



**EDUCATION REVIEW OFFICE**  
Te Tari Arotake Mātauranga

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

January 2022

## 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.

The accuracy and validity of the information you give in the checklists and the KWAS is important for the focus 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 (available [here](#)) 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**

**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
1	<b>Professional Practice</b>			
	<i>Criterion C1:</i> Is the service curriculum consistent with the Early Childhood Education Curriculum Framework?			
	<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 educators, engage in meaningful, positive interactions to enhance children’s learning and nurture reciprocal relationships?			
	<i>Criterion C4:</i> 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?			
2	<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> 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
<b>3</b>	<p><b>Children as learners</b></p> <p><i>Criterion C7:</i> Is the service curriculum inclusive, and responsive to children as confident and competent learners?</p>			
	<p>Are children’s preferences respected, and are they involved in decisions about their learning experiences?</p>			
	<p><i>Criterion C8:</i> Does the service curriculum provide a language-rich environment that supports children’s learning?</p>			
	<p><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 indoors and outdoors, individually and in groups?</p>			
	<p><i>Criterion C10:</i> Does the service curriculum support children’s developing social competence and understanding of appropriate behaviour?</p>			
<b>4</b>	<p><b>Working with others</b></p> <p><i>Criterion C11:</i> Are positive steps taken to respect and acknowledge the aspirations held by parents and whānau for their children?</p>			
	<p><i>Criterion C12:</i> Are regular opportunities (formal and informal) provided for parents to:</p> <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?</li> </ul>			
	<p><i>Criterion C13:</i> Is information and guidance sought when necessary from agencies/services to enable educators and coordinators to work effectively with children and their parents?</p>			

## Criteria to assess curriculum standard

Please tick all questions including bullet points.		Yes	No	Unsure
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 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 (C12).</li> </ul>			
3. A record of information and guidance sought from agencies and/or services (C13).				
6	<b>Curriculum Framework - The Principles</b>			
	Has the service provider ensured that:			
	• The service's curriculum empowers the child to learn and grow?			
	• The service's curriculum reflects the holistic way children learn and grow?			
	• The wider world of family and community is an integral part of early childhood curriculum?			
• Children learn through responsive and reciprocal relationships with people, places and things?				
<b>The Strands</b>				

Criteria to assess curriculum standard

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





## 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> <i>Criterion PF1</i> 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> 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> 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> 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> 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> 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> 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> 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> 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> Is a telephone available for calls to and from the premises?</p>			
<p><i>Criterion PF10</i> 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 18 degrees C?</li> </ul>			
<p><i>Criterion PF11</i> 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> Is there a safe and hygienic place for children attending to sit when eating?			
	<i>Criterion PF13</i> 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>			
3	<b>Sanitary facilities</b>			
	<i>Criterion PF14</i> 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> 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? [refer to the Licensing Criteria document for Appendix 1]			
	<i>Criterion PF16</i> Is there a toilet and hygienic handwashing and drying facilities suitable for the use of the children attending?			
	<i>Criterion PF17</i> Are there safe and hygienic nappy changing facilities for children wearing nappies?			
	<i>Criterion PF18</i> Is there a plumbing fixture (such as a shower, shub, or bath) for washing sick or soiled children?			
4	<b>Sleep</b> <i>Criterion PF19</i> Is there space available for the restful sleep of children who need it at any time they are attending?			
	<i>Criterion PF20</i> 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> 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> </ul>			
	<ul style="list-style-type: none"> <li>• does not present a suffocation hazard to children?</li> </ul>			
	<i>Criterion PF22</i> 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> </ul>			
	<ul style="list-style-type: none"> <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> Are the premises, furniture, fittings, equipment, and materials kept safe, hygienic and maintained in good condition?			
	<i>Criterion HS2</i> Is linen used by children or adults hygienically laundered?			
	<i>Documentation:</i> A procedure for the hygienic laundering (off-site or on-site) of linen used by the children or adults.			
	<i>Criterion HS3</i> Is there a procedure for the changing (and disposal, if appropriate) of nappies which is consistently implemented?			
	<i>Documentation:</i> 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> 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?			
	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> 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> 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> Are heavy furniture, fixtures, and equipment that could fall or topple and cause serious injury or damage secured?</p>			
<p><i>Criterion HS7</i> 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> 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.</p> <p>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> Is a procedure for monitoring children's sleep implemented, and information communicated to parents about their child's daily sleep patterns?			
	<i>Documentation:</i> 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> 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> </ul>				
<ul style="list-style-type: none"> <li>the area surrounding each child allows sufficient air movement to minimise the risk of spreading illness; and</li> </ul>				
<ul style="list-style-type: none"> <li>children able to sit or stand can do so safely as they wake?</li> </ul>				
<i>Criterion HS10</i> 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> 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 data-bbox="300 398 1098 472">• cleaning agents, medicines, poisons, and other hazardous materials;</li> </ul>			
<ul style="list-style-type: none"> <li data-bbox="300 521 1098 595">• electrical sockets and appliances (particularly heaters);</li> </ul>			
<ul style="list-style-type: none"> <li data-bbox="300 595 1098 669">• hazards present in kitchen or laundry facilities;</li> </ul>			
<ul style="list-style-type: none"> <li data-bbox="300 669 1098 813">• vandalism, dangerous objects, and foreign materials (e.g. broken glass, animal droppings);</li> </ul>			
<ul style="list-style-type: none"> <li data-bbox="300 813 1098 922">• the condition and placement of learning, play and other equipment;</li> </ul>			
<ul style="list-style-type: none"> <li data-bbox="300 922 1098 996">• windows and other areas of glass;</li> </ul>			
<ul style="list-style-type: none"> <li data-bbox="300 996 1098 1070">• poisonous plants; and</li> </ul>			
<ul style="list-style-type: none"> <li data-bbox="300 1070 1098 1180">• bodies of water?</li> </ul> [Note: consideration of hazards is not limited to above]			
<b>Documentation:</b> A documented risk management system.			
<b>Criterion HS12</b> 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> 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> When children leave the premises on an excursion: <ul style="list-style-type: none"> <li data-bbox="300 1809 1098 1872">• 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>i. for regular excursions at the time of enrolment; and</li> </ul>			
<ul style="list-style-type: none"> <li>ii. for special excursions prior to the excursion taking place; 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 the educator can communicate with others as necessary?</li> </ul>			
<p><i>Documentation:</i> 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> 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> Evidence of parental permission for any travel by motor vehicle. <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> 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> 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> Is food prepared, served, and stored hygienically?			
	<i>Criterion HS18</i> 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> 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 <a href="#">Ministry of Health: Reducing food-related choking for babies and young children at early learning services</a>			
	Where food is provided by parents, the service promotes best practices as set out in <a href="#">Ministry of Health: Reducing food-related choking for babies and young children at early learning services</a> and 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> 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> Are rooms used by children kept at a comfortable temperature no lower than 18 degrees C (at 500mm above the floor) while children are attending?			
	<i>Criterion HS22</i> 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> 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?				
Specifically:				

## 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>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> 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> 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> 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> 1. A record of the written authority from parents for the administration of medicine in accordance with the requirement for the category of medicine outlined in Appendix 2 of the <i>Licensing Criteria for Home-Based Education and Care 2008</i>.</p>			

## Criteria to assess Health and safety practices standard

Please tick all questions including bullet points.		Yes	No	Unsure
	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> </ul>			
	<ul style="list-style-type: none"> <li>• evidence of parental acknowledgement.</li> </ul>			
	<i>Criterion HS26</i> Are adults who administer medicine to children (other than their own) provided with information and/or training relevant to the task?			
	<i>Documentation:</i> 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> Are children washed when they are soiled or pose a health risk to themselves or others?				
<b>7 Child protection</b>				
<i>Criterion HS28</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.				



## Criteria to assess Health and safety practices standard

Please tick all questions including bullet points.	Yes	No	Unsure
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></p> <p>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></p> <p>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></p> <p>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></p> <p>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></p> <p><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> <p>[Note: *specified agency is defined to include the NZ Police; Ministry of Health; Child, Youth and Family; Worksafe NZ, and the Teaching Council]</p>			
<p><i>Documentation:</i></p> <p>A copy of the notification sent to the specified agency.</p>			

## Criteria to assess Health and safety practices standard

Please tick all questions including bullet points.	Yes	No	Unsure
<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>			
<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> <i>Criterion GMA1</i> 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
	<i>Criterion GMA2</i> Is information provided to parents about:			
	<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>			
	<i>Documentation:</i> Written information letting parents know:			
	<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>			
	For services offering out-of-school care, evidence of:			
<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>				
<i>Criterion GMA3</i> 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)?				

## 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>critterion GMA4/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. Outcomes show how the service has regard for the Statement of National Education and Learning Priorities <a href="#">NELP</a> in its operation. Refer to guidance under <a href="#">GMA5 Self-review</a> [MOE website]</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> <li>training plans for educators with little or no previous experience in early childhood education;</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>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</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. [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>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.		Yes	No	Unsure
	Is there an annual plan to guide the service's operation?			
	<p><i>Documentation:</i> An annual plan identifying 'who', 'what', and 'when' in relation to key tasks undertaken each year, and how key tasks will have regard to the Statement of National Education and Learning Priorities (NELP).</p> <p>Refer to guidance <a href="#">GMA7 Annual plan</a> in MOE website.</p>			
	<p><i>Criterion GMA8</i> Is there an annual budget to guide financial expenditure?</p>			
	<p><i>Documentation:</i> 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> Are enrolment records maintained for each child attending and are they kept for at least 7 years?</p>			
	<p><i>Documentation:</i> 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>			



## 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;</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>			
	<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>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.		Yes	No	Unsure
	<p>[ Note: the above does not apply during any period when the service is closed for a fortnight or longer ]            Ref: Regulation 28(1) and (2)</p>			
4	<p><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?</p> <p>*[Note; this Act applies from 1 December 2020]</p>			
5	<p><b>Police vetting</b>            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>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.	Yes	No	Unsure
(f) who still works at the service or lives in the home?			
<p><i>Reference: s 25 E&amp;T Act 2020, Clauses 5, 6, 7 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>  <a href="#">Police vetting</a>  <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>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.	Yes	No	Unsure
[Note: no need for Police vet if the person already had one in the last three years or person is a registered teacher]			
<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>			
(f) whether 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;			
<p>(i) interviewed the person, in person or by telephone or other communication technology;</p> <p>[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]</p>			
<p><i>Risk Assessment</i></p> <p>(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>			
<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>			

## Criteria to assess Governance, Management and Administration Standard

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



