



**EDUCATION REVIEW OFFICE**  
Te Tari Arotake Mātauranga

## Self-Audit Checklists

For Services Licensed under 2008 Regulatory Framework

Education Review Office

P O Box 2799

WELLINGTON

NEW ZEALAND

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Centre Assurance Statement - Instructions  
Education Review Office  
October 2022

## How to fill out the Self-Audit Checklists and Centre Assurance Statement

As part of the review process, the Education Review Office (ERO) asks the service provider/contact person of each licensed centre to complete a **Self-Audit Checklist** and a **Centre Assurance Statement (CAS)**. The information in each of these documents assists ERO in the scoping and planning of the review.

Completing the checklists and the CAS will be a useful process for your own self review. Please read the Guidelines for Centre 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 Centre Assurance Statement

After you have completed all the checklist sheets please complete and sign the CAS. The second page of the CAS is 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 Centre Assurance Statement.**

## Centre Assurance Statement

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

**From:** The Service Provider/Contact Person

(Name of centre)

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### Compliance Certification

Has the licensed 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 Licensed Service Provider has taken all reasonable steps to meet its 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.

***Licensed Service Provider/  
Contact Person***

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**Name**

**Signature**

**Date**

***Head Teacher/Supervisor<sup>1</sup>***

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**Name**

**Signature**

**Date**

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<sup>1</sup> Or any person occupying an equivalent position.



## 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, implements the *Early Childhood Education Curriculum Framework* as gazetted, and has the required documentation to demonstrate compliance with the relevant criteria.

### 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> 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>	<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 indoors and outdoors, 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> <li>• be involved in decision-making concerning their child's learning?</li> </ul>			
	<i>Criterion C13</i> 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?			
<b>5</b>	<b>Documentation</b>			
	Is there documentation that provides evidence of the service's compliance with criteria C1 to C13?			

## Criteria to assess curriculum standard

Please tick all questions including bullet points.		Yes	No	Unsure
	<p><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></p> <p>1. A process for providing positive guidance to encourage social competence in children (C10);</p>			
	<p>2. A process for providing formal and informal opportunities for parents to:</p> <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>			
	<p>3. A record of information and guidance sought from agencies and/or services (C13).</p>			
<b>6</b>	<p><b>Curriculum Framework - The Principles</b></p> <p>Has the service provider ensured that:</p>			
	<ul style="list-style-type: none"> <li>• The service's curriculum empowers children to learn and grow?</li> </ul>			
	<ul style="list-style-type: none"> <li>• The service's curriculum reflects the holistic way children learn and grow?</li> </ul>			
	<ul style="list-style-type: none"> <li>• The wider world of family and community is an integral part of early childhood curriculum?</li> </ul>			
<b>7</b>	<p><b>The Strands</b></p> <p>The health and well-being of the child are protected and nurtured?</p>			
	<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 centre meets the minimum premises and facilities standard and the licensing criteria in terms of the regulatory requirements, and that the service provider has the required documentation to demonstrate compliance with the relevant criteria including other relevant legislative requirements.

### Criteria to assess premises and facilities standard.

Please tick all questions including bullet points.		Yes	No	Unsure
1	<p><i>Criterion PF1</i></p> <p>Does the design and layout of the premises:</p> <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>			
	<p><i>Criterion PF2</i></p> <p>Does the design and layout of the premises support effective adult supervision so that children’s access to the licensed space (indoor and outdoor) is not unnecessarily limited?</p>			
2	<p><b>General</b></p> <p><i>Criterion PF3</i></p> <p>Do the premises conform to any relevant bylaws of the local authority and the Building Act 2004?</p>			
	<p><i>Documentation:</i></p> <p>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.</p>			
	<p>2. If the premises fall under section 100 of the Building Act 2004, or section 108 of the Building Act 2004 applies:</p> <ul style="list-style-type: none"> <li>○ a copy of the current Annual Building Warrant of Fitness; or</li> <li>○ a copy of the compliance schedule if 12 months have not elapsed since the compliance schedule was first issued.</li> </ul>			
	<p><i>Criterion PF4</i></p> <p>Are sufficient quantity of (indoor and outdoor) furniture, equipment, and materials provided that are appropriate for the learning and abilities of the children attending?</p>			

Criteria to assess premises and facilities standard.

Please tick all questions including bullet points.	Yes	No	Unsure
<p><i>Criterion PF5</i> Are all indoor and outdoor items and surfaces, furniture, equipment and materials safe and suitable for their intended use?</p>			
<p><i>Criterion PF6</i> Are floor surfaces durable, safe, and suitable for the range of activities to be carried out at the service (including wet and messy play), and can they easily be kept clean?</p>			
<p><i>Criterion PF7</i> Are any windows or other areas of glass accessible to children either:</p> <ul style="list-style-type: none"> <li>• made of safety glass; or</li> </ul>			
<ul style="list-style-type: none"> <li>• covered by an adhesive film designed to hold the glass in place in the event of it being broken; or</li> </ul>			
<ul style="list-style-type: none"> <li>• effectively guarded by barriers which prevent a child striking or falling against the glass?</li> </ul>			
<p><i>Criterion PF8</i> Are there sufficient spaces for equipment and material to be stored safely?</p>			
<p>Can stored equipment and materials be easily accessed by adults, and where practicable, by children?</p>			
<p><i>Criterion PF9</i> Is there space for adults working at the service to:</p> <ul style="list-style-type: none"> <li>• use for planned breaks;</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>			
<p><i>Criterion PF10</i> Are there hygienic facilities (other than those required for PF26) or alternative arrangements available for the preparation and cleaning of paint and other art materials?</p>			
<p><i>Criterion PF11</i> Is there a telephone on which calls can be made to and from the service?</p>			
<p><i>Criterion PF12</i> Do parts of the building or buildings 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);</li> </ul>			

Criteria to assess premises and facilities standard.

Please tick all questions including bullet points.		Yes	No	Unsure
	<ul style="list-style-type: none"> <li>a safe and effective means of maintaining a room temperature of no lower than 18 degrees C; and</li> </ul>			
	<ul style="list-style-type: none"> <li>acoustic absorption materials, if necessary, to reduce noise levels that may negatively affect children's learning or wellbeing?</li> </ul>			
	<p><i>Criterion PF13</i> Is outdoor activity space:</p> <ul style="list-style-type: none"> <li>connected to the indoor activity space and can be easily and safely accessed by children;</li> </ul>			
	<ul style="list-style-type: none"> <li>safe, well-drained, and suitably surfaced for a variety of activities;</li> </ul>			
	<ul style="list-style-type: none"> <li>enclosed by structures and/or fences and gates designed to ensure that children are not able to leave the premises without the knowledge of adults providing education and care;</li> </ul>			
	<ul style="list-style-type: none"> <li>not unduly restricted by Resource Consent conditions with regards to its use by the service to provide for outdoor experiences; and</li> </ul>			
	<ul style="list-style-type: none"> <li>available for the exclusive use of the service during hours of operation?</li> </ul>			
	<p><i>Criterion PF14</i> Are there safe and comfortable (indoor and outdoor) spaces 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?  [Applies only to services licensed for under 2 year olds]</p>			
<b>3</b>	<p><b>Food preparation and eating spaces</b></p> <p><i>Criterion PF15</i> Is there a safe and hygienic place for children attending to sit when eating?</p>			
	<p><i>Criterion PF16</i> Are there facilities for the hygienic preparation, storage and/or serving of food and drink that contain:</p> <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>			

Criteria to assess premises and facilities standard.

Please tick all questions including bullet points.		Yes	No	Unsure
	<ul style="list-style-type: none"> <li>storage; and</li> </ul>			
	<ul style="list-style-type: none"> <li>food preparation surfaces that are impervious to moisture and can be easily maintained in a hygienic condition?</li> </ul>			
	<p><i>Criterion PF17</i> Are kitchen and cooking facilities or appliances designed, located, or fitted with safety devices to ensure that children cannot access them without assistance or supervision?</p>			
<b>4</b>	<p><b>Toilet and handwashing facilities</b></p> <p><i>Criterion PF18</i> Is there at least 1 toilet for every 1-15 persons? (Persons are defined as children aged two and older and teaching staff that count towards the required adult:child ratio.)</p>			
	<p><i>Criterion PF19</i> Is there at least 1 tap delivering warm water (over an individual's or shared hand basin) for every 15 persons (or part thereof) at the service (that is to say, children attending and adults counting towards the required adult:child ratio)?</p>			
	<p><i>Criterion PF20</i> Are toilet and associated handwashing/drying facilities intended for use by children:</p> <ul style="list-style-type: none"> <li>designed and located to allow children capable of independent toileting to access them safely without adult help; and</li> </ul>			
	<ul style="list-style-type: none"> <li>adequately separated from areas of the service used for play or food preparation to prevent the spread of infection?</li> </ul>			
	<p><i>Criterion PF21</i> Is there a means of drying hands for children and adults that prevents the spread of infection?</p>			
	<p><i>Criterion PF22</i> Is at least one of the toilets for use by children designed to provide them with a sense of privacy?</p>			
	<p><i>Criterion PF23</i> Is there a toilet suitable for adults to use?</p>			
<b>5</b>	<p><b>Other sanitary facilities</b></p> <p><i>Criterion PF24</i></p>			

Criteria to assess premises and facilities standard.

Please tick all questions including bullet points.	Yes	No	Unsure
Is a tempering valve or other accurate means of limiting hot water temperature installed for the requirements of criterion HS13 to be met?			
<i>Criterion PF25</i> Are there safe and stable nappy changing facilities that can be kept hygienically clean?			
Are these facilities located in a designated area near to handwashing facilities, and adequately separated from areas of the service used for play or food preparation to prevent the spread of infection?			
Do the design, construction, and location of the facilities ensure that: <ul style="list-style-type: none"> <li>• they are safe and appropriate for the age/weight and number of children needing to use them;</li> </ul>			
<ul style="list-style-type: none"> <li>• children’s independence can be fostered as appropriate;</li> </ul>			
<ul style="list-style-type: none"> <li>• children’s dignity and right to privacy is respected; and</li> </ul>			
<ul style="list-style-type: none"> <li>• some visibility from another area of the service is possible?</li> </ul>			
<i>Criterion PF26</i> Are there suitable facilities for washing sick or soiled children; and			
a procedure outlining how hygiene and infection control outcomes will be met when washing sick and soiled children?			
<i>Documentation:</i> A procedure outlining how the service will ensure hygiene and infection control outcomes are met when washing sick or soiled children.			
<i>Criterion PF27</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 PF28</i> Is there a first aid kit that:			
<ul style="list-style-type: none"> <li>• complies with the requirements of Appendix 1 of the <i>Licensing Criteria for Early Childhood Education and Care Centres 2008</i>;</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
	<ul style="list-style-type: none"> <li>is inaccessible to children?</li> </ul>			
<b>6</b>	<b>Sleep</b>  <i>Criterion PF29</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 are of a design to ensure their safety?			
	<i>Criterion PF30</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 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 PF31</i> Are clean individual bedding (such as blankets, sheets, sleeping bags, and pillowslips) provided for sleeping or resting children that is sufficient to keep them warm?			
	<i>Criterion PF32</i> <b>SESSIONAL SERVICES ONLY:</b> Is a safe and comfortable place to sleep (such as a bed, stretcher, mattress, or couch) available for children aged two and older that require sleep or rest during a session?			
	<i>Criterion PF33</i> <b>ALL-DAY SERVICES ONLY:</b> Is space available for children aged two and older to sleep or rest for a reasonable period of time each day?			
	If space used for sleeping or resting is part of the activity space, are there alternative spaces for children not sleeping or resting as necessary?			
	<i>Criterion PF34</i> <b>ALL-DAY SERVICES ONLY:</b> Are furniture or items intended for children to sleep on (such as cots, beds, stretchers, or mattresses) available for the sleep or rest of children aged two and older?			
<i>Criterion PF35</i> <b>SESSIONAL SERVICES ONLY:</b>				

Criteria to assess premises and facilities standard.

Please tick all questions including bullet points.		Yes	No	Unsure
	Is a designated space available to support the provision of a restful sleep for children under the age of two at any time they are attending?			
	<i>Criterion PF35 cont'd below</i>			
	Is this space located and designed to: <ul style="list-style-type: none"> <li>• minimise fluctuations in temperature, noise and lighting levels;</li> </ul>			
	<ul style="list-style-type: none"> <li>• allow adequate supervision; and</li> </ul>			
	<ul style="list-style-type: none"> <li>• accommodate at least the requirements of criterion PF36, when arranged in accordance with criterion HS10</li> </ul>			
	<i>Criterion PF36</i> <i>SESSIONAL SERVICES ONLY:</i> Are furniture or items intended for children to sleep on (such as cots, stretchers, or mattresses) provided at a ratio of at least one to every 5 children under the age of two?			
	<i>Criterion PF37</i> <i>ALL-DAY SERVICES ONLY:</i> Is a designated space available to support the provision of restful sleep for children under the age of two at any time they are attending?			
	Is this space located and designed to: <ul style="list-style-type: none"> <li>• minimise fluctuations in temperature, noise and lighting levels;</li> </ul>			
	<ul style="list-style-type: none"> <li>• allow adequate supervision; visibility from another area of the service; and</li> </ul>			
	<ul style="list-style-type: none"> <li>• accommodate at least the requirements of Criterion PF38, when arranged in accordance with Criterion HS10?</li> </ul>			
	<i>Criterion PF38</i> <i>ALL-DAY SERVICES ONLY:</i> Are furniture and items intended for children to sleep on (such as cots, beds, stretchers, or mattresses) provided at a ratio of at least one to every 2 children under the age of two?			
<b>7</b>	<b>Facilities for persons with disabilities</b> Are there access and facilities for persons with disabilities to and within the centre's building? <i>[This is the building owner's responsibility].</i>			
<b>8</b>	<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> <a href="#">(external link)</a> (Standards NZ website) and</li> </ul>			

Criteria to assess premises and facilities standard.

Please tick all questions including bullet points.	Yes	No	Unsure
<ul style="list-style-type: none"> <li>• <a href="#">NZS 8500:2006 'Safety barriers and fences around swimming pools' (external link)</a> (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 and 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 displayed near the nappy changing facilities and consistently implemented?			
	<i>Documentation:</i> A procedure for the changing (and disposal, if appropriate) of nappies. A procedure that 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> Are the premises located in a building that has a current Fire Evacuation Scheme that is approved by Fire and Emergency New Zealand?			
	<i>Documentation:</i> A current Fire Evacuation Scheme approved by Fire and Emergency New Zealand.			
	<i>Criterion HS5</i> Are there designated assembly areas for evacuation purposes outside the building to keep children safe from further risk?			

## Criteria to assess Health and safety practices standard

Please tick all questions including bullet points.		Yes	No	Unsure
	<p><i>Criterion HS6</i> Are heavy furniture, fixtures, and equipment that could fall or topple and cause serious injury or damage are secured?</p>			
	<p><i>Criterion HS 7</i> Is there a written emergency plan and supplies to ensure the care and safety of the children and adults at the service?</p>			
	Does the plan include evacuation procedures for the service's premises, which apply in a variety of emergency situations and which are consistent with the Fire Evacuation Scheme for the building?			
	<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>Details of the roles and responsibilities that will apply during an emergency situation.</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 HS8</i> Are adults providing education and care familiar with relevant emergency drills and carry these out each type of drill with children (as appropriate) 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>			
<b>3</b>	<p><b>Sleep</b> <i>Criterion HS9</i> Is a procedure for monitoring children's sleep displayed and implemented and a record of children's sleep times kept?</p>			
	<p><i>Documentation:</i> 1. A procedure for monitoring children's sleep. The procedure ensures that children:</p> <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 5 – 10 minutes, or more frequently according to individual needs?</li> </ul>			

## Criteria to assess Health and safety practices standard

Please tick all questions including bullet points.		Yes	No	Unsure
	2. A record of the time each child attending the service sleeps, and checks made by adults during that time.			
	<i>Criterion HS10</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 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 HS11</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?			
<b>4</b>	<b>Hazards and excursions</b>			
	<i>Criterion HS12</i> Are the equipment, premises and facilities checked every day of operation for hazards to the children?			
	Are accident/incident records analysed to identify hazards and appropriate action is then taken?			
	Are hazards to the safety of children eliminated, isolated, or minimised?			
	Consideration of hazards must include but are not limited to: <ul style="list-style-type: none"> <li>cleaning agents, medicines, poisons, and other hazardous materials;</li> </ul>			
	<ul style="list-style-type: none"> <li>electrical sockets and appliances (particularly heaters);</li> </ul>			
	<ul style="list-style-type: none"> <li>hazards present in kitchen or laundry facilities;</li> </ul>			
	<ul style="list-style-type: none"> <li>vandalism, dangerous objects, and foreign materials (e.g. broken glass, animal droppings);</li> </ul>			
	<ul style="list-style-type: none"> <li>the condition and placement of learning, play and other equipment;</li> </ul>			
	<ul style="list-style-type: none"> <li>windows and other areas of glass;</li> </ul>			
	<ul style="list-style-type: none"> <li>poisonous plants; and</li> </ul>			
	<ul style="list-style-type: none"> <li>bodies of water.</li> </ul>			
	<i>Documentation:</i> A documented risk management system.			

## Criteria to assess Health and safety practices standard

Please tick all questions including bullet points.	Yes	No	Unsure
<p><i>Criterion HS13</i> Is the temperature of warm water delivered from taps that are accessible to children no higher than 40 degrees C, and comfortable for children at the centre to use?</p>			
<p><i>Criterion HS14</i> Is water stored in any hot water cylinder kept at a temperature of at least 60 degrees C?</p>			
<p><i>Criterion HS15</i> 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?</p>			
<p><i>Criterion HS16</i> Are safe and hygienic handling practices implemented with regard to any animals at the service?</p>			
<p>Are all animals able to be restrained?</p>			
<p><i>Criterion HS17</i> When Children leave the premises on an excursion:</p> <ul style="list-style-type: none"> <li>• Is assessment and management of the risks undertaken, and</li> </ul>			
<ul style="list-style-type: none"> <li>• are adult:child ratios determined accordingly?</li> </ul>			
<ul style="list-style-type: none"> <li>• Are ratios not less than the required adult:child ratio?</li> </ul>			
<ul style="list-style-type: none"> <li>• Are the first aid requirements in criterion HS25 met in relation to those children and any children remaining at the premises?</li> </ul>			
<ul style="list-style-type: none"> <li>• Have parents/caregivers given prior written approval of their child's participation and of the proposed ratio for:               <ol style="list-style-type: none"> <li>i. regular excursions at the time of enrolment; and</li> </ol> </li> </ul>			
<ol style="list-style-type: none"> <li>ii. special excursions prior to the outing or excursion taking place; and</li> </ol>			
<ol style="list-style-type: none"> <li>iii. are there communication systems in place so that people know where the children are, and adults communicate with others as necessary?</li> </ol>			
<p>When children leave the premises on a regular or special excursion, is the excursion approved by the Person Responsible?</p>			
<p>Documentation A record of excursions that includes:</p> <ul style="list-style-type: none"> <li>• the names of adults and children involved;</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 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;</li> </ul>			
	<ul style="list-style-type: none"> <li>adult:child ratios;</li> </ul>			
	<ul style="list-style-type: none"> <li>evidence of parental permission and approval of adult:child ratios for regular excursions;</li> </ul>			
	<ul style="list-style-type: none"> <li>evidence of parental permission and approval of adult:child ratios for special excursions and</li> </ul>			
	<ul style="list-style-type: none"> <li>the signature of the Person Responsible for giving approval for the excursion to take place.</li> </ul> <p><i>'Person Responsible' is the person(s) nominated for the purpose by the service provider; being persons who are directly involved in, and primarily responsible for, the day-to-day education and care, comfort, and health and safety of the children;</i></p>			
	<p><i>Criterion HS18</i></p> <p>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?</li> </ul>			
	<ul style="list-style-type: none"> <li>are the required adult:child ratios maintained, 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 (unless the child is travelling with their parent)?</li> </ul> <p><i>Documentation:</i> Evidence of parental permission for any travel by motor vehicle. In most cases, this requirement will be met by the excursion records required for <i>critierion HS17</i>. Services that provide transport for children to and/or from the service must also gain written permission from a parent upon enrolment.</p>			
<b>5</b>	<p><b>Food and drink</b></p> <p><i>Criterion HS19</i></p> <p>Is food served at appropriate times to meet nutritional needs of each child while they are attending?</p>			
	<p>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?</p>			

## Criteria to assess Health and safety practices standard

Please tick all questions including bullet points.		Yes	No	Unsure
	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 during the service's hours of operation (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 HS20</i> Is food prepared, served, and stored hygienically?			
	<i>Criterion HS21</i> Is an ample supply of water that is fit to drink available for children at all times, and are older children able to access this water independently?			
	<i>Criterion HS22</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 HS23</i> <i>APPLIES ONLY TO SERVICES LICENSED FOR UNDER 2 YEAR OLDS:</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 food given to a child under the age of 12 months of a type approved by the child's parent?			
<b>6</b>	<b>Child health and wellbeing</b>			
	<i>Criterion HS24</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 HS25</i> Is an adult present at all times for every 25*children attending (or part thereof) 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>			

## 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 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> <p><i>*(Note: applies from 8 April 2021)</i></p>			
<p>If a child is injured, is any required first aid administered or supervised by an adult meeting these requirements?</p>			
<p><i>Documentation:</i> Copies of current first aid (or medical practising) certificates for adults counting towards this requirement.</p>			
<p><i>Criterion HS26</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?</p>			
<p><i>Specifically:</i></p> <ul style="list-style-type: none"> <li>Is the action specified in Appendix 2 of the Licensing Criteria for Early Childhood Education and Care Centres 2008 taken for any person (adult or child) suffering from particular infectious diseases?</li> </ul>			
<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>			
<p><i>Criterion HS27</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 the parents have been notified/informed.</li> </ul>			



## Criteria to assess Health and safety practices standard

Please tick all questions including bullet points.		Yes	No	Unsure
	2. A procedure outlining the service's response to injury, illness, and incident, including the review and implementation of practices as required.			
	<i>Criterion HS28</i> Medicine (prescription and non-prescription) is not given to a child unless it is given:			
	• by a doctor or ambulance personnel in an emergency; or			
	• by the parent of the child; or			
	• with the written authority (appropriate to the category of medicine) of a parent.			
	Medicines are stored safely and appropriately, and are disposed of or sent home with a parent (if supplied in relation to a specific child) after the specified time.			
	<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 3.			
	2. A record of all medicine (prescription and non-prescription) given to children attending the service. Records include:			
	• name of the child;			
	• name and amount of medicine given;			
	• date and time medicine was administered and by whom; and			
	• evidence of parental acknowledgement.			
	<i>Criterion HS29</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 HS30</i> Are children washed when they are soiled or pose a health risk to themselves or others?			
<b>7</b>	<b>Child protection</b>			
	<i>Criterion HS 31</i>			

## Criteria to assess Health and safety practices standard

Please tick all questions including bullet points.	Yes	No	Unsure
1. Is there a written child protection policy that meets the requirements of the Children’s Act 2014?			
2. 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?			
3. 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			
<i>Criterion HS32</i> Are all practicable steps taken to protect children from exposure to inappropriate material (for example, of an explicitly sexual or violent nature)?			
<i>Criterion HS33</i> Has the service provider ensured that no person on the premises uses, or is under the influence of, alcohol or any other substance that has a detrimental effect on their functioning or behaviour during the service’s hours of operation?			
<i>Notification</i>			
<i>Criterion HS34</i> <ul style="list-style-type: none"> <li>• Has the service notified a specified agency* where there is a serious injury or illness 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>			
[Note: *specified agency is defined to include the NZ Police; Ministry of Health; Oranga Tamariki; Worksafe NZ, and the Teaching Council. Please tick N/A if no serious injury/incident had occurred]			

Criteria to assess Health and safety practices standard

Please tick all questions including bullet points.	Yes	No	Unsure
<i>Documentation:</i> A copy of the notification sent to the specified agency.			



## 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 that it 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>Involvement of parents</b>			
	<i>Criterion GMA1</i> Are the following prominently displayed at the service for parents and visitors: the Education (Early Childhood Services) Regulations 2008, and the Licensing Criteria for Early Childhood and Care Centres 2008?			
	the full names and qualifications of each person counting towards regulated qualification requirements?			
	the service's current licence certificate?			
	a procedure people should follow if they wish to complain about non-compliance with Regulations or criteria?			
	<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 MOE office and provides contact details.			
	<i>Criterion GMA2</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 ERO report regarding the service?</li> </ul>			
	<i>Documentation</i> Written information letting parents know 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; and</li> </ul>				
<ul style="list-style-type: none"> <li>the most recent ERO report regarding the service.</li> </ul>				

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.		Yes	No	Unsure
	<i>Criterion GMA3</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 services;</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 consultation?</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> <li>• any fees charged by the service;</li> <li>• the amount and details of the expenditure of any Ministry of Education funding received by the service; and</li> <li>• about any planned reviews and consultation.</li> </ul>			
<b>2</b>	<b>Professional practices</b> <i>Criterion GMA5</i> Is there a philosophy statement that guides the service's operation?			
	<i>Documentation:</i> A written statement expressing the service's beliefs, values, and attitudes about the provision of early childhood education and care.			
	<i>Criterion GMA6</i> Is there an ongoing process of self-review to help the service maintain and improve the quality of its education and care.			
	<i>Documentation:</i>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.	Yes	No	Unsure
<p>1. A process of reviewing and evaluating the service’s operation (for example, learning and teaching practices, philosophy, policies, and procedures) by the people involved in the service. The process is consistent with criterion GMA4/GMA3, 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 (NELP) in its operation.</p> <p>Refer to guidance under <a href="#">GMA6 Self-review</a></p>			
<p><i>Criterion GMA7</i> Are suitable human resource management practices implemented?</p>			
<p><i>Documentation:</i> Processes for human resource management; including:</p>			
<ul style="list-style-type: none"> <li>• selection and appointment procedures;</li> </ul>			
<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</li> </ul>			
<ul style="list-style-type: none"> <li>• discipline/dismissal procedures.</li> </ul>			
<p><i>Criterion GMA7A</i> Ensured that before a person is employed or engaged as a children’s worker, as defined in the Children’s Act 2014, a safety check as required by that Act must be completed?</p>			
<p>Is a detailed record of each component of the safety check kept, and the date on each step taken recorded, including the date of the risk assessment required to be completed after all relevant information is obtained?</p>			
<p>Are these records kept by, or available to, the service provider as long as the person is employed or engaged?</p>			
<p>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]</p>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.		Yes	No	Unsure
	[Refer to MOE Guidance on the components of the safety check, and periodic rechecking] <a href="#">GMA7A Safety Checking</a>			
	<i>Documentation</i> 1. a written procedure for safety checking all children’s workers before employment or engagement of the worker commences that meets the safety checking requirements of the Children’s Act 2014.			
	2. a record of all safety checks and the results. [Refer to question 11 below for further guidance]			
<b>3</b>	<b><i>Planning and documentation</i></b> <i>Criterion GMA8</i> Is there an annual plan to guide the service’s operation?			
	<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 ( <a href="#">NELP</a> ) Refer to MOE website – under guidance <a href="#">GMA8 Annual plan</a>			
	<i>Criterion GMA9</i> Is there an annual budget to guide 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:			
	• staffing costs, including leave entitlements;			
	• professional development costs;			
	• equipment and material costs for the ongoing purchase of new equipment and consumable materials; and			
	• provision for operational costs (such as electricity, telephone, food purchases, and other day to day items) and maintenance of the premises as appropriate.			
	<i>Criterion GMA10</i> Are enrolment records maintained for each child attending?			
	Are records kept for at least 7 years?			
	<i>Documentation:</i> Enrolment records for each child currently attending and for those who have attended in the previous 7 years. Records meet the requirements of the Early Childhood Education Funding Handbook and include at least:			
	• the child’s full name, date of birth, and address;			
• the name and address of at least 1 parent;				
• details of how at least 1 parent (or someone nominated by them) can be contacted while the child attends the service;				



## 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 name of the medical practitioner (or medical centre) who should, if practicable, be consulted if the child is ill or injured;</li> </ul>			
	<ul style="list-style-type: none"> <li>• details of any chronic illness/condition that the child has, and of any implications or actions to be followed in relation to that illness/condition;</li> </ul>			
	<ul style="list-style-type: none"> <li>• the names of the people authorised by the parent to collect the child; and</li> </ul>			
	<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 GMA11</i></p> <p>Is an attendance record maintained that shows the times and dates of every child's attendance at the service? Are records kept for at least 7 years?</p>			
<p>Documentation:</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 GMA12</i></p> <p>Is required documentation made available as appropriate to parents and government officials having right of entry to the service under section 626 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>				
<b>4</b>	<p><b>Health Immunisation</b></p> <p>Are there policies or procedures in place to ensure the requirements of the Health (Immunisation ) Regulations 1995 are met?</p> <p>Refer -<a href="#">Immunisation Guidelines for Early Childhood Services and ...</a></p>			
<b>5</b>	<p><b>Privacy Act 2020</b></p> <p>Are there policies and procedures in place to ensure the requirements of the Privacy Act 2020* are met in relation to information about children and the parents/caregivers of those children who attend the service; and</p>			
	<p>Are these policies/procedures regularly reviewed and implemented appropriately?</p>			
<b>6</b>	<p><b>Human Rights</b></p> <p>Are there policies/procedures to ensure compliance with the Human Rights Act 1993, and</p>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.		Yes	No	Unsure
	Are these policies/procedures regularly reviewed and implemented appropriately?			
<b>7</b>	<b>Staff appointments and teacher registration</b> Has the service provider as employer regularly reviewed the following at least once a year, and appropriately implemented:			
	<ul style="list-style-type: none"> <li>• the staff appointment process?</li> </ul>			
	<ul style="list-style-type: none"> <li>• the staff professional development programme, and outcomes?</li> </ul>			
	<ul style="list-style-type: none"> <li>• the EEO programme? [good practice]</li> </ul>			
	<i>For Kindergartens only:</i> <ul style="list-style-type: none"> <li>• teacher registration – including practising certificates and LATs?</li> </ul>			
	<ul style="list-style-type: none"> <li>• the provisionally registered teachers’ induction programme?</li> </ul>			
	<i>For all other licensed services:</i> <ul style="list-style-type: none"> <li>• teacher registration for the ‘person responsible’ in the service?</li> </ul>			
	<ul style="list-style-type: none"> <li>• The induction programme for any ‘person responsible’ who is provisionally registered?</li> </ul>			
<b>8</b>	<b>Police vetting</b> Has the service provider obtained a Police vet for every person:			
	<ul style="list-style-type: none"> <li>a) whom the service provider appoints or intends to appoint to a position at the early childhood service; and</li> </ul>			
	<ul style="list-style-type: none"> <li>b) who is to work at the service during normal opening hours; and</li> </ul>			
	<ul style="list-style-type: none"> <li>c) who is not a registered teacher or holder of a limited authority to teach [LAT]?</li> </ul>			
	<ul style="list-style-type: none"> <li>d) 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?</li> </ul>			
	Has the service provider ensured that the Police vet is obtained before every person’s employment or engagement in paragraph (a) begins; and before every contractor or their employee in paragraph (d) has, or is likely to have unsupervised access to students at the service during normal opening hours?			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.		Yes	No	Unsure
	<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> <p>References: s 25 E&amp;T Act 2020, Clauses 1,2, and 8 Schedule 4 Education and Training Act 2020.</p> <p><a href="#">25 Police vetting in respect of early childhood services</a></p> <p><a href="#">Schedule 4 Police vetting</a></p>			
<b>9</b>	<p><b>Fit and Proper Persons</b></p> <p>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?</p> <p>[Ref: Regulation 7 and 35 of the Education (Early Childhood Services) Regulations 2008 ]</p> <p><a href="#">7 Applicant must make statutory declaration</a></p> <p><a href="#">35 Continuing duty to advise of change of circumstances</a></p> <p>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 Education (Early Childhood Services) Regulations 2008]</p>			
<b>10</b>	<p><b>Reporting to 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: [Write N/A if not applicable]</p> <p>i. When a teacher has been dismissed for any reason (section 489 )?</p> <p><a href="#">489 Mandatory reporting of dismissals and resignations</a></p>			
	<p>ii. 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>iii. 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>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.		Yes	No	Unsure
	<p>iv. If the employer has reason to believe that a teacher has engaged in serious misconduct (section 491)?</p> <p style="color: #00A651;">Mandatory reporting of possible serious misconduct</p>			
	<p>v. 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 style="color: #00A651;">492 Mandatory reporting of failure to reach required level of competence</p>			
<b>11</b>	<p><b>Children’s Act 2014 -Safety Checking of Workforce</b></p> <p>For persons that the service provider proposes to employ or engage as a paid children’s worker *, 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;</p> <p style="text-align: center;">or</p> <p>b) checking a original primary identity document (eg NZ passport); and a secondary identity document (eg NZ driver licence);</p> <p><i>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];</i></p>			
	<p>c) ** searching the service provider’s personnel records to check whether the identity is being used or has been used by any person currently or previously employed/engaged by the service provider after having sighted the documents in (a) or (b) including the matters under ‘Note’ above.</p>			
	<p><i>Criminal Convictions</i></p> <p>d) obtaining and considering information from NZ Police vet</p> <p>[Note: no need for Police vet if the person already had one in the last three years or person is a registered teacher] Other Information</p>			
	<p><i>Other Information</i></p> <p>e) obtaining and considering a chronological summary of work history for preceding five years from the person; and</p>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.	Yes	No	Unsure
f) whether person is registered with the Teaching Council, and if so, service management 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>Question 11 (Cont'd)</b>  <i>Risk Assessment</i> 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			
Note: i. *Children’s workers who are core workers 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. ii. the above checks now apply to core workers and non-core workers. iii. **the purpose of paragraph (c) is to establish that the proposed worker is the sole claimant of the identity. iv. For details the service provider should refer to the relevant provisions of the Children’s Act 2014, and regulations 5 – 8 of the Children’s (Requirements for Safety Checks of Children’s Workers) Regulations 2015 – <a href="http://www.legislation.govt.nz">www.legislation.govt.nz</a> . 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> vi. Seek independent advice if you are uncertain. vii. Keep accurate records about each aspect of the safety checking process			

Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.	Yes	No	Unsure



