



**EDUCATION REVIEW OFFICE**  
Te Tari Arotake Mātauranga

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

For Services Licensed under 2008 Regulatory Framework

August 2023

## How to fill out the Self-Audit Checklists and Hospital-based Education and Care Assurance Statement

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

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

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

**Please remember to attach your checklists to your Hospital-based Education and Care Assurance Statement.**

## Hospital-based Education and Care Assurance Statement

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

**From:**       **The Service Provider**

(Name of Hospital-Based Care)

.....

### 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*

.....

**Name**

**Signature**

**Date**

#### *Person Responsible*

.....

**Name**

**Signature**

**Date**



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

### What does ERO want to know?

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

### Criteria to assess curriculum standard

Please tick all questions including bullet points.		Yes	No	Unsure
<b>1</b>	<b>Professional Practice</b>			
	<i>Criterion C1</i> Is the service curriculum consistent with any prescribed curriculum framework that applies to the service?			
	<i>Criterion C2</i> Is the service curriculum informed by assessment, planning, and evaluation (documented and undocumented) that demonstrates an understanding of children’s learning, their interests, whānau, and life contexts?			
	<i>Criterion C3</i> Do adults providing education and care engage in meaningful, positive interactions to enhance children’s learning and nurture reciprocal relationships?			
	<i>Criterion C4</i> Do the practices of adults providing education and care demonstrate an understanding of children’s learning and development, and knowledge of relevant theories and practice in early childhood education?			
<b>2</b>	<b>Culture and identity</b>			
	<i>Criterion C5</i> Does the service curriculum acknowledge and reflect the unique place of Māori as tangata whenua?			
	Are children given the opportunity to develop knowledge and an understanding of the cultural heritages of both parties to Te Tiriti o Waitangi?			
	<i>Criterion C6</i>			

## Criteria to assess curriculum standard

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

## Criteria to assess curriculum standard

Please tick all questions including bullet points.		Yes	No	Unsure
	Is information and guidance sought when necessary from agencies/services to enable adults providing education and care to work effectively with children and their parents?			
5	<b>Documentation</b> Is there documentation that provides evidence of the service's compliance with criteria C1 to C13?			
	<i>Note: Documentation may take a variety of forms to suit the service's operation (such as portfolios, wall displays, policies and procedures) but must include:</i>			
	1. A process for providing positive guidance to encourage social competence in children (C10);			
	2. A process for providing formal and informal opportunities for parents to: <ul style="list-style-type: none"> <li>communicate with adults providing education and care about their child, and share specific evidence of the child's learning; and</li> </ul>			
	• be involved in decision-making concerning their child's learning (C12).			
	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	<b>General</b>			
	<i>Criterion PF1</i> Has the hospital from which the service operates been granted certification under the Health and Disability Services (Safety) Act 2001 either:			
	<ul style="list-style-type: none"> <li>For a period of at least 3 years; or</li> </ul>			
	<ul style="list-style-type: none"> <li>For a period of less than 3 years, but the lesser period of certification does not reflect problems identified with requirements relating to the hospital's premises and facilities that would affect children participating in the ECE service?</li> </ul>			
	<i>Documentation:</i> 1. Copy of the current certificate issued to the hospital under the Health and Disability Services (Safety) Act 2001;and			
	2. If the certificate denotes a certification period of less than 3 years, a copy of the Corrective Action Plan from the hospital's Audit Report, showing that failure to meet premises and facilities requirements that affect children participating in the ECE service is not the reason for a shorter certification period being granted.			
	<i>Criterion PF2</i> Is there a sufficient quantity and variety of furniture, equipment, and materials provided that is appropriate for the learning and abilities of the children participating in the service?			
<i>Criterion PF3</i> Are all indoor and outdoor items and surfaces, furniture, equipment and materials safe and suitable for their intended use?				

Criteria to assess premises and facilities standard.

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

Criteria to assess premises and facilities standard.

Please tick all questions including bullet points.	Yes	No	Unsure
<p><i>Criterion PF12</i></p> <p>Are there facilities (or appropriate arrangements in place) for hygienic hand washing and drying in any ECE Activity Room?</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>General</b>			
	<i>Criterion HS1</i> Has the hospital from which the service operates been granted certification under the Health and Disability Services (Safety) Act 2001 either:			
	<ul style="list-style-type: none"> <li>for a period of at least 3 years; or</li> </ul>			
	<ul style="list-style-type: none"> <li>for a period of less than 3 years, but the lesser period of certification does not reflect problems identified with requirements relating to the hospital's health and safety practices that would affect children participating in the ECE service?</li> </ul>			
	<i>Documentation:</i> 1. Copy of the current certificate issued to the hospital under the Health and Disability Services (Safety) Act 2001, and;			
	2. If the certificate denotes a certification period of less than 3 years, a copy of the Corrective Action Plan from the hospital's Audit Report, showing that failure to meet health and safety practices requirements that affect children participating in the ECE service is not the reason for a shorter certification period being granted			
	<i>Criterion HS2</i> Are premises, furniture, furnishings, fittings, equipment, and materials used by children as part of the ECE programme kept safe, hygienic and maintained in good condition?			
<i>Criterion HS3</i> Are there designated assembly areas for evacuation purposes outside the building to keep children safe from further risk?				
<i>Criterion HS4</i> Are adults who are providing education and care familiar with relevant emergency drills?				

## Criteria to assess Health and safety practices standard

Please tick all questions including bullet points.	Yes	No	Unsure
<p><i>Documentation:</i> A record of the emergency drills carried out.</p>			
<p><i>Criterion HS5</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 HS6</i> When children leave the premises on an excursion:</p> <ul style="list-style-type: none"> <li>• Is assessment and management of risk undertaken, and are adult:child ratios determined accordingly? And ratios are not less than the required adult:child ratio?;</li> </ul>			
<ul style="list-style-type: none"> <li>• Have parents given prior written approval of their child's participation and of the proposed ratios; and</li> </ul>			
<ul style="list-style-type: none"> <li>• Are there communication systems in place so that people know where the children are, and adults can communicate with others as necessary?</li> </ul>			
<p><i>Documentation:</i> A record of excursions. Records include:</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>• assessment and management of risk; and</li> </ul>			
<ul style="list-style-type: none"> <li>• evidence of parental permission.</li> </ul>			
<p><i>Criterion HS7</i> If children are travelling 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>			

## 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 required adult:child ratios maintained; and</li> </ul>			
	<ul style="list-style-type: none"> <li>Is written permission of a parent of the child obtained before the travel begins (when children are not travelling with their parent)?</li> </ul>			
	<p><i>Documentation:</i></p> <ul style="list-style-type: none"> <li>Evidence of parental permission for any travel by motor vehicle as part of the ECE programme.</li> </ul>			
2	<p><b>ECE Activity Room</b></p> <p><i>Criterion HS8</i> Are ECE Activity Rooms kept at a comfortable temperature no lower than 18°C (at 500mm above the floor) while children are attending?</p>			
	<p><i>Criterion HS9</i> Are heavy furniture, fixtures, and equipment in any ECE Activity Room that could fall or topple and cause serious injury or damage secured?</p>			
	<p><i>Criterion HS10</i> Are any ECE Activity Room and equipment used by children as part of the ECE programme checked on every day of operation for hazards?</p>			
	Are hazards to the safety of children eliminated, isolated or minimised?			
	<p>Consideration of hazards must include but is not limited to:</p> <ul style="list-style-type: none"> <li>cleaning agents, medicines, poisons and other hazardous materials;</li> </ul>			
	<ul style="list-style-type: none"> <li>electrical sockets and appliances (particularly heaters);</li> </ul>			
	<ul style="list-style-type: none"> <li>vandalism, dangerous objects and foreign materials;</li> </ul>			
	<ul style="list-style-type: none"> <li>the condition and placement of equipment; and</li> </ul>			
	<ul style="list-style-type: none"> <li>bodies of water.</li> </ul>			
	<p><i>Documentation:</i> A documented risk management system.</p>			
	<p><i>Criterion HS11</i></p>			

## Criteria to assess Health and safety practices standard

Please tick all questions including bullet points.		Yes	No	Unsure
	Are all practicable steps taken to ensure that noise levels in any ECE Activity Room do not unduly interfere with normal speech and/or communication, or cause any child attending distress or harm?			
3	<b>Child Protection</b>			
	<i>Criterion HS12</i> Ensured that medicine (prescription and non-prescription) is not given to a child unless it is given by authorised personnel, in an emergency or as part of the child's treatment as a patient of the hospital?			
	<i>Criterion HS13</i> (i) Is there a written child protection policy that meets the requirements of the Children's Act 2014?			
	(ii) Does the policy contain provisions on the identification and reporting of child abuse and neglect, and information about how the service will keep children safe from abuse and neglect, and information about how the service will respond to suspected child abuse and neglect?			
	(iii) Will the policy be reviewed every three years?			
	<i>Documentation:</i> 1. The written child protection policy contains: • provisions for the service's identification and reporting of child abuse and neglect;			
	• information about practices the service employs to keep children safe from abuse and neglect; and			
	• 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 HS14</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 HS15</i>				

### Criteria to assess Health and safety practices standard

Please tick all questions including bullet points.	Yes	No	Unsure
<p>Adults who are providing education and care are not using, or are not under the influence of, alcohol or any other substance that has a detrimental effect on their functioning or behaviour while responsible for children participating in the service?</p>			
<p><i>Criterion HS16</i>            Are all practicable steps taken to ensure that children do not come into contact with any person on the premises that is under the influence of alcohol or any other substance that has a detrimental effect on their functioning or behaviour?</p>			



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

### What does ERO want to know?

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

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

Please tick all questions including bullet points.		Yes	No	Unsure
1	<b>Parent involvement and information</b>			
	<i>Criterion GMA1</i> Are the following prominently displayed in any ECE Activity Room for parents and visitors:			
	<ul style="list-style-type: none"> <li>the Education (Early Childhood Services) Regulations 2008, and the Licensing Criteria for Hospital-based Education and Care Services 2008;</li> </ul>			
	<ul style="list-style-type: none"> <li>the full names and qualifications of each person counting towards prescribed qualification requirements;</li> </ul>			
	<ul style="list-style-type: none"> <li>the service's current licence certificate; and</li> </ul>			
	<ul style="list-style-type: none"> <li>a procedure people should follow if they wish to complain about noncompliance with the Regulations or criteria.</li> </ul>			
	<i>Documentation</i> A procedure people should follow if they wish to complain about non-compliance with the Regulations or criteria. The procedure includes the option to contact the local Ministry of Education office and provides contact details.			
	<i>Criterion GMA2</i> Are parents are advised how to access:			
	<ul style="list-style-type: none"> <li>information concerning their child;</li> </ul>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.		Yes	No	Unsure
	<ul style="list-style-type: none"> <li>the service's operational documents (such as its philosophy, policies, and procedures and any other documents that set out how day to day operations will be conducted); and</li> </ul>			
	<ul style="list-style-type: none"> <li>the most recent Education Review Office report regarding the service.</li> </ul>			
	<p><i>Documentation:</i> Written information letting parents know how to access:</p> <ul style="list-style-type: none"> <li>information concerning their child;</li> </ul>			
	<ul style="list-style-type: none"> <li>the service's operational documents; and</li> </ul>			
	<ul style="list-style-type: none"> <li>the most recent Education Review Office report regarding the service.</li> </ul>			
	<p><i>Criterion GMA3</i> Is information provided to parents about:</p> <ul style="list-style-type: none"> <li>how they can be involved in the service;</li> </ul>			
	<ul style="list-style-type: none"> <li>any fees charged by the service;</li> </ul>			
	<ul style="list-style-type: none"> <li>the amount and details of the expenditure of any Ministry of Education funding received by the service; and</li> </ul>			
	<ul style="list-style-type: none"> <li>any planned reviews and consultations?</li> </ul>			
	<p><i>Documentation:</i> Written information letting parents know:</p> <ul style="list-style-type: none"> <li>how they can be involved in the service;</li> </ul>			
	<ul style="list-style-type: none"> <li>any fees charged by the service;</li> </ul>			
	<ul style="list-style-type: none"> <li>the amount and details of the expenditure of any Ministry of Education funding received by the service; and</li> </ul>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.		Yes	No	Unsure
	<ul style="list-style-type: none"> <li>about any planned reviews and consultation.</li> </ul>			
	<p><i>Criterion GMA4</i></p> <p>Are parents of children participating in the service and adults providing education and care, provided with opportunities to contribute to the development and review of the service's operational documents (such as philosophy, policies, and procedures and any other documents that set out how day to day operations will be conducted)?</p>			
	<p><i>Documentation:</i></p> <p>Evidence of opportunities provided for parents and adults providing education and care to contribute to the development and review of the service's operational documents.</p>			
2	<p><b>Professional practices</b></p> <p><i>Criterion GMA5</i></p> <p>Is there a philosophy statement that guides the service's operation?</p>			
	<p><i>Documentation:</i></p> <p>A written statement expressing the service's beliefs, values, and attitudes about the provision of early childhood education and care.</p>			
	<p><i>Criterion GMA6</i></p> <p>Is there an ongoing process of self-review that helps the service maintain and improve the quality of its education and care?</p>			
	<p><i>Documentation:</i></p> <p>1. A process for reviewing and evaluating the service's operation (for example, its curriculum, learning and teaching practices, philosophy, policies, and procedures) by the people involved in the service. The process is consistent with criterion GMA4/GMA3, and includes a schedule showing timelines for planned review of different areas of operation.</p>			
	<p>2. Recorded outcomes from the review and evaluation process. Outcomes show how the service has regard for the Statement of National Education and Learning Priorities ( <a href="#">INELP</a> ) in its operation.</p>			
	<p><i>Criterion GMA7</i></p> <p>Are suitable human resource management practices implemented?</p>			
	<p><i>Documentation:</i></p> <p>Policies and processes for human resource management, including:</p> <ul style="list-style-type: none"> <li>selection and appointment procedures;</li> </ul>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.		Yes	No	Unsure
	<ul style="list-style-type: none"> <li>• job/role descriptions;</li> </ul>			
	<ul style="list-style-type: none"> <li>• induction procedures into the service;</li> </ul>			
	<ul style="list-style-type: none"> <li>• a system of regular appraisal;</li> </ul>			
	<ul style="list-style-type: none"> <li>• provision for professional development;</li> </ul>			
	<ul style="list-style-type: none"> <li>• a definition of serious misconduct; and discipline/dismissal procedures.</li> </ul>			
	<p><i>Criterion GMA7A</i> 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 must be completed completed?</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?			
	Are these records kept by, or available to, the service provider as long as the person is employed or engaged?			
	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><i>Documentation</i></p> <p>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.</p>			
	<p>2. a record of all safety checks and the results. [Refer to question 4 below for further guidance]</p>			
<b>3</b>	<p><b>Planning and documentation</b> <i>Criterion GMA8</i> Is there an annual plan that guides the Services operation?</p>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.	Yes	No	Unsure
<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) Refer to MOE website <a href="#">GMA8 Annual plan</a> for guidance.</p>			
<p><i>Criterion GMA9</i> Is there an annual budget that guides 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 (such as electricity, telephone, food purchases and other day to day items) and maintenance of the premises as appropriate.</li> </ul>			
<p><i>Criterion GMA10</i> Do adults who are providing education and care have access to information held by the hospital for each child participating in the service that includes:</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 is participating in the service;</li> </ul>			
<ul style="list-style-type: none"> <li>• the name of the medical practitioner with overall responsibility for the child's care;</li> </ul>			
<ul style="list-style-type: none"> <li>• details of any chronic illness/condition that the child has, and of any implications or actions to be followed in relation to that illness/condition; and</li> </ul>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.		Yes	No	Unsure
	<ul style="list-style-type: none"> <li>any court orders affecting day to day care of, or contact with, the child.</li> </ul>			
	<p><i>Criterion GMA11</i></p> <p>Is a record maintained for children participating in the service?</p>			
	Are records kept for at least 7 years?			
	<p><i>Documentation:</i></p> <p>An attendance record that meets the requirements outlined in the Early Childhood Education Funding Handbook for children currently participating in the service, and children who have attended in the previous 7 years.</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 (<a href="http://www.legislation.govt.nz">www.legislation.govt.nz</a>)?</p>			
	<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>4</b>	<p><b>Children’s Act 2014- Safety Checking of Workforce</b></p> <p>For persons 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>			
	(b) Checking a original primary identity document (eg NZ passport); and a secondary identity document (eg NZ driver licence);			
	[Note: if there are no photos of the person in the documents in (b), the service provider must require an identity referee to authenticate/verify identity of the staff. If the person’s name is different on a document in (b) the board must require a supporting name change document from the person]			
	(c) Searching the service provider’s personnel records to check that the identity has not been claimed by someone else after having sighted the documents in (a) or (b) including the matters under ‘Note’ above.			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.	Yes	No	Unsure
<p><i>Criminal Convictions</i></p> <p>(a) Obtaining and considering information from NZ Police vet</p> <p>[Note: no need for police vet if the person already had one in the last three years or person is a registered teacher]</p>			
<p><i>Other Information</i></p> <p>(e) Obtaining and considering a chronological summary of work history for preceding five years from the person; and</p>			
<p>(f) Whether the person is registered with the Teaching Council, and if so, board has confirmed this with the Teaching Council;</p>			
<p>(g) Obtaining and considering information from at least one referee (not related to the person or part of the extended family) and</p>			
<p>(h) Any other information the board considers relevant for risk assessment;</p>			
<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 teachers, person responsible or support staff. 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 person you propose to employ is the sole claimant of the identity.</p> <p>(iii) The above checks apply to <i>core workers and non-core workers</i></p>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.		Yes	No	Unsure
5	<p>(iv) For details the service provider should refer to the relevant provisions of the Children’s Act 2014, and regulations 5-8 of the <i>Children’s (requirements for Safety Checks of Children’s Workers) Regulations 2015</i>- <a href="http://www.legislation.govt.nz">www.legislation.govt.nz</a></p> <p>(v) For more information visit: <a href="http://www.childrensactionplan.govt.nz">www.childrensactionplan.govt.nz</a>, and <a href="#">Children’s worker safety checking under the Children’s Act 2014 [PDF, 1.2 MB]</a></p> <p>(vi) See independent advice if you are uncertain</p> <p>(vii) Keep accurate records about each aspect of the safety checking process</p>			
	<p><b>Police vetting</b></p> <p>Has the service provider obtained a Police vet for every person:</p>			
	<p>(a) whom the service provider appoints or intends to appoint to a position at the early childhood service; and</p>			
	<p>(b) who is to work at the service during normal opening hours; and</p>			
	<p>(c) who is not a registered teacher or holder of a limited authority to teach [LAT]? and</p>			
	<p>(d) before the person’s employment or engagement at the service begins? and</p>			
	<p>(e) considered the information contained in the Police vet to assess whether the person would pose a risk to the safety of children if the person were to carry out work at the service and</p>			
	<p>(f) in carrying out the assessment taken into account any guidelines on risk assessment issued by the MOE*? and</p>			
	<p>(g) every three years of every person noted above who still works at the service?</p>			
	<p><b>Contractors and their employees</b></p> <p>Has the service provider obtained a Police vet of every contractor, or employee of a contractor who has, or is likely to have unsupervised access to children at the service during normal opening hours? and</p>			
	<p>Has the service provider ensured that the Police vet is obtained before every contractor or their employee has, or is likely to have unsupervised access to students at the service during normal opening hours? and</p>			
	<p>Considered the information contained in the Police vet to assess whether the person would pose a risk to the safety of children if the person were to carry out work at the service and</p>			
	<p>In carrying out the assessment taken into account any guidelines on risk assessment issued by the MOE*?</p>			

## 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 contractor or their employee noted above who still works at the service?</p> <p><i>References: s 25 E&amp;T Act 2020, Clauses 1,2,3, and 8 Schedule 4 Education and Training Act 2020.</i></p> <p><a href="#">25 Police vetting in respect of early childhood services Schedule 4 Police vetting</a></p> <ul style="list-style-type: none"> <li><a href="#">August 2023 changes to Police vetting requirements</a></li> </ul> <p><a href="#">Police vetting for early learning services</a></p>			
<b>7</b>	<p><b>Reporting to the Teaching Council</b></p> <p>In the following situations, has the service provider, as the employer, reported to the Teaching Council in compliance with the mandatory requirements under the Education and Training Act 2020: [<i>Write N/A if not applicable</i>]</p>			
	<ul style="list-style-type: none"> <li>When a teacher has been dismissed for any reason (section 489)?</li> </ul> <p><a href="#">489 Mandatory reporting of dismissals and resignations</a></p>			
	<p>If, within 12 months before a teacher's resignation or expiry of the teacher's fixed-term contract, the employer has advised the teacher that it was dissatisfied with, or intended to investigate, any aspect of the conduct of the teacher or the teacher's competence (section 489)?</p> <p><a href="#">489 Mandatory reporting of dismissals and resignations</a></p>			
	<p>If, within 12 months after a teacher has left, the employer has received a complaint about the teacher's conduct or competence while he/she was an employee (section 490)?</p> <p><a href="#">490 Mandatory reporting of complaints received about former employees</a></p>			
	<p>If the employer has reason to believe that a teacher has engaged in serious misconduct (section 491)?</p> <p><a href="#">Mandatory reporting of possible serious misconduct</a></p>			
	<p>If the employer is satisfied that, despite undertaking competency procedures with a teacher, the teacher has not reached the required level of competence (section 492)?</p>			

## Criteria to assess Governance, Management and Administration Standard

Please tick all questions including bullet points.		Yes	No	Unsure
	492 Mandatory reporting of failure to reach required level of competence			
8	<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> <p>*[Note; this Act applies from 1 December 2020]</p>			
9	<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: <i>Regulation 7 and 35 of the Education (Early Childhood Services) Regulations 2008</i> ]</p> <p>7 Applicant must make statutory declaration</p> <p>35 Continuing duty to advise of change of circumstances</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 <i>Education (Early Childhood Services) Regulations 2008</i>]</p>			

