



Guidelines for Hospital-based Education and Care Assurance  
Statement and Self-Audit Checklists

For Services Licensed under 2008 Regulatory Framework

August 2020

## Contents

Introduction .....	3
Licensing and Compliance Issues .....	4
<b>Section One - Curriculum standard guide .....</b>	<b>5</b>
Key Legislation .....	5
Key Documents .....	5
Introduction .....	5
Early Childhood Education Curriculum Framework .....	5
Regulation 43 - Curriculum standard: general .....	6
Key Requirements .....	7
<b>Section Two - Premises and Facilities standard guide .....</b>	<b>9</b>
Key Legislation .....	9
Key Documents .....	9
Introduction .....	9
Regulation 45 – Premises and facilities standard: general .....	9
Key Requirements .....	10
Useful Resources .....	10
<b>Section Three - Health and Safety Practices standard guide .....</b>	<b>1</b>
Key Legislation .....	11
Key Documents .....	11
Introduction .....	11
Regulation 46 Health and safety practices standard: general .....	11
Key Requirements .....	12
Useful Resources .....	12
<b>Section Four - Governance, Management and Administration standard guide .....</b>	<b>14</b>
Key Legislation .....	14
Key Documents .....	14
Introduction .....	14
Regulation 47 – Governance, management and administration standard-general .....	14
Key Requirements .....	15
Useful Resources .....	19
<b>Hospital-Based Education and Care Assurance Statement and Self Audit Checklists .....</b>	<b>20</b>
How to fill out the Self-Audit Checklists and Licensed Hospital-based Education and Care Service Assurance Statement .....	21
Compliance Certification .....	22
Attestation: .....	23
<b>Self-Audit Checklist Section 1 – Curriculum Standard .....</b>	<b>24</b>
<b>Self-Audit Checklist Section 2 – Premises and facilities standard .....</b>	<b>29</b>
<b>Self-Audit Checklist Section 3 – Health and safety practices standard .....</b>	<b>33</b>
<b>Self-Audit Checklist Section 4 – Governance, Management and Administration Standard .....</b>	<b>39</b>

# Ko te Tamaiti te Pūtake o te Kaupapa

## The Child – The Heart of the Matter

### Introduction

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**Hospital-based education and care service** means the provision of education or care to 3 or more children under the age of 6 who are receiving hospital care within the meaning of [section 4\(1\)](#) of the Health and Disability Services (Safety) Act 2001.

**Licensed hospital-based service (“licensed hospital-based service”)** means a hospital-based education and care service in respect of which the service provider holds a current licence issued under regulations made under [section 636](#)<sup>1</sup>

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

- The Education (Early Childhood Services) Regulations 2008<sup>2</sup> setting 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 hospital-based 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 sector;
- The *Licensing Criteria for Hospital-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 Whāriki*, 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 hospital-based 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 hospital-based 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 provides the hospital-based service*). 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 hospital-based service.

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<sup>1</sup> [Education and Training Act 2020](#)

<sup>2</sup> Note this Regulations continue to apply under clause 4, [Schedule 1 Transitional, savings, and related provisions](#). Also [note; Schedule 26 Consequential amendments and revocations](#) to the Regulations.

*Guidelines for Hospital-based Education and Care Assurance Statement and Self-Audit Checklists*  
[For Services Licensed under 2008 Regulatory Framework]

Education Review Office August 2020

## High quality evaluation contributing to high quality education

### Licensing and Compliance Issues

Hospital-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 Hospital-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 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 Hospital-based Education and Care Assurance Statement and Self-Audit Checklists* containing:

- a brief outline of the regulatory requirements with which licensed hospital-based education and care service providers must comply that are of key interest to ERO;
- checklists to be filled out by service providers 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 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 detailed issues for review are determined at the beginning of the review following a discussion with the service provider.

**Note:** The *Guidelines for Hospital-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

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

### Key Documents

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

The service provider of a licensed hospital-based education and care service must implement the principles and strands set out in the Curriculum Framework.<sup>3</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 Hospital-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 Māori as tangata whenua; and
    - (vi) respects and acknowledges the aspirations of parents, family, and whānau; and
  - (b) make all reasonable efforts to ensure that the service provider collaborates with the parents and, where appropriate, the family or whānau 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>3</sup> Gazetted in the *New Zealand Gazette* No 136 dated 4 September 2008 at page 3617. Refer to the MOE – Early Childhood Education website – [www.education.govt.nz](http://www.education.govt.nz), or the Department of Internal Affairs' web-site [www.dia.govt.nz](http://www.dia.govt.nz) and search under *New Zealand Gazette On-line*.  
*Guidelines for Hospital-based Education and Care Assurance Statement and Self-Audit Checklists*  
[For Services Licensed under 2008 Regulatory Framework]  
Education Review Office August 2020

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

## Key Requirements

### Licensing Criteria for Hospital-based Education and Care Services 2008

**Clause 4 – Interpretation** – for the purpose of these criteria, unless the context indicates otherwise:

- (a) **adults providing education and care** means hospital play specialists, kaiako, teachers, supervisors, parent helpers, kaiāwhina, fa’iaoga, or other adults who have a designated role of providing education and care to children at a service and are included in required adult:child ratios;
- (b) **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;
- (c) **culture** means the understandings, patterns of behaviour, practices, and values shared by a group of people;
- (d) **ECE** means early childhood education;
- (e) **excursion** means –
  - i. being outside the hospital 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
- (f) **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.
- (g) **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; and
  - 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;
- (h) **policy** means a statement intended to influence and determine decisions, actions, and other matters;
- (i) **premises** means the parts of the hospital where children participating in the service receive early childhood education and care;

- (j) **procedure** means a particular and established way of doing something;
- (k) **process** means a goal-directed, interrelated series of actions, events, procedures, or steps;
- (l) **records** means information or data on a particular subject collected and preserved;
- (m) **regulation** means a regulation under the Education (Early Childhood Services) Regulations 2008;
- (n) **required adult:child ratio** means the adult:child ratio with which the service provider is required to comply under regulation 44(1)(b) or any direction by the Secretary under regulation 54(2);
- (o) **service** means a hospital-based education and care service;
- (p) **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; and
- (q) **service provider** means the body, agency, or person who or that provides the hospital-based education and care service.

## 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).



## Section Two - Premises and Facilities Standard Guide

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### Key Legislation

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

### Key Documents

- Licensing Criteria for Hospital-based Education and Care Services 2008.
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### Introduction

The service provider of a licensed hospital-based education and 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 Hospital-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 Hospital-based and Care Services 2008

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

In this section

- [General](#) - Criteria and guidance for PF1-PF6
- [ECE activity room](#) - Criteria and guidance for PF7-PF12

#### 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.

#### **Useful Resources**

(<http://www.education.govt.nz/early-childhood/running-an-ece-service/the-regulatory-framework-for-ece/licensing-criteria/hospital-based-ece-services/>). – Refer under *Hospital-based ECE Services, - Premises and facilities*.

*New Zealand Standard (NZS) EN 5828: 2004: Playground Equipment and Surfacing*  
(<http://shop.standards.co.nz/catalog/5828%3A2004%28NZS%29/view>)

*New Zealand Standard (NZS) 4121:2001: Design for access and Mobility: Buildings and Associated Facilities*  
(<http://shop.standards.co.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 (Early Childhood Services) Regulations 2008.
- Building Act 2004.
- Fire and Emergency New Zealand Act 2017
- Fire Safety, Evacuation Procedures and Evacuation Schemes Regulations 2018
- Health and Safety at Work Act 2015
- Health (Immunisation) Regulations 1995
- 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 Hospital-based Education and Care Services 2008
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### Introduction

The service provider of a licensed hospital-based education and 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 Hospital-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 Hospital-based Education and Care Services 2008

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

##### In this section

- [General](#) - Criteria and guidance for HS1-HS7
- [ECE activity room](#) - Criteria and guidance for HS8-HS11
- [Child protection](#) - Criteria and guidance for HS12-HS16

#### 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>4</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.

## Useful Resources

### 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)).

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<sup>4</sup> *Safer Organisations, Safer Children* from Children’s Action Plan website – [www.childrensactionplan.govt.nz](http://www.childrensactionplan.govt.nz); [Children’s Act 2014 - a practical guide](#); [Children’s \(Requirements for Safety Checks of Children’s Workers\) Regulations](#) *Guidelines for Hospital-based Education and Care Assurance Statement and Self-Audit Checklists* [For Services Licensed under 2008 Regulatory Framework] Education Review Office August 2020

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

Breaking the Cycle: Interagency Protocols for Child Abuse Management  
Child Youth and Family Services, 1996  
([www.cyf.govt.nz](http://www.cyf.govt.nz)).

Changes to the Smokefree Environments Act 1990: Information for Schools and Early Childhood Centres  
Ministry of Health, 2004  
<https://www.health.govt.nz>

[Implementing the Health and Safety at Work Act – a guide for early learning services](#)

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  
[www.odi.govt.nz](http://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/>

*Guidelines for Hospital-based Education and Care Assurance Statement and Self-Audit Checklists*  
[For Services Licensed under 2008 Regulatory Framework]  
Education Review Office August 2020

## Section Four - Governance, Management and Administration

### Standard Guide

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#### Key Legislation

- Education and Training Act 2020
- 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

#### Key Documents

- Licensing Criteria for Hospital-based Education and Care Services 2008
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#### Introduction

The service provider of a licensed hospital-based education and 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 Hospital-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 Hospital-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 for GMA1-GMA4
- [Professional practices](#) - Criteria and guidance for GMA5-GMA7A
- [Planning and documentation](#) - Criteria and guidance for GMA8-GMA12

#### 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>5</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.

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<sup>5</sup> Example: teachers, person responsible, support staff who have regular contact with children  
*Guidelines for Hospital-based Education and Care Assurance Statement and Self-Audit Checklists*  
 [For Services Licensed under 2008 Regulatory Framework]  
 Education Review Office August 2020

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.

The following resources will help you meet your safety checking requirements:

- [New and existing employees](#)
- [Students on practicum](#)
- [Relievers](#)
- [Adult checks](#)

Police Vetting of Non-teaching and Unregistered Employees/Contractors

[Schedule 4](#)

[Police vetting](#)

[25 Police vetting in respect of early childhood services](#) of Education and Training Act 2020

### **1 Police vetting of non-teaching and unregistered employees at licensed early childhood services**

The service provider of a licensed early childhood service must obtain a Police vet of every person—

- (a) whom the service provider appoints, or intends to appoint, to a position at the early childhood service; and
- (b) who is to work at the service during normal opening hours; and
- (c) who is not a registered teacher or holder of a limited authority to teach.

### **2 Police vetting of contractors and their employees who work at licensed early childhood services**

(1) The service provider of a licensed early childhood service must obtain a Police vet of every contractor, or employee of a contractor, who has, or is likely to have, unsupervised access to children at the service during normal opening hours.

(2) In this clause, **contractor** means a person who works at a licensed early childhood service under a contract for services.

### **3 Police vet must be obtained before person has unsupervised access to children**

(1) A Police vet required under clause 1 or 2 must be obtained before the person has, or is likely to have, unsupervised access to children at the service during normal opening hours.

(2) The service provider of a licensed early childhood service that is required under clause 1 to obtain a Police vet of a person must apply for the vet no later than 2 weeks after the person begins work at the service.



#### **4 Procedures relating to Police vets under clause 1 or 2**

The service provider of a licensed early childhood service that applies for a Police vet of a person under clause 1 or 2—

- (a) must ensure that strict confidentiality is observed for Police vets; and
- (b) may not take adverse action in relation to the person who is the subject of a Police vet until —
  - (i) the person has validated the information contained in the vet; or
  - (ii) the person has been given a reasonable opportunity to validate the information, but has failed to do so within a reasonable period.

#### **5 Police vetting of adult members of household where licensed home-based education and care service provided**

(1) The service provider of a licensed home-based education and care service must obtain a Police vet of every adult who lives in a home—

- (a) where the service is being provided; and
- (b) where at least 1 child to whom the service is being provided does not live in the home.

(2) In this clause, **adult** means a person who is aged 17 years or over.

#### **6 When Police vet under clause 5 must be obtained**

(1) A Police vet required under clause 5 must be obtained,—

- (a) in the case of a home that is to be used as a licensed home-based education and care service, before the home is used as a licensed home-based education and care service; and
- (b) in the case of a home that is being used as a licensed home-based education and care service, before the adult begins to live in the home.

(2) The Police vet must be obtained even if the person is unlikely to be present when the licensed home-based education and care service is provided.

#### **7 Procedures relating to Police vets under clause 5**

The service provider of a licensed home-based education and care service that applies for a Police vet of a person under clause 5—

- (a) must ensure that strict confidentiality is observed for Police vets; and
- (b) may not take adverse action in relation to the person who is the subject of a Police vet until —
  - (i) the person has validated the information contained in the vet; or
  - (ii) the person has been given a reasonable opportunity to validate the information, but has failed to do so within a reasonable period.

## 8 Further Police vets to be obtained every 3 years

(1) The service provider of a licensed early childhood service must obtain a further Police vet of every person—

(a) on whom a Police vet has already been obtained under this schedule by that service provider; and

(b) who still works at the service or lives in the home.

(2) A further Police vet required under subclause (1) must be obtained on or about every third anniversary of any Police vet that has been previously conducted on the person.

(3) The requirement for a further Police vet under this clause does not apply to a person on whom a Police vet under clause 1 or 2 would not be required if the person were about to be appointed to a position at the licensed early childhood service or to work at the service at the time that the further Police vet would otherwise be required.

### Mandatory Reporting

The person or body who appoints staff at the centre/service as the ‘employer’ must immediately report to the Teaching Council when (among other things) the employer dismisses a person responsible (who is registered) for any reason, or has reason to believe that the person responsible has engaged in serious misconduct or has not reached the required level of competence. Service providers should refer to :

#### *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](#)

### Individual and collective employment agreements

Management should ensure they are familiar with the terms and conditions of any employment agreement that governs their relationship with their employees.

The Teaching Council is responsible for the issue and renewal of practising certificates under **Part 5, Subpart 4—Teaching Council** of the Education and Training Act 2020.

*The Code of Professional Responsibility*<sup>6</sup> applies to all certified teachers and those who have been granted a Limited Authority to Teach, in every role and teaching context. It is a set of aspirations for professional behaviour, and is binding on all teachers who hold a practicing certificate and all authorised persons.

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<sup>6</sup> Code of Professional Responsibility and Standards for the Teaching Profession.  
*Guidelines for Hospital-based Education and Care Assurance Statement and Self-Audit Checklists*  
[For Services Licensed under 2008 Regulatory Framework]  
Education Review Office August 2020

## 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

[Children's Act 2014](#)

[Children's Act 2014 - a practical guide](#)

[Safer organisations, Safer children \[PDF; 1.06MB\]](#)

[Police vetting for early learning services](#)

[Emergencies and traumatic incidents](#); Also refer [Early Childhood Education Services Emergency Planning Guidance \(external link\)](#)



## Hospital-based Education and Care Assurance Statement and Self-Audit Checklists

For Services Licensed under 2008 Regulatory Framework

August 2020

## How to fill out the Self-Audit Checklists and Hospital-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 **Hospital-based Education and Care Services Assurance Statement (HECAS)**. The information in each of these documents assists ERO in the scoping and planning of the review.

Completing the checklists and the HECAS will be a useful process for your own self review. Please read the Guidelines for Hospital-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 Hospital-based Education and Care Assurance Statement

After you have completed all the checklist sheets please complete and sign the HECAS. The second page of the HECAS 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 Hospital-based Education and Care Assurance Statement.**

## Hospital-based Education and Care Assurance Statement

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

**From:** The Service Provider

(Name of Hospital-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**

#### *Person Responsible*

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**Name**

**Signature**

**Date**

**This page is for you to note areas where you are aware that you are not meeting legal requirements and to advise any action you are taking.**

**Identified area(s) of non-compliance:**

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**Action being taken to address non-compliance**

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## 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> Is the service curriculum consistent with any prescribed curriculum framework that applies to the service?			
	<i>Criterion C2</i> 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> Do adults providing education and care engage in meaningful, positive interactions to enhance children's learning and nurture reciprocal relationships?			
	<i>Criterion C4</i> Do the practices of adults providing education and care 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> 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>			



## Criteria to assess curriculum standard

Please tick all questions including bullet points.		Yes	No	Unsure
	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?			
<b>3</b>	<b>Children as learners</b>			
	<i>Criterion C7</i> 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> Does the service curriculum provide a language-rich environment that supports children's learning?			
	<i>Criterion C9</i> Does the service curriculum provide children with a range of experiences and opportunities to enhance and extend their learning and development – both individually and in groups?			
	<i>Criterion C10</i> Does the service curriculum support children's developing social competence and understanding of appropriate behaviour?			
<b>4</b>	<b>Working with others</b>			
	<i>Criterion C11</i> Are positive steps taken to respect and acknowledge the aspirations held by parents and whānau for their children?			
	<i>Criterion C12</i> Are regular opportunities (formal and informal) provided for parents to: <ul style="list-style-type: none"> <li>communicate with adults providing education and care 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?</li> </ul>			

## Criteria to assess curriculum standard

Please tick all questions including bullet points.		Yes	No	Unsure
	<b>Criterion C13</b> Is information and guidance sought when necessary from agencies/services to enable adults providing education and care to work effectively with children and their parents?			
5	<b>Documentation</b> 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 adults providing education and care 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>			
6	3. A record of information and guidance sought from agencies and/or services (C13).			
	<b>Curriculum Framework - The Principles</b> Has the service provider ensured that: The service's curriculum empowers the child to learn and grow?			
	<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>			

## Criteria to assess curriculum standard

Please tick all questions including bullet points.		Yes	No	Unsure
	<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>			
	<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>			

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

## 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	<b>General</b>			
	<i>Criterion PF1</i> Has the hospital from which the service operates been granted certification under the Health and Disability Services (Safety) Act 2001 either:			
	<ul style="list-style-type: none"> <li>For a period of at least 3 years; or</li> </ul>			
	<ul style="list-style-type: none"> <li>For a period of less than 3 years, but the lesser period of certification does not reflect problems identified with requirements relating to the hospital's premises and facilities that would affect children participating in the ECE service?</li> </ul>			
	<i>Documentation:</i> 1. Copy of the current certificate issued to the hospital under the Health and Disability Services (Safety) Act 2001;and			
	2. If the certificate denotes a certification period of less than 3 years, a copy of the Corrective Action Plan from the hospital's Audit Report, showing that failure to meet premises and facilities requirements that affect children participating in the ECE service is not the reason for a shorter certification period being granted.			
	<i>Criterion PF2</i> Is there a sufficient quantity and variety of furniture, equipment, and materials provided that is appropriate for the learning and abilities of the children participating in the service?			
	<i>Criterion PF3</i> Are all indoor and outdoor items and surfaces, furniture, equipment and materials safe and suitable for their intended use?			

Criteria to assess premises and facilities standard.

Please tick all questions including bullet points.		Yes	No	Unsure
<i>Criterion PF4</i>	Are there spaces for the safe storage of equipment and materials?			
<i>Criterion PF5</i>	Is there space for adults working at the service to:			
	<ul style="list-style-type: none"> <li>withdraw from children for planned breaks as appropriate;</li> </ul>			
	<ul style="list-style-type: none"> <li>meet privately with parents and colleagues;</li> </ul>			
	<ul style="list-style-type: none"> <li>store curriculum support materials; and</li> </ul>			
	<ul style="list-style-type: none"> <li>assess, plan, and evaluate?</li> </ul>			
<i>Criterion PF6</i>	Are there facilities (other than those used for body wash) or alternative arrangements available for the preparation and cleaning up of paint and other art materials?			
<b>ECE Activity Room</b>				
<i>Criterion PF7</i>	Does the design and layout of any ECE Activity Room support the provision of a range of different types of learning experiences that are appropriate to the number, ages, abilities, and specific mobility or treatment needs of the children likely to use it?			
<i>Criterion PF8</i>	Does the design and layout of any ECE Activity Room support effective adult supervision?			
<i>Criterion PF9</i>	Are there safe and comfortable spaces in any ECE Activity Room for infants, toddlers, or children not walking to lie, roll, creep, crawl, pull themselves up, learn to walk, and to be protected from more mobile children?			
<i>Criterion PF10</i>	Are the floor surfaces in any ECE Activity Room durable, safe and suitable for the range of activities to be carried out at the service (including wet and messy play), and can easily be kept clean?			
<i>Criterion PF11</i>	Is there a telephone or other means of communication is available in the ECE Activity Room to enable adults providing education and care to call for assistance when necessary?			

Criteria to assess premises and facilities standard.

Please tick all questions including bullet points.		Yes	No	Unsure
	<i>Criterion PF12</i>			
	Are there facilities (or appropriate arrangements in place) for hygienic hand washing and drying in any ECE Activity Room?			

This image shows a full page of blank handwriting practice paper. It features approximately 20 evenly spaced horizontal lines across the entire page, providing a guide for letter height and placement. The lines are thin and light gray, set against a plain white background. There are no margins, text, or other markings present.



## 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>General</b>			
	<i>Criterion HS1</i> Has the hospital from which the service operates been granted certification under the Health and Disability Services (Safety) Act 2001 either: <ul style="list-style-type: none"> <li>for a period of at least 3 years; or</li> </ul>			
	<ul style="list-style-type: none"> <li>for a period of less than 3 years, but the lesser period of certification does not reflect problems identified with requirements relating to the hospital's health and safety practices that would affect children participating in the ECE service?</li> </ul>			
	<i>Documentation:</i> 1. Copy of the current certificate issued to the hospital under the Health and Disability Services (Safety) Act 2001, and;			
	2. If the certificate denotes a certification period of less than 3 years, a copy of the Corrective Action Plan from the hospital's Audit Report, showing that failure to meet health and safety practices requirements that affect children participating in the ECE service is not the reason for a shorter certification period being granted			
	<i>Criterion HS2</i> Are premises, furniture, furnishings, fittings, equipment, and materials used by children as part of the ECE programme kept safe, hygienic and maintained in good condition?			
	<i>Criterion HS3</i> Are there designated assembly areas for evacuation purposes outside the building to keep children safe from further risk?			
	<i>Criterion HS4</i> Are adults who are providing education and care familiar with relevant emergency drills?			

## Criteria to assess Health and safety practices standard

Please tick all questions including bullet points.		Yes	No	Unsure
	<b>Documentation:</b> A record of the emergency drills carried out.			
	<b>Criterion HS5</b> Are safe and hygienic handling practices implemented with regard to any animals at the service?			
	Are all animals able to be restrained?			
	<b>Criterion HS6</b> When children leave the premises on an excursion:			
	<ul style="list-style-type: none"> <li>Is assessment and management of risk undertaken, and are adult:child ratios determined accordingly? And ratios are not less than the required adult:child ratio?;</li> </ul>			
	<ul style="list-style-type: none"> <li>Have parents given prior written approval of their child's participation and of the proposed ratios; and</li> </ul>			
	<ul style="list-style-type: none"> <li>Are there communication systems in place so that people know where the children are, and adults can communicate with others as necessary?</li> </ul>			
	<b>Documentation:</b> A record of excursions. Records include:			
	<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>assessment and management of risk; and</li> </ul>			
	<ul style="list-style-type: none"> <li>evidence of parental permission.</li> </ul>			

## Criteria to assess Health and safety practices standard

Please tick all questions including bullet points.		Yes	No	Unsure
	<b>Criterion HS7</b> If children are travelling in a motor vehicle while in the care of the service: <ul style="list-style-type: none"> <li>Is each child restrained as required by Land Transport legislation;</li> </ul>			
	<ul style="list-style-type: none"> <li>Are required adult:child ratios maintained; and</li> </ul>			
	<ul style="list-style-type: none"> <li>Is written permission of a parent of the child obtained before the travel begins (when children are not travelling with their parent)?</li> </ul>			
	<b>Documentation:</b> <ul style="list-style-type: none"> <li>Evidence of parental permission for any travel by motor vehicle as part of the ECE programme.</li> </ul>			
<b>2</b>	<b>ECE Activity Room</b>  <b>Criterion HS8</b> Are ECE Activity Rooms kept at a comfortable temperature no lower than 16°C (at 500mm above the floor) while children are attending?			
	<b>Criterion HS9</b> Are heavy furniture, fixtures, and equipment in any ECE Activity Room that could fall or topple and cause serious injury or damage secured?			
	<b>Criterion HS10</b> Are any ECE Activity Room and equipment used by children as part of the ECE programme checked on every day of operation for hazards?			
	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>vandalism, dangerous objects and foreign materials;</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>the condition and placement of equipment; and</li> </ul>			
	<ul style="list-style-type: none"> <li>bodies of water.</li> </ul>			
	<i>Documentation:</i> A documented risk management system.			
	<i>Criterion HS11</i> Are all practicable steps taken to ensure that noise levels in any ECE Activity Room do not unduly interfere with normal speech and/or communication, or cause any child attending distress or harm?			
<b>3</b>	<b>Child Protection</b>			
	<i>Criterion HS12</i> Ensured that medicine (prescription and non-prescription) is not given to a child unless it is given by authorised personnel, in an emergency or as part of the child's treatment as a patient of the hospital?			
	<i>Criterion HS13</i> (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> 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			
	(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			

## Criteria to assess Health and safety practices standard

Please tick all questions including bullet points.		Yes	No	Unsure
	<b>Criterion HS14</b> Are all practicable steps taken to protect children from exposure to inappropriate material (for example, of an explicitly sexual or violent nature)?			
	<b>Criterion HS15</b> Adults who are providing education and care are not using, 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 participating in the service?			
	<b>Criterion HS16</b> Are all practicable steps taken to ensure that children do not come into contact with any person on the premises that is under the influence of alcohol or any other substance that has a detrimental effect on their functioning or behaviour?			

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## 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
1	<b>Parent involvement and information</b>			
	<i>Criterion GMA1</i> Are the following prominently displayed in any ECE Activity Room for parents and visitors: <ul style="list-style-type: none"> <li>the Education (Early Childhood Services) Regulations 2008, and the Licensing Criteria for Hospital-based Education and Care Services 2008;</li> </ul>			
	<ul style="list-style-type: none"> <li>the full names and qualifications of each person counting towards prescribed 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 noncompliance with the Regulations or criteria.</li> </ul>			
	<i>Documentation</i> 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 Ministry of Education office and provides contact details.			
	<i>Criterion GMA2</i> Are parents are advised how to access: <ul style="list-style-type: none"> <li>information concerning their child;</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>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); and</li> </ul>			
	<ul style="list-style-type: none"> <li>the most recent Education Review Office report regarding the service.</li> </ul>			
	<p><i>Documentation:</i> Written information letting parents know how to access:</p> <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; and</li> </ul>			
	<ul style="list-style-type: none"> <li>the most recent Education Review Office report regarding the service.</li> </ul>			
	<p><i>Criterion GMA3</i> 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; and</li> </ul>			
	<ul style="list-style-type: none"> <li>any planned reviews and consultations?</li> </ul>			
	<p><i>Documentation:</i> 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>			



## 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>about any planned reviews and consultation.</li> </ul>			
	<p><i>Criterion GMA4</i></p> <p>Are parents of children participating in 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>			
	<p><i>Documentation:</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 GMA5</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 GMA6</i></p> <p>Is there an ongoing process of self-review that helps the service maintain and improve the quality of its education and care?</p>			
	<p><i>Documentation:</i></p> <p>1. A process for 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 criterion GMA4, 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 GMA7</i></p> <p>Are suitable human resource management practices implemented?</p>			
	<p><i>Documentation:</i></p> <p>Policies and processes for human resource management, including:</p> <ul style="list-style-type: none"> <li>selection and appointment procedures;</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>• job/role descriptions;</li> </ul>			
	<ul style="list-style-type: none"> <li>• induction procedures into the service;</li> </ul>			
	<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 discipline/dismissal procedures.</li> </ul>			
	<p><i>Criterion GMA7A</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 [VCA]?</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 worker 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 VCA</p>			
	<p>2. a record of all safety checks and the results.</p> <p>[Refer to question 4 below for further guidance]</p>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.		Yes	No	Unsure
3	<b>Planning and documentation</b>			
	<i>Criterion GMA8</i> Is there an annual plan that guides the Services operation?			
	<i>Documentation:</i> An annual plan identifying 'who', 'what', and 'when' in relation to key tasks undertaken each year.			
	<i>Criterion GMA9</i> Is there an annual budget that guides financial expenditure?			
	<i>Documentation:</i> An annual budget setting out the service's estimated revenue and expenses for the year. The budget includes at least:			
	<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 (such as electricity, telephone, food purchases and other day to day items) and maintenance of the premises as appropriate.</li> </ul>			
	<i>Criterion GMA10</i> Do adults who are providing education and care have access to information held by the hospital for each child participating in the service that includes:			
	<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 is participating in the service;</li> </ul>			
	<ul style="list-style-type: none"> <li>the name of the medical practitioner with overall responsibility for the child's care;</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>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; and</li> </ul>			
	<ul style="list-style-type: none"> <li>any court orders affecting day to day care of, or contact with, the child.</li> </ul>			
	<b>Criterion GMA11</b> Is a record maintained for children participating in the service?			
	Are records kept for at least 7 years?			
	<b>Documentation:</b> An attendance record that meets the requirements outlined in the Early Childhood Education Funding Handbook for children currently participating in the service, and children who have attended in the previous 7 years.			
	<b>Criterion GMA12</b> Is required documentation made available as appropriate to parents and Government officials having right of entry to the service under section 27 and 622 of the Education and Training Act 2020 ( <a href="http://www.legislation.govt.nz">www.legislation.govt.nz</a> )?			
4	<b>Health Immunisation</b> Are there policies or procedures in place to ensure the requirements of the Health (Immunisation ) Regulations 1995 are met? <i>Refer -<a href="#">Immunisation Guidelines for Early Childhood Services and ...</a></i>			
	<b>Children's Act 2014- Safety Checking of Workforce</b> 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: <i>Identity Confirmation, either by</i> (a) Using an electronic identity credential to check that the identity is not claimed by someone else; <u>or</u>			
	(b) Checking a original primary identity document (eg NZ passport); and a secondary identity document (eg NZ driver licence);			
	[Note: if there are no photos of the person in the documents in (b), the service provider must require an identity referee 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]			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.		Yes	No	Unsure
	(c) Searching the service provider's personnel records to check that the identity has not been claimed by someone else after having sighted the documents in (a) or (b) including the matters under 'Note' above.			
	<b>Criminal Convictions</b> (d) Obtaining and considering information from NZ Police vet [Note: no need for police vet if the person already had one in the last three years or person is a registered teacher]			
	<b>Other Information</b> (e) Obtaining and considering a chronological summary of work history for preceding five years from the person; and			
	(f) Whether the person is registered with the Teaching Council, and if so, board has confirmed this with the Teaching Council;			
	(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; [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]			
	<b>Risk Assessment</b> (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.			
	<b>Note:</b> (i) *Children's workers who are <i>core workers</i> work alone with or have primary responsibility or authority over children, eg teachers, person responsible or support staff. Also applies to persons undertaking unpaid children's work as part of educational or vocational training course.			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.		Yes	No	Unsure
5	<p>(ii) The purpose of paragraph (c) is to establish that the person you propose to employ is the sole claimant of the identity.</p> <p>(iii) The above checks apply to <i>core workers and non-core workers</i></p> <p>(iv) For details the service provider should refer to the relevant provisions of the Children's Act 2014, 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">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 [PDF, 1.2 MB]</a></p> <p>(vi) See independent advice if you are uncertain</p> <p>(vii) Keep accurate records about each aspect of the safety checking process</p>			
	<p><b>Police vetting</b></p> <p>Has the service provider obtained a Police vet for every person:</p> <p>(a) whom the service provider appoints or intends to appoint to a position at the early childhood service; and</p>			
	<p>(b) who is to work at the service during normal opening hours; and</p>			
	<p>(c) who is not a registered teacher or holder of a limited authority to teach [LAT]?</p>			
	<p>Has the service provider obtained a Police vet of every contractor, or employee of a contractor who has, or is likely to have unsupervised access to children at the service during normal opening hours?</p>			
	<p>Has the service provider ensured that the Police vet is obtained before every person/contractor or their employee noted above has, or is likely to have unsupervised access to students at the service during normal opening hours?</p>			
	<p>Has the service provider obtained a Police vet every three years of every person /contractor or their employee noted above who still works at the service?</p>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.		Yes	No	Unsure
	<p><i>References: s 25 E&amp;T Act 2020, Clauses 1,2,3, 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> <p><a href="#">25 Police vetting in respect of early childhood services</a></p> <p><a href="#">Schedule 4</a></p> <p><a href="#">Police vetting</a></p>			
<b>7</b>	<p><b>Reporting to the Teaching Council</b></p> <p>In the following situations, has the service provider, as the employer, reported to the Teaching Council in compliance with the mandatory requirements under the Education and Training Act 2020: <i>[Write N/A if not applicable]</i></p>			
	<ul style="list-style-type: none"> <li>When a teacher has been dismissed for any reason (section 489)?</li> </ul> <p><a href="#">489 Mandatory reporting of dismissals and resignations</a></p>			
	<p>If, within 12 months before a teacher's resignation or expiry of the teacher's fixed-term contract, the employer has advised the teacher that it was dissatisfied with, or intended to investigate, any aspect of the conduct of the teacher or the teacher's competence (section 489)?</p> <p><a href="#">489 Mandatory reporting of dismissals and resignations</a></p>			
	<p>If, within 12 months after a teacher has left, the employer has received a complaint about the teacher's conduct or competence while he/she was an employee (section 490)?</p> <p><a href="#">490 Mandatory reporting of complaints received about former employees</a></p>			
	<p>If the employer has reason to believe that a teacher has engaged in serious misconduct (section 491)?</p> <p><a href="#">Mandatory reporting of possible serious misconduct</a></p>			
	<p>If the employer is satisfied that, despite undertaking competency procedures with a teacher, the teacher has not reached the required level of competence (section 492)?</p> <p><a href="#">492 Mandatory reporting of failure to reach required level of competence</a></p>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.		Yes	No	Unsure
8	<b>Privacy Act 2020</b> 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; and			
	Are these policies/procedures regularly reviewed and implemented appropriately? *[Note; this Act applies from 1 December 2020]			
9	<b>Fit and Proper Persons</b> Has the service management advised the Secretary for Education of any change of his/her circumstances of the kind referred to in the statutory declaration made under Regulation 7? [Ref: <i>Regulation 7 and 35 of the Education (Early Childhood Services) Regulations 2008</i> ]  <a href="#">7 Applicant must make statutory declaration</a>  <a href="#">35 Continuing duty to advise of change of circumstances</a>  Note: Write N/A if not applicable. Refer to <a href="http://www.legislation.govt.nz">www.legislation.govt.nz</a> for free access to the <i>Education (Early Childhood Services) Regulations 2008</i>			



This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There are no margins, text, or other markings on the paper.

