A record of the written authority from parents for the administration of medicine in accordance with the requirement</p>   |     |    |        |

## Criteria to assess Health and safety practices standard

| Please tick all questions including bullet points. |  | Yes | No | Unsure |
|--|--|-----|----|--------|
|  | for the category of medicine outlined in Appendix 2 of the <i>Licensing Criteria for Home-Based Education and Care 2008</i> .  |     |    |        |
|  | 2. A record of all medicine (prescription and non-prescription) given to children attending the service. Records include: <ul style="list-style-type: none"> <li>name of the child;</li> </ul>   |     |    |        |
|  | <ul style="list-style-type: none"> <li>name and amount of medicine given;</li> </ul>   |     |    |        |
|  | <ul style="list-style-type: none"> <li>date and time medicine was administered and by whom; and</li> <li>evidence of parental acknowledgement.</li> </ul>  |     |    |        |
|  | <i>Criterion HS26</i><br>Are adults who administer medicine to children (other than their own) provided with information and/or training relevant to the task?   |     |    |        |
|  | <i>Documentation:</i><br>A record of training and/or information provided to adults who administer medicine to children (other than their own) while at the service.   |     |    |        |
|  | <i>Criterion HS27</i><br>Are children washed when they are soiled or pose a health risk to themselves or others?   |     |    |        |
| <b>7</b>   | <b>Child protection</b>  |     |    |        |
|  | <i>Criterion HS28</i><br>(i) Is there a written child protection policy that meets the requirements of the Children's Act 2014?  |     |    |        |
|  | (ii) Does the policy contain provisions on the identification and reporting of child abuse and neglect, and information about how the service will keep children safe from abuse and neglect, and information about how the service will respond to suspected child abuse and neglect? |     |    |        |
|  | (iii) Will the policy be reviewed every three years?   |     |    |        |
|  | <i>Documentation:</i><br>1. The written child protection policy contains:  |     |    |        |
|  | (a) provisions for the service's identification and reporting of child abuse and neglect;  |     |    |        |
|  | (b) information about practices the service employs to keep children safe from abuse and neglect; and  |     |    |        |



## Criteria to assess Health and safety practices standard

| Please tick all questions including bullet points.  | Yes | No | Unsure |
|---|-----|----|--------|
| (c) information about how the service will respond to suspected child abuse and neglect.  |     |    |        |
| 2. A procedure that sets out how the service will identify and respond to suspected child abuse and/or neglect  |     |    |        |
| <p><i>Criterion HS29</i><br/>Are all practicable steps taken to protect children from exposure to inappropriate material (for example, of an explicitly sexual or violent nature)?</p>  |     |    |        |
| <p><i>Criterion HS30</i><br/>Has the service provider ensured that coordinators and educators do not use, or are not under the influence of, alcohol or any other substance that has a detrimental effect on their functioning or behaviour while responsible for children attending the service?</p> |     |    |        |
| <p><i>Criterion HS31</i><br/>Are all practicable steps taken to ensure that children do not come into contact with any person on the premises who is under the influence of alcohol or any other substance that has a detrimental effect on their functioning or behaviour?</p>                       |     |    |        |
| <p><i>Criterion HS32</i><br/>Has the service provider ensured that no person smokes in any area which is available for use by children or for food preparation while children are attending the service?</p>  |     |    |        |
| <p><b>Notification</b><br/><i>Criterion HS33</i></p> <ul style="list-style-type: none"> <li>• Has the service notified a specified agency* where there is a serious injury or incident involving a child while at the service? and</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>• Has the service also notified the Ministry of Education at the same time?</li> </ul>   |     |    |        |

## Criteria to assess Health and safety practices standard

| Please tick all questions including bullet points.  | Yes | No | Unsure |
|---|-----|----|--------|
| [Note: <i>*specified agency</i> is defined to include the NZ Police; Ministry of Health; Child, Youth and Family; Worksafe NZ, and the Teaching Council]  |     |    |        |
| <p><i>Documentation:</i></p> <p>A copy of the notification sent to the specified agency.</p>  |     |    |        |
| <p><b>Supervision</b></p> <p><i>Criterion HS34</i></p> <p>Does every educator ensure that they actively supervise children, at all times, while they attend the service?</p>  |     |    |        |
| <p><i>Documentation:</i></p> <p>A written supervision plan that ensures the good health and safety of children enrolled in the service is maintained at all times.</p>  |     |    |        |
| <p>The plan must be specific to the premise and number, age, abilities and enrolled hours of the children attending and must show how the educator will actively supervise children at the service. It must include but is not limited to:</p> <ul style="list-style-type: none"> <li>• how the premise will be arranged across all indoor and outdoor spaces likely to be used at any time while children are attending the home, to enhance supervision of the children;</li> </ul> |     |    |        |
| <ul style="list-style-type: none"> <li>• how the children will be supervised while they are: <ul style="list-style-type: none"> <li>- involved in activities or routines (such as sleeping, eating and toileting) in separate parts of the home;</li> </ul> </li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>- using play equipment and resources, both indoors and outdoors;</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>- interacting with other people in the home, including visitors; and</li> </ul>  |     |    |        |

Criteria to assess Health and safety practices standard

| Please tick all questions including bullet points.   | Yes | No | Unsure |
|--|-----|----|--------|
| <ul style="list-style-type: none"> <li>- using technology or while they are in the presence of technology while it is being used by others in the home.</li> </ul> |     |    |        |



## Self-Audit Checklist - Section 4 – Governance, Management and Administration Standards

### What does ERO want to know?

ERO wants to know that the service provider meets the governance, management and administration standard and the licensing criteria in terms of the regulatory requirements and has the required documentation to demonstrate compliance with the relevant criteria including other relevant legislative requirements. *Please tick all questions including bullet points.*

### Criteria to assess Governance, Management and Administration Standard

| Please tick all questions including bullet points.  |  | Yes | No | Unsure |
|---|--|-----|----|--------|
| <b>1</b>  | <b>Parent involvement and information</b><br><i>Criterion GMA1</i><br>Are parents advised how to access:   |     |    |        |
|   | <ul style="list-style-type: none"> <li>information concerning their child;</li> </ul>  |     |    |        |
|   | <ul style="list-style-type: none"> <li>the service’s operational documents (such as its philosophy, policies, and procedures and any other documents that set out how day to day operations will be conducted);</li> </ul> |     |    |        |
|   | <ul style="list-style-type: none"> <li>the most recent Education Review Office report regarding the service;</li> </ul>  |     |    |        |
|   | <ul style="list-style-type: none"> <li>the Education (Early Childhood Services) Regulations 2008, and the Licensing Criteria for Home-based Education and Care Services 2008;</li> </ul>                                   |     |    |        |
|   | <ul style="list-style-type: none"> <li>the full name and qualifications of each person counting towards regulated qualification requirements;</li> </ul>   |     |    |        |
|   | <ul style="list-style-type: none"> <li>the service’s current licence certificate; and</li> </ul>   |     |    |        |
|   | <ul style="list-style-type: none"> <li>a procedure people should follow if they wish to complain about non-compliance with the Regulations or criteria?</li> </ul>   |     |    |        |
|   | <i>Documentation:</i>  |     |    |        |
|   | 1. Evidence (such as a newsletter or enrolment pack information) of compliance with the criterion.   |     |    |        |
| 2. A procedure people should follow if they wish to complain about non-compliance with the Regulations or criteria. The procedure includes the option to contact the local MOE office and provides contact details. |  |     |    |        |

## Criteria to assess Governance, Management and Administration Standard

| Please tick all questions including bullet points.  | Yes | No | Unsure |
|---|-----|----|--------|
| <p><i>Criterion GMA2</i></p> <p>Is information provided to parents about:</p>   |     |    |        |
| <ul style="list-style-type: none"> <li>• how they can be involved in the service;</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>• any fees charged by the service;</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>• the amount and details of the expenditure of any Ministry of Education funding received by the service;</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>• any planned reviews and consultation; and</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>• whether or not out-of-school care will be provided in the educator's home while their child is attending?</li> </ul>   |     |    |        |
| <p><i>Documentation:</i></p> <p>Written information letting parents know:</p>   |     |    |        |
| <ul style="list-style-type: none"> <li>• how they can be involved in the service;</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>• any fees charged by the service;</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>• the amount and details of the expenditure of any Ministry of Education funding received by the service; and</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>• about any planned reviews and consultation;</li> </ul>   |     |    |        |
| <p>For services offering out-of-school care, evidence of:</p>   |     |    |        |
| <ul style="list-style-type: none"> <li>• written notice advising parents if the home their child is attending will have children receiving out-of-school care; and</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>• written parental acknowledgement of the written notice.</li> </ul>   |     |    |        |
| <p><i>Criterion GMA3</i></p> <p>Are parents of children attending the service and adults providing education and care provided with opportunities to contribute to the development and review of the service's operational documents (such as philosophy, policies, and procedures and any other documents that set out how day to day operations will be conducted)?</p> |     |    |        |

## Criteria to assess Governance, Management and Administration Standard

| Please tick all questions including bullet points. |   | Yes | No | Unsure |
|--|---|-----|----|--------|
|  | <p><i>Documents:</i></p> <p>Evidence of opportunities provided for parents and adults providing education and care to contribute to the development and review of the service's operational documents.</p>  |     |    |        |
| 2  | <p><b>Professional practices</b></p> <p><i>Criterion GMA4</i></p> <p>Is there a philosophy statement that guides the service's operation?</p>   |     |    |        |
|  | <p><i>Documentation:</i></p> <p>A written statement expressing the service's beliefs, values, and attitudes about the provision of early childhood education and care.</p>  |     |    |        |
|  | <p><i>Criterion GMA5</i></p> <p>Is there an ongoing process of self-review to help the service maintain and improve the quality of its education and care?</p>  |     |    |        |
|  | <p><i>Documentation:</i></p> <p>1. A process of reviewing and evaluating the service's operation (for example, its curriculum, learning and teaching practices, philosophy, policies, and procedures) by the people involved in the service. The process is consistent with <i>critierion GMA3</i>, and includes a schedule showing timelines for planned review of different areas of operation.</p> |     |    |        |
|  | <p>2. Recorded outcomes from the review process.</p>  |     |    |        |
|  | <p><i>Criterion GMA6</i></p> <p>Are suitable human resource management practices implemented for educators and staff?</p>   |     |    |        |
|  | <p><i>Documentation:</i></p> <p>Processes for human resource management. Processes at least include:</p> <ul style="list-style-type: none"> <li>• procedures for the selection and appointment of suitable educators and staff;</li> </ul>  |     |    |        |
|  | <ul style="list-style-type: none"> <li>• job/role descriptions;</li> </ul>  |     |    |        |
|  | <ul style="list-style-type: none"> <li>• training plans for educators with little or no previous experience in early childhood education;</li> </ul>  |     |    |        |
|  | <ul style="list-style-type: none"> <li>• induction procedures into the service;</li> </ul>  |     |    |        |

## Criteria to assess Governance, Management and Administration Standard

| Please tick all questions including bullet points. |   | Yes | No | Unsure |
|--|---|-----|----|--------|
|  | <ul style="list-style-type: none"> <li>a system of regular appraisal;</li> </ul>  |     |    |        |
|  | <ul style="list-style-type: none"> <li>provision for professional development;</li> </ul>   |     |    |        |
|  | <ul style="list-style-type: none"> <li>a definition of serious misconduct; and</li> </ul>   |     |    |        |
|  | <ul style="list-style-type: none"> <li>discipline/dismissal procedures.</li> </ul>  |     |    |        |
|  | <p><i>Criterion GMA6A</i></p> <p>Are all <i>children's workers</i> who have access to children safety checked in accordance with the Children's Act 2014 [CA]?</p>  |     |    |        |
|  | <ul style="list-style-type: none"> <li>Are the safety checks undertaken and the results obtained before the worker has access to children?</li> </ul>   |     |    |        |
|  | <ul style="list-style-type: none"> <li>Are the results of the safety checks recorded and the record kept as long as the person is employed at the service?</li> </ul>   |     |    |        |
|  | <ul style="list-style-type: none"> <li>Are safety checks of every children's workers carried out every three years? [Safety checks may be carried out by the employer or another person or organisation acting on the employer's behalf]</li> </ul> |     |    |        |
|  | <p><i>Documentation</i></p> <p>1. A written procedure for safety checking all children's workers before they have access to children that meets the safety checking requirements of the CA</p>  |     |    |        |
|  | <p>2. A record of all safety checks and the results.<br/>[Refer to question 8 below for further guidance]</p>   |     |    |        |
| <b>3</b>   | <p><b><i>Planning and documentation</i></b></p> <p><i>Criterion GMA7</i></p> <p>Is there an annual plan to guide the service's operation?</p>   |     |    |        |
|  | <p><i>Documentation:</i></p> <p>An annual plan identifying 'who', 'what', and 'when' in relation to key tasks undertaken each year.</p>   |     |    |        |



## Criteria to assess Governance, Management and Administration Standard

| Please tick all questions including bullet points.  | Yes | No | Unsure |
|---|-----|----|--------|
| <p><i>Criterion GMA8</i><br/>Is there an annual budget to guide financial expenditure?</p>  |     |    |        |
| <p><i>Documentation:</i><br/>An annual budget setting out the service's estimated revenue and expenses for the year. The budget includes at least:</p> <ul style="list-style-type: none"> <li>• staffing costs, including leave entitlements;</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>• professional development costs;</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>• equipment and material costs for the ongoing purchase of new equipment and consumable materials; and</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>• provision for operational costs and maintenance as appropriate.</li> </ul>   |     |    |        |
| <p><i>Criterion GMA9</i><br/>Are enrolment records maintained for each child attending and are they kept for at least 7 years?</p>  |     |    |        |
| <p><i>Documentation:</i><br/>Enrolment records for each child currently attending and for those who have attended in the previous 7 years.</p> <p>Records must meet the requirements of the Early Childhood Education Funding Handbook and include at least:</p> <ul style="list-style-type: none"> <li>• the child's full name, date of birth, and address;</li> </ul> |     |    |        |
| <ul style="list-style-type: none"> <li>• the name and address of at least 1 parent;</li> </ul>  |     |    |        |
| <ul style="list-style-type: none"> <li>• details of how at least 1 parent (or someone nominated by them) can be contacted while the child attends the service;</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>• the name of the medical practitioner (or medical centre) who should, if practicable, be consulted if the child is ill or injured;</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>• details of any chronic illness/condition that the child has, and of any implications or actions to be followed in relation to that illness/condition;</li> </ul>   |     |    |        |
| <ul style="list-style-type: none"> <li>• the names of the people authorised by the parent to collect the child; and</li> </ul>  |     |    |        |

## Criteria to assess Governance, Management and Administration Standard

| Please tick all questions including bullet points. |   | Yes | No | Unsure |
|--|---|-----|----|--------|
|  | <ul style="list-style-type: none"> <li>any court orders affecting day to day care of, or contact with, the child.</li> </ul>  |     |    |        |
|  | <p><i>Criterion GMA10</i></p> <p>Is an attendance record maintained that shows the times and dates of every child's attendance at the service?</p>  |     |    |        |
|  | <p>Are records kept for at least 7 years?</p>   |     |    |        |
|  | <p><i>Documentation:</i></p> <p>An attendance record that that meets the requirements outlined in the Early Childhood Education Funding Handbook for children currently attending, and children who have attended in the previous 7 years.</p>  |     |    |        |
|  | <p><i>Criterion GMA11</i></p> <p>Is required documentation made available as appropriate to parents and Government officials having right of entry to the service under sections 27 and 622 of the Education and Training Act 2020.</p> <p>[Note: refer to <a href="http://www.legislation.govt.nz">www.legislation.govt.nz</a> for free access to the Education and Training Act 2020]</p> |     |    |        |
|  | <p>Has the service provider ensured that the person responsible (or co-ordinator) for the licensed home-based education and care service, has –</p> <p>(a) contacted each educator engaged in the service at least once per fortnight, and</p>  |     |    |        |
|  | <p>(b) visited each educator engaged in the service at least once per month, and</p>  |     |    |        |
|  | <p>(c) taken all reasonable steps each month to observe each child participating in the service while that child is receiving education and care?</p> <p>[ Note: the above does not apply during any period when the service is closed for a fortnight or longer ]</p> <p>Ref: Regulation 28(1) and (2)</p>   |     |    |        |

## Criteria to assess Governance, Management and Administration Standard

| Please tick all questions including bullet points. |  | Yes | No | Unsure |
|--|--|-----|----|--------|
| <b>4</b>   | <p><b>Privacy Act 2020</b></p> <p>Are there policies and procedures in place to ensure the requirements of the Privacy Act 2020* are met in relation to information about children and the parents/caregivers of those children who attend the service?</p> <p>*[Note; this Act applies from 1 December 2020]</p>                        |     |    |        |
| <b>5</b>   | <p><b>Police vetting</b></p> <p>Has the service provider of a licensed home-based education and care service obtained a Police vet for every adult:</p> <p>(a) who lives in a home where the service is being provided ; and</p>   |     |    |        |
|  | <p>(b) where at least one child to whom the service is being provided does not live in the home;</p> <p><b>Note:</b> adult means a person who is aged 17 years or over]; and</p>   |     |    |        |
|  | <p>(c) Has the Police vet been obtained before the home is used as a licensed service; and</p>   |     |    |        |
|  | <p>(d) in the case of a home that is being used as a licensed service, before the adult begins to live in the home</p> <p>[Note: the Police vet must be obtained even if the person is unlikely to be present when the licensed education and care service is being provided]</p>  |     |    |        |
|  | <p>(e) Has the service provider obtained a Police vet every three years of every person noted above on whom a Police vet has already been obtained, and</p>  |     |    |        |
|  | <p>(f) who still works at the service or lives in the home?</p>  |     |    |        |
|  | <p><i>Reference: s 25 E&amp;T Act 2020, Clauses 5, 6, 7 and and 8 Schedule 4 Education and Training Act 2020.</i></p> <p><b>Note:</b> Nothing in the provisions above limits or affects Part 3 of the Children’s Act 2014 in relation to the safety checking of children’s workers [refer clause 14 of Schedule 4 E&amp;T Act 2020].</p> |     |    |        |

Criteria to assess Governance, Management and Administration Standard

| Please tick all questions including bullet points.  | Yes | No | Unsure |
|---|-----|----|--------|
| <p>25 <a href="#">Police vetting in respect of early childhood services</a></p> <p><a href="#">Schedule 4</a><br/> <a href="#">Police vetting</a><br/> <a href="#">Police vetting is required for all adults who live in a home where home-based early childhood education and care is being provided</a></p>   |     |    |        |
| <p><b>Children’s Act 2014 -Safety Checking of Workforce</b></p> <p>For <i>persons</i> that the service provider <i>proposes</i> to employ or engage as a paid <i>children’s worker*</i>, the following checks have been undertaken:</p> <p><i>Identity Confirmation, either by</i></p> <p>(a) using an electronic identity credential to check that the identity is not claimed by someone else; <u>or</u></p>  |     |    |        |
| <p>(b) checking a original primary identity document (eg NZ passport); and a secondary identity document (eg NZ driver licence);</p> <p>[Note: if there are no photos of the person in the documents in (b), the service provider must require an <i>identity referee</i> to authenticate/verify identity of the staff. If the person’s name is different on a document in (b) the board must require a supporting name change document from the person];</p> |     |    |        |
| <p>(c)** searching the service provider’s personnel records to check whether the identity is being used or has been used by any person currently or previously employed/engaged by the service provider after having sighted the documents in (a) or (b) including the matters under ‘Note’ above.</p>  |     |    |        |
| <p><i>Criminal Convictions</i></p> <p>(d) obtaining and considering information from NZ Police vet</p> <p>[Note: no need for Police vet if the person already had one in the last three years or person is a registered teacher]</p>  |     |    |        |
| <p><i>Other Information</i></p> <p>(e) obtaining and considering a chronological summary of work history for preceding five years from the person; and</p>  |     |    |        |
| <p>(f) whether person is registered with the Teaching Council, and if so, board has confirmed this with the Teaching Council;</p>   |     |    |        |

## Criteria to assess Governance, Management and Administration Standard

| Please tick all questions including bullet points.   | Yes | No | Unsure |
|--|-----|----|--------|
| (g) obtaining and considering information from at least one referee (not related to the person or part of the extended family) and   |     |    |        |
| (h) any other information the board considers relevant for risk assessment;  |     |    |        |
| (i) interviewed the person, in person or by telephone or other communication technology;<br><br>[Note: the requirements in (e), (g),(h) and (i) do not apply if the person is currently employed or engaged by the board in another role – write N/A in this case]   |     |    |        |
| <i>Risk Assessment</i><br>(j) evaluation of all the information above to assess the risk the potential children’s worker would pose to the safety of children if employed or engaged, taking into account whether the role is a core children’s worker or non-core children’s worker   |     |    |        |
| <p><b>Note:</b></p> <p>(i) *Children’s workers who are <i>core workers</i> work alone with or have primary responsibility or authority over children, eg educators, coordinators and person responsible. Also applies to persons undertaking unpaid children’s work as part of educational or vocational training course.</p> <p>(ii) **the purpose of paragraph (c) is to establish that the proposed worker is the sole claimant of the identity.</p> <p>(iii) For details the service provider should refer to the relevant provisions of the <i>Children’s Act 2014</i>, and regulations 5 – 8 of the <i>Children’s (Requirements for Safety Checks of Children’s Workers) Regulations 2015</i> – <a href="http://www.legislation.govt.nz">http://www.legislation.govt.nz</a>.</p> <p>(v) For more information visit: <a href="http://www.childrensactionplan.govt.nz">www.childrensactionplan.govt.nz</a> and <a href="#">Children’s worker safety checking under the Children’s Act 2014</a> [PDF, 1.2 MB]</p> <p>(vi) Seek independent advice if you are uncertain.</p> <p>(vii) Keep accurate records about each aspect of the safety checking process</p> |     |    |        |



