



Education Review Office
Te Tari Arotake Mātauranga

BOARD ASSURANCE STATEMENT AND SELF-AUDIT CHECKLISTS

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

As part of the review process, the Education Review Office (ERO) asks the Board of Trustees of each school to complete the **Self-Audit Checklist** and the **Board Assurance Statement (BAS)**. The information in each of these documents assists ERO in the scoping and planning of the review. Completing the checklists and the BAS is a useful process for your own self-review. Please read the Board Assurance Guidelines [ero.govt.nz] before completing these forms. The accuracy and validity of the information your board gives in the checklists and BAS is important for the focus of the review.

How to fill in the checklists

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

- Board administration
- Curriculum
- Health, safety and welfare
- Personnel
- Finance
- Asset management

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 Board Assurance Statement

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

Please remember to attach your checklists to your Board Assurance Statement

BOARD ASSURANCE STATEMENT

To: The Chief Review Officer
Education Review Office

From: The Board of Trustees

_____ (school)

Note: If the board is also responsible for the governance of one or more 'off-site locations' (activity centre/teen parent unit/satellite class, other), please list the units* on the next page.

Compliance Certification

Has the board 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	Board Administration			
2	Curriculum			
3	Health, Safety and Welfare			
4	Personnel			
5	Finance			
6	Assets			

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

Attestation:

The Board of Trustees and the principal have taken all reasonable steps to meet their legal requirements [including for the off-site locations as listed *(if any)], and requirements detailed in Ministry of Education circulars and other documents. Where non-compliance has been identified, measures are being taken to remedy this.

Board Chairperson

Name	Signature	Date
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Principal

Name	Signature	Date
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List of off-site locations* (example - activity centre/teen parent unit/satellite class, other) under the School Board’s governance:

* An ‘off-site location’ is when a school is using premises outside of the school to provide education to one or more students on a long-term or full-time basis [refer section 71A(6) of the Education Act 1989].

Note: The Education (Update) Amendment Act 2017 requires schools to seek approval from the Minister of Education to use an off-site location or host an off-site location for another school. Once approval has been given, schools must enter into an agreement with the Secretary for Education before using that off-site location. This change will formalise arrangements for off-site locations and make it clearer who is responsible for the education, safety and welfare of the students receiving education at the off-site location.³

*[Please write N/A if not applicable]

³ [Providing education at off-site locations](#)

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

Identified area(s) of non-compliance:

Action being taken to address non-compliance:

What does ERO want to know?

ERO wants to know that the board is acting in a transparent and democratic manner and has appropriate policies and/or procedures to support this. **Note:** References are in brackets where appropriate.

Self-Audit Checklist

Section 1 – Board Administration

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
1	Is the board properly elected and constituted? [<i>section 94 Education Act 1989</i>].			
2	Are any conflicts of interest of board members fully declared? [<i>s 103A Ed Act 1989; Clause 40(8) Sixth Schedule Ed.Act 1989</i>]].			
3	Are board meetings properly run? [Parts 7/8 Local Government Official Information and Meetings Act 1987; Clauses 40/41 Sixth Schedule Ed Act 1989].			
	Has the board appointed a trustee (<u>not</u> being the principal/staff or student representative) to preside at meetings? [<i>Ref: Clause 41(1), Part 4, Schedule 6 to the Education Act 1989</i>]			
4	Are minutes of board meetings properly kept (especially minutes of meetings that exclude the public – commonly called “in committee”)? [<i>Good practice; Local Government Official Information and Meetings Act 1987, Public Records Act 2005</i>].			
5	Does the charter reflect the purposes set out in section 61(2) of the Education Act 1989 (i.e. establish the mission, aims, objectives, directions, and targets of the board that give effect to the national education guidelines), and provide a base against which the board’s actual performance can be assessed?			
6	Have newly elected, co-opted or appointed trustees confirmed to the board that they are eligible to be trustees? [<i>s 103B Ed Act 1989</i>].			
7	Has the board met all the requirements for planning and reporting? [<i>School Charter; s 61 Ed Act 1989</i>].			

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
For questions 8 – 12, has the board, with the principal and teaching staff:				
8	Developed a strategic plan which documents how they are giving effect to the NEGs through their policies, plans and programmes, including those for curriculum, aromatawai and/or assessment, and staff professional development? [NAG 2(a)].			
9	Maintained an on-going programme of self-review in relation to the above policies, plans and programmes, including evaluation of good quality assessment information* on student progress and achievement? [NAG 2(b)]. *Good quality assessment information draws on a range of evidence to evaluate the progress and achievement of students and build a comprehensive picture of student learning across the curriculum.			
10	On the basis of good quality assessment information* (see above) reported to students and their parents on progress and achievement of individual students :			
	a. in plain language, in writing, and at least twice a year; and			
	b. across The National Curriculum, as expressed in <i>The New Zealand Curriculum 2007</i> , or Te Marautanga o Aotearoa, including in mathematics and literacy, and/or te reo matatini and pāngarau? [NAG 2(c)]			
	On the basis of good quality assessment information* (see above) reported to the school's community:			
	a. on the progress and achievement of students as a whole, and			
	b. on the progress and achievement of groups (identified through NAG 1(c) (i.e. students who are not progressing and/or achieving, or are at risk of not progressing/achieving or who have special needs including gifted and talented students).			
	c. including the progress and achievement of Māori students against plans and targets referred to in NAG 1(e) (i.e. <i>plans and targets for improving the progress and achievement of Māori students</i>)] [NAG 2(d)]			
	Received regular and useful information about the achievement of Māori students in the school?			
11	Completed an annual update of the school charter, provided the Secretary for Education with a copy of the updated school charter before 1st March each year. [NAG 7]			
12	Provided to the Secretary for Education before 1st March each year, a statement providing an analysis of any variance between the school's performance and the relevant aims, objectives, directions, priorities, or targets set out in the school charter when providing the updated charter under NAG 7. [NAG 8]			

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
13	Does the school's charter include aims/directions/objectives as set out section 61 of the Education Act 1989?			
14	Did the board's annual report include a statement which provides an analysis of any variance between the school's performance and the relevant aims, objectives, directions, priorities or targets set out in the school charter? [section 87(2)(e) Education Act 1989].			
15	Is the board satisfied that the school has been open for instruction for at least the minimum required number of hours per day and days per year? [s 65A and s 65B Ed.Act 1989; NAG 6].			
16	Is the board satisfied student absences are correctly recorded, monitored and followed up? [s 25 Ed Act 1989; NAG 6; Education School Attendance Regulations 1951]. http://www.education.govt.nz/school/managing-and-supporting-students/managing-student-attendance/legal-responsibilities/#jump1			
17	Does the board ensure all procedures and practices relating to the stand-down/suspension/exclusion and/or expulsion of any student are implemented in accordance with the relevant provisions of the Education Act, the Education Stand-down, Suspensions, Exclusions, and Expulsion Rules 1999 and guidance issued by the Ministry of Education? [ss 13-18 Ed Act 1989].			
18	Are there policies/procedures to ensure compliance with legislation, including the non-discrimination provisions in the Human Rights Act?			
	Are these policies/procedures regularly reviewed, and implemented appropriately by the board? [Good practice].			
19	Has the board complied with the conditions prescribed by the Minister of Education by Gazette notice under section 71 of the Education Act 1989 in relation to students who undertake work-based learning or work experience? [NZ Gazette Notice No 158, 2 December 2004 page 3919 - Work Experience Notice and Students on Work Experience: A health and safety guide for schools and employers [Write N/A if not applicable]			

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
20	Has the principal taken all reasonable steps to ensure that –			
	a. students get good guidance and counselling?			
	b. students in form 1 (Year 7) and above are provided with appropriate career education and guidance that is designed to prepare them to join the workforce or undertake further education or training when they leave school?			
	c. a student's parents are told of matters that, in the principal's opinion are:			
	i. preventing or slowing the student's progress through school? Or			
	ii. harming the student's relationship with teachers or other students?			
	[Reference section 77 Education Act 1989]			
21	Does the board have guidelines relating to compliance with the Copyright Act 1994 and are they implemented? [Good practice].			
22	Has the board complied with the Public Records Act 2005 in relation to the retention and disposal of school records? [Further information: School records retention/disposal information pack [PDF, 1.3 MB] Circular 2006/19 - school records retention and disposal			

What does ERO want to know?

ERO wants to know that the board is meeting the curriculum requirements of NAG 1. Key questions relating to curriculum follow. (Note: the quality of curriculum delivery related to student achievement is considered by ERO elsewhere in the review).

Self-Audit Checklist – based on NAG 1 Section 2 - Curriculum

Please tick all questions including bullet points. If questions are not applicable to your school please write N/A.		Yes	No	Unsure
1	Ensured its primary objective in governing that every student at the school is able to attain his/her highest possible standard in educational achievement? And			
	To meet the primary objective ensured that the school:			
	a. is a physically and emotionally safe place for all students and staff; and			
	b. is inclusive of and caters for students with differing needs?			
	[Clause 5(2)(a), Part 2, Schedule 6 to Education Act 1989]			
2	Developed and implemented teaching and learning programmes:			
	a. providing all students in years 1-10 with opportunities to achieve for success in the following areas:			
	i. The Arts			
	ii. English			
	iii. Health and Physical Education			
	iv. Mathematics and Statistics			
	v. Science			
	vi. Social Sciences			
	vii. Technology			
	b. giving priority to student achievement in literacy and numeracy, especially in years 1-8?			
c. giving priority to regular quality physical activity that develops movement skills for all students, especially in years 1-6? [NAG 1(a)]				

Please tick all questions including bullet points. If questions are not applicable to your school please write N/A.		Yes	No	Unsure
3	For schools using Te Marautanga o Aotearoa, developed and implemented teaching and learning programmes:			
	providing all students in years 1-10 with opportunities to achieve for success in the following areas:			
	a. Ngā Toi			
	b. Te Reo Māori			
	c. Hauora			
	d. Pāngarau			
	e. Pūtaiao			
	f. Tikanga ā-iwi			
	g. Ngā Reo			
	h. Hangarau			
	i. Te Reo Pākehā			
	i. giving priority to student achievement in literacy and numeracy, especially in years 1-8?			
	ii. giving priority to regular quality physical activity that develops movement skills for all students, especially in years 1-6? [NAG 1(a)].			
4	Through the analysis of good quality assessment information*(refer question 9, section 1), evaluated the progress and achievement of students, giving priority first to:			
	a. student progress and achievement in literacy and numeracy especially in years 1-8 and then to:			
	b. breadth and depth of learning related to the needs, abilities and interests of students, the nature of the school's curriculum, and the scope of The National Curriculum, as expressed in <i>The New Zealand Curriculum 2007</i> ? [NAG 1(b)]			

Please tick all questions including bullet points. If questions are not applicable to your school please write N/A.		Yes	No	Unsure
5	Through the analysis of good quality assessment information*(refer question 9, Section 1), identified:			
	a. students and groups of students who are not achieving?			
	b. students and groups of students who are at risk of not progressing and/or achieving?			
	c. students and groups of students who have special needs (including gifted and talented students)?			
	d. aspects of the curriculum which require particular attention? [NAG 1(c)]			
6	Developed and implemented teaching and learning strategies to address the needs of students and aspects of the curriculum identified in 4 above? [NAG 1(d)]			
7	In consultation with the school's Māori community, developed and made known to the school's community policies, plans and targets for improving the progress and achievement of Māori students? [NAG 1(e)]			
8	Provided appropriate career education and guidance for all students in Year 7 and above, with a particular emphasis on specific career guidance for those students who have been identified by the school as being at risk of leaving school unprepared for the transition to the workplace or further education/training? [NAG 1(f)]			
9	Ensured that teachers of students with disabilities, and other contact staff, have a sound understanding of the learning needs of students with disabilities?			
	Where necessary, put in place support systems centred on each individual with disabilities? [NAG 1; NEG 7; NZ Disability Strategy in Schools].			

Please tick all questions including bullet points. If questions are not applicable to your school please write N/A.		Yes	No	Unsure
10	Ensured that current practice meets the requirement to base teaching and learning programmes on <i>The New Zealand Curriculum</i> national curriculum statements for:			
	a. The Arts			
	b. English			
	c. Health and Physical Education			
	d. Mathematics and Statistics			
	e. Science			
	f. Social Sciences			
	g. Technology*			
	h. Learning Languages			
	OR Ensured that current practice meets the requirement to base teaching and learning programmes on <i>Te Marautanga o Aotearoa</i> if the school has chosen to adopt the foundation curriculum policy statements based on <i>Te Marautanga o Aotearoa</i>			
<p>* Digital Technologies curriculum content and support</p> <p>* Note: Schools will be able to integrate this new digital technologies curriculum content into their teaching/learning programmes from 2018 and need to have it integrated from 2020.</p>				
11	<p>Developed and implemented teaching and learning programmes based on <i>Te Marautanga o Aotearoa</i> in a bilingual class or classes where Māori in one of the languages of instruction.</p> <p>[Note: schools with a bilingual class or classes may develop and implement the teaching and learning programmes – reference NZ Gazette Notice 29 October 2009, page 3812]</p>			

Please tick all questions including bullet points. If questions are not applicable to your school please write N/A.		Yes	No	Unsure
12	Developed and implemented a curriculum, as expressed in The New Zealand Curriculum, for students in Years 1-13:			
	a. that is guided by the Vision;			
	b. that is underpinned by the Principles;			
	c. in which the Values as expressed are encouraged and modelled and are explored by students; and			
	d. that supports students to develop the five Key Competencies.			
	[The National Curriculum: Foundation Curriculum Policy Statements]			
13	For schools using <i>Te Marautanga o Aotearo</i> , developed and implemented a curriculum, as expressed in <i>Te Marautanga o Aotearoa</i> , for students in Years 1-13:			
	a. that supports students to develop Te Āhua o ā Tātou Ākonga			
	b. that is underpinned by Ngā Mātāpono Whānui			
	c. in which Ngā Uara, Ngā Waiaro are encouraged and modelled and are explored by students			
	d. that supports students to gain confidence in Te Reo Māori			
	e. that takes account of He Toi Mātauranga, He ManaTangata			
	[The National Curriculum: Foundation Curriculum Policy Statements – Te Marautanga o Aotearoa – NZ Gazette Notice, 29 October 2009, page 3811]			
14	Worked towards offering students opportunities for learning second or subsequent languages (Years 7-10)? [The New Zealand Curriculum].			
15	Complied with the requirement to adopt a statement on the delivery of the health curriculum, at least once in every two years, after consultation with the school community? [Section 60B Education Act 1989]. Reference: <u>Sexuality education: a guide for principals, boards of trustees, and teachers (2015)</u>			

The following Checklist is to assist the board with self-review.

The board should have in place policies, and procedures/guidelines/practices that facilitate the provision of a healthy and safe environment for students and staff and that protects their welfare. *You should seek professional advice if unsure about specific matters especially in the application of the health and safety at work legislation.*

Self-Audit Checklist

Section 3 – Health, Safety and Welfare

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
Does the board have health and safety policies, and procedures/ guidelines/ practices linked to:				
1	Providing a safe physical and emotional environment for students? <i>[NAG 5].</i>			
2	Child abuse? (prevention and reporting) <i>[NAG 5]. Also refer to question 24 below.</i>			
3	Behaviour management? <i>[NAG 5; Good practice].</i>			
4	Discipline procedures? <i>[Good practice].</i>			
5	Dealing with smoking, drugs and alcohol? <i>[NAG 5].</i>			
6	Management and recording/administering of medication? <i>[Good practice].</i>			
7	Prohibiting the use of force? (corporal punishment) <i>[s 139A Ed Act 1989].</i>			
8	Cross cultural awareness? <i>[Good practice].</i>			
9	Dealing with parents who are subject to court orders affecting day to day care of, or contact with, a child at school? <i>[NAG 5; Good practice].</i>			

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
10	Complaints? [Good practice]. <i>Good complaints handling by school boards of trustees</i> , Download PDF 299 KB			
11	a. Internet safety/security including cyber bullying? And			
	b. Has the Internet Safety Policy been implemented in the last year? (Write N/A if no reason(s) to implement in the last year)			
[NAG 5; Download a copy of Bullying prevention and response: A guide for schools; https://www.netsafe.org.nz/advice/education/Good practice]. Ensuring your school internet is safe and secure				
12	Ensuring that the requirements of the Health (Immunisation) Regulations 1995 are met? [Write N/A if not applicable] Refer: Immunisation Guidelines for Early Childhood Services and ...			
13	The Code of Practice for School Exempt Laboratories approved by the NZ Association of Science Educators, about the use of hazardous substances for the teaching of science and technology? [Refer Code of Practice for School Exempt Laboratories (WorkSafe website) (external link) . HSNOCOP 15-1: School exempt laboratories (PDF 556 KB)			
	The Code of Ethical Conduct for the use of Animals in research and teaching in schools? [refer Use of Animals in Teaching and Schools]			
14	Protection for staff and students from excessive UV radiation exposure over the summer months? [NAG 5; Good practice].			
15	Prevention of sexual harassment? [ss 62, 68 Human Rights Act 1993; ss 108, 117, 118 Employment Relations Act 2000].			
16	Collection, storage, use, access and disposal of personal information? [Privacy Act 1993].			
17	First aid/notification of accidents, in particular, recording of all accidents [Health and Safety at Work legislation].			
18	Development of an emergency plan, including emergency/evacuation procedures, notification, duty of care for students, testing procedures? [National Civil Defence Emergency Plan Order 2015; Good practice]. Emergencies and traumatic incidents and Checking your property after a major incident . [MOE website]			

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
19	Management of crisis situations including pandemic planning? [NAG 5; Good practice]. Refer Student wellbeing			
20	School trips/education outside the classroom – risk management procedures? [NAG 5; Good practice - EOTC Guidelines].			
21	Welfare and safety of students in off-site locations (where the school is using premises outside the school to provide education to students on a long-term or full-time basis. [section 71A(5) Education Act 1989]			
22	Visitors to the school? [Good practice].			
23	Has the board regularly reviewed the policies and procedures/guidelines/practices linked to health and safety in questions 1 - 22 above, and			
	Satisfied itself, through reports that these policies and procedures/guidelines/practices have been implemented appropriately? [Good practice]			
Does the board:				
24	Meet the requirements under NAG 5:			
	a. to promote healthy food and nutrition for all students?			
	b. Through the principal and teaching staff, currently provide anti-bullying programmes for students? And			
	Do those anti-bullying programmes include a focus on:			
	c. Racist bullying?			
	d. Bullying of students with special needs?			
	e. Homophobic bullying?			
	f. Transgender bullying?			
	g. Sexual harassment? [NAG 5; Good practice].			
	[Refer: http://www.education.govt.nz/school/student-support/student-wellbeing/bullying-prevention-and-response/]			

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
25	Does the board have a child protection policy* that -			
	a. Is written down and in use?			
	b. says how suspected neglect and abuse will be identified and reported?			
	c. will be reviewed every three years?			
	d. is available on the school's website or on request?			
<p>[Reference sections 18 and 19 <i>Children's Act 2014</i>. Refer to Part 6 of Children's Act 2014 - a practical guide for assistance]</p> <p>[*Note: the policy is a mandatory requirement from 1 July 2016].</p>				
26	<p>Has the board satisfied itself, through reports from hostel management, that the hostel provides a safe emotional and physical environment that supports the learning of boarders enrolled at the school?</p> <p>[NAG 5; Education (Hostels) Regulations 2005].</p>			
27	Has the board ensured that its policies, practices and procedures on surrender and retention of property and searches of students by the principal, teachers and authorised staff members under sections 139AAA to 139AAF of the Act:			
	a. comply with the *Rules regulating the practice and procedure made by the Secretary for Education under s.139AAH? and			
	b. have regard to the guidelines issued by the Secretary for Education under s.139AAI for the exercise of their powers and functions under sections 139AAA to 139AAH?			
<p>[Note: refer to www.legislation.govt.nz for sections 139AAA to 139AAF of the Education Act 1989 and the *Education (Surrender, Retention, and Search) Rules 2013; www.education.govt.nz for guidelines issued by the Secretary for Education]</p>				

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
28	Has the board ensured policies and procedures that relate to students who have special education needs are implemented without discrimination, i.e. they are:			
	a. Objective, value diversity and are integrated within the school curriculum;			
	b. Regularly re-evaluated and developed to enhance effectiveness;			
	c. Well-communicated to all staff and families, whānau of students and consistently applied;			
	d. In compliance with:			
	i. the Education Act 1989 (section 8) that people who have special educational needs (whether because of disability or otherwise) have the same rights to enrol and receive education at State schools as people who do not ?; and			
	ii. the NZ Bill of Rights Act (section 19) that everyone has the right to freedom from discrimination on the grounds of disability in terms of section 21(h) of the Human Rights Act 1993?; and			
iii. the NE Guidelines, NAGs1(c)(iii) and 5, NE Goals 2 and 7, Curriculum Statements, Foundation Curriculum Policy Statements and Special Education Guidelines?				
29	Documented and implemented policies and procedures to ensure compliance with the Code of Practice for the Pastoral Care of International Students 2016? [Write N/A if not applicable].			

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
30	Ensured that it is complying with the Code of Practice for Pastoral Care of International Students * particularly in terms of:			
	a. Support services for students			
	b. Information on international students			
	c. Communicating with parents for students under 18 years			
	d. Students with additional needs			
	e. Monitoring attendance to ensure student welfare			
	f. Accommodation Provisions			
	g. Homestays			
	h. Boarding Establishments			
	i. Designated caregivers			
	j. Temporary accommodation			
	k. Residential caregivers			
	l. Police vet of residential caregiver for students under 18			
	m. Complaints procedures			
	* Refer 2019 amendments to the Code of Practice 2016 (PDF, 736KB)			
31	Has the school board -			
	a. developed policies, procedures and practices on good behaviour management practice, including elimination of seclusion and the need to minimise physical restraint for students and staff wellbeing that follow the Ministry of Education's Guide*?			
	b. made the policies/procedures/practices available to all parents and caregivers?			
	c. reviewed the polices/procedures/practices as part of the school's annual review process?			
	d. provided a clear complaints process for the students, parents and caregivers on physical restraint and alternatives to seclusion in accordance with the MOE's guide?			

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
	[Ref: Sections 139AB to 139AE Education Act '89] *updated Guidelines for Registered Schools in New Zealand on the Use of Physical Restraint http://www.education.govt.nz/assets/Uploads/Presentation-Guidance-for-NZ-Schools-on-Behaviour-Management-to-Minimise....pdf			
32	Physical restraint Rules* Has the school board ensured that the following documents are available for inspection at the school:			
	a. Guidelines issued by the MOE on the practice and procedure to be followed in relation to physical restraint by authorised staff			
	b. the names and position of authorised staff [Clause 4]			
	Has the school board taken appropriate steps:			
	c. to ensure parents/caregivers are notified if physical restraint is an element in a student's Individual Behaviour Plan, and how physical restraint will be applied in accordance with the Guidelines, and			
	d. notified as soon as possible on the same day about any incident of physical restraint, including how it was managed in accordance with the Guidelines [Clause 6]			
	e. to ensure that for any student who has been physically restrained and for any staff member who used physical restraint, their physical and psychological wellbeing is monitored for the rest of the school day following the incident of physical restraint			
	f. that records kept under clause 9 are analysed so that trends can be identified			
	g. checked that documentation about each incident is complete [Clause 7]			
	h. Has the board reported every incident of physical restraint to the Ministry of Education using the form attached to the Rules (Appendix 1)			
	i. Has every staff member who uses physical restraint completed a staff physical restraint report, and			
	j. has the board placed a copy of the form in the student's file and provided a copy to the student's teacher/s, parents and/or caregivers [Clause 8]			
	k. Has the board kept written records of every instance of physical restraint of a student that is carried out under the Rules [Clause 9]			
	l. Has the board ensured that teachers and authorised staff are suitably supported and trained [Clause 10]			

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
	m. Does the board have a school policy on managing challenging behaviour and using restraint that is consistent with the Guidelines and (PTO)			
	n. taken appropriate steps to ensure that parents, students, school staff and the community know about the school's policies for managing challenging behaviour and using physical restraint.[clause 11]			
*Education (Physical Restraint) Rules 2017- Download the rules [PDF, 847 KB] ; updated Guidelines for Registered Schools in New Zealand on the Use of Physical Restraint				
33	<p>Health and Safety At Work Act 2015 [HSWA]</p> <p>The HSWA imposes a number of duties on the Board of Trustees (as an entity) as they are responsible for controlling risks in the school workplace.</p> <p>The checklist* provides a means for the Board to assess its performance against the duties specified in the HSWA.</p> <p>Note: When answering the questions, the board needs to ensure that there is evidence of compliance. (e.g worker training records, risks identified in appropriate register, copy of H/S policy printed at reception)</p> <p>Has the school board ensured, so far as is reasonably practicable:</p>			
	a. The health and safety of workers while at work, by taking appropriate action?			
	b. That a healthy and safe working environment is provided for independent contractors and their workers (e.g. cleaners, trades people, repair people) who enter the school premises?			
	c. That other people (such as students, parents, visitors etc) are protected from risks arising from work and activities at the school?			
	d. That workers, students, and volunteers are protected from risks arising from activities while away from the school, such as when on excursions, or school camps?			
	e. The provision and maintenance of a work environment that is without risks to health and safety?			
	f. The provision and maintenance of safe plant and structures?			
	g. The provision and maintenance of safe systems of work?			
	h. The safe use, handling, and storage of plant, substances, and structures?			

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
	<p>i. The provision of adequate facilities for the welfare at work of workers in carrying out work for the school, including ensuring access to those facilities?</p>			
	Has the board, ensured that:			
	<p>a. Notifiable events are reported to Worksafe as soon as possible after the event, such as notifiable injuries or illnesses that would usually require the person to be admitted to hospital for immediate treatment or within 48 hours of the injury or exposure to a substance? [write N/A if the event has not occurred]</p>			
	<p>b. Records of notifiable events are kept for at least 5 years?</p>			
	<p>c. There is a risk identification and control process that eliminates or minimises the identified risks</p>			
	<p>d. It receives regular reporting on its compliance with the HSWA</p>			
	<p>*Note this checklist is non-exhaustive, for your self-review based on section 36 of the HSWA, and questions under Tool 2 (Toolbox) – Board of Trustees’ Checklist in the Ministry of Education’s publication, <i>Health and Safety At Work Act 2015, A practical guide for boards of trustees and school leaders</i>. You can download the publication in the MOE’s website – - health and safety practical guide for boards of trustees and school leaders, and webpace</p> <p>The board should seek professional advice if it is uncertain about specific matters.</p>			
34	<p>Is the school board aware of the conditions under which students may get work experience, and health and safety responsibilities under the HSWA? [Refer Work Experience Notice and Students on Work Experience: A health and safety guide for schools and employers] Write N/A if not applicable</p>			
35	<p>Is the school board aware of the new food safety laws which require schools to ensure that food they sell or serve is safe and suitable to eat? Note: depending on the type of food service provided, some schools will have additional obligations. Please refer to: Food safety for Schools and Kura (Food Act 2014); MPI’s school leaflet Schools - What does the Food Act mean for me? (external link) has the full list of food activities that need to be registered or are exempt.</p>			

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
36	Does the school board allow or intend to allow the supervised presence and use of firearms on and off school premises as part of students' education or sporting activities?			
	<p>If the answer to the above is 'Yes', does the board comply with the guidelines* which support boards to understand their roles and responsibilities, and ensure compliance with the appropriate legislation?</p> <p>Refer* Firearms in Schools Guidelines and Tool Kit and Quick guide to the Firearms in Schools Guidelines</p> <p>Write N/A if not applicable.</p>			

Is there any further information you would like to provide in relation to Section 3 – Health, Safety and Welfare?

What does ERO want to know?

ERO wants to know that the board has policies/procedures and practices.

Self-Audit Checklist Section 4 – Personnel

Good practice or legal compliance suggests that the board should have:

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
1	Developed and implemented personnel and industrial policies, within policy and procedural frameworks set by the Government from time to time, which promote high levels of staff performance, and use educational resources effectively and recognise the needs of students?			
	Being a good employer as defined in the State Sector Act 1988, and complied with the conditions contained in employment contracts applying to teaching and non-teaching staff? [NAG 3; s 77A State Sector Act].			
2	Developed and implemented policies and procedures for employment and appraisal of staff? [s 77C State Sector Act 1988; NZ Gazette and relevant Collective Employment Agreement].			
3	Documents showing that suitable human resource management practices are implemented including:			
	a. selection and appointment procedures showing that:			
	i. the appointment panel has the proper delegation from the board;			
	ii. applicants are registered for teaching positions; and			
	iii. for non-teaching positions, a Police Vet has been carried out;			
	iv. the background of an applicant's character, competence, qualifications, and experience is carefully checked;			
	v. original or certified documents are properly sighted; and			
	vi. certified documents are authenticated by persons authorised to do so			
	b. the job/role descriptions;			
	c. induction procedures into the school;			
	d. a system of regular appraisal; and			
e. provision for professional development.				

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
	[section 77A State Sector Act; Good practice; MoE Guidelines]			
4	Safety Checking of Workforce			
	For <i>persons</i> that the Board employed or engaged from 1 July 2015 as a paid <i>children's worker*</i> , the following checks have been undertaken:			
	Identity Confirmation, either by			
	a. using an electronic identity credential to check that the identity is not claimed by someone else; <u>or</u>			
	b. checking a original primary identity document (e.g. NZ passport); and			
	a secondary identity document (e.g. NZ driver licence);			
	[Note: if there are no photos of the person in the documents in (b), the board must require an <i>identity referee</i> to authenticate/verify identity of the staff. If the person's name is different on a document in (b) the board must require a supporting name change document from the person];			
	c. ** searching the board'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 board after the board has sighted the documents in (a) or (b) including the matters under 'Note' above.			
	Criminal Convictions			
	d. obtaining and considering information from NZ Police vet			
	[Note: no need for Police vet if the person already had one in the last three years or person is a registered teacher]			
	Other Information			
	e. obtaining and considering a chronological summary of work history for preceding five years from the person; and			
	f. whether person is registered with the Teaching Council, and if so, board has confirmed this with the Teaching Council;			
g. obtaining and considering information from at least one referee (not related to the person or part of the extended family) and				
h. any other information the board considers relevant for risk assessment;				
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]				
Risk Assessment				

Please tick all questions including bullet points or write N/A if not applicable.	Yes	No	Unsure
<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>			
Note:			
<p>i. *Children's workers who are <i>core workers</i> work alone with or have primary responsibility or authority over children, eg teachers, teacher aides 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 applicant is the sole claimant of the identity.</p>			
<p>iii. The above checks apply to all new core workers from 1 July 2015, and all new non-core workers from 1 July 2016 before commencing employment and are guidelines only.</p>			
<p>iv. For details the board 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 – www.legislation.govt.nz.</p>			
<p>v. For more information visit: www.childrensactionplan.govt.nz. and Children's worker safety checking under the Children's Act 2014 [PDF, 1.2 MB</p>			
<p>vi. Seek independent advice, e.g. from NZSTA if you are uncertain.</p>			
<p>vii. Keep accurate records about each aspect of the safety checking process, and have appropriate policies and procedures</p>			
<p>5 Annually assessed the principal against all the professional standards for principals? [<i>NZ Ed Gazette: and relevant employment agreement</i>].</p>			
<p>6 Kept all records for the purposes of the payroll service and given the Secretary for Education all information in accordance with section 89 of the Education Act?</p>			
<p>Complied with section 91F of the Education Act and the relevant Principals' Collective Agreement (i.e. sought the written consent of the Secretary for Education) before paying any additional remuneration to the principal?</p>			
<p>7 Ensured that persons without a practising certificate are not permanently appointed to a teaching position? [section 349(2) Education Act 1989].</p>			

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
8	Ensured that it does not continue to employ in any teaching position, any person—			
	a. whose registration as a teacher has been cancelled, and who has not since been registered as a teacher again; or			
	b. whose LAT has been cancelled, and who has not since been granted an authorisation again or registered as a teacher; or			
	c. whose practising certificate or LAT is suspended by the Disciplinary Tribunal?			
	<i>[Reference section 350(1) Education Act 1989].</i>			
9	Received reports at least once a year in relation to the following, and satisfied itself that they are correctly implemented:			
	a. Staff appointment process? <i>[Good practice re s 77E-77H State Sector Act 1988].</i>			
	b. Teacher registration (including practising certificates and LATs)? <i>[Good practice re ss 349-350 Ed Act 1989].</i>			
	c. Provisionally registered teacher's induction programme? <i>[Good practice].</i>			
	d. Assessment of teachers against the professional standards? <i>[Good practice re s 77C State Sector Act 1988: NZ Gazette and relevant Collective Employment Agreement].</i>			
	e. Appraisal of teaching staff by the professional leader of the school based on the <i>Standards for the Teaching Profession*</i> established by the Teaching Council for the issue and renewal of practising certificates. <i>[(Ref: Part 31 Education Act 1989) - Standards for the Teaching Profession.or Ngā Tikanga Matatika, Ngā Paerewa. [Māori medium schools]*</i>			
	f. Salary increments as a result of a positive assessment against all professional standards at the teacher's level? <i>[Good practice; relevant Teachers' Collective Agreement].</i>			
	g. Staff professional development programme and outcomes? <i>[Good practice].</i>			
	h. Personnel policy (including EEO programme)? <i>[ref: s 77A State Sector Act 1988].</i>			
10	Established and implemented procedures for the Police vetting of employees and contractors as required by the Education Act 1989 Sections 78C to 78CD?			

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
11	<p>Reported in its annual report on the extent of its compliance with the personnel policy on being a good employer (including the equal employment opportunities programme)? (s 77A State Sector Act 1988)</p> <p>Note: Section 77A (1) requires school boards, among other things, to operate a personnel policy that complies with the principle of being a good employer, and report in its annual report on the extent of its compliance.</p>			
12	<p>As employer, reported to the Teaching Council in compliance with the mandatory reporting requirements under the Education Act 1989 in the following situations: <i>[Write N/A if not applicable]</i>.</p>			
	a. when a teacher has been dismissed for any reason (section 392)?			
	b. If, within the 12 months before a teacher's resignation (including a fixed-term position) or expiry of the teacher's fixed-term contract, the board had advised the teacher that it was dissatisfied with, or intended to investigate, any aspect of the teacher's conduct or teacher's competence (section 392)?			
	c. the board receives a complaint about the teacher's conduct or competence while he/she was an employee within 12 months of after the teacher ceases to be employed (section 393)?			
	d. the board has reason to believe that the teacher has engaged in serious misconduct (section 394)?			
	e. the board is satisfied that despite undertaking competency procedures with the teacher, the teacher has not reached the required level of competence (section 395)?			
13	Implemented appropriate internal procedures for receiving and dealing with information about serious wrongdoing under the Protected Disclosures Act 2000?			

What does ERO want to know?

Boards should have policies/procedures and practices to track and report income and expenditure.

Self-Audit Checklist

Section 5 – Finance

As part of this process, has the board:

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
1	Monitored and controlled school expenditure? And			
	Ensured that annual accounts are prepared and audited as required by the Public Finance Act 1989 and Education Act 1989? <i>[NAG 4(a)]</i> .			
2	Made it clear in a written statement to parents/caregivers of students that:			
	<p>a. the board (of a decile 1-7 school) has opted into the Donations Scheme and that they comply with the Ministry's requirements* including that parents do not have to make voluntary donations except for any school camp. <i>[Write N/A if the board has not opted into the Donations Scheme]</i></p> <p>A 'school camp' is any curriculum-related activity where students are expected to stay overnight as part of that activity.</p> <p>Ref: Sections 79A and 79B (Education (School Donations) Amendment Act 2019. <i>NZ Gazette 29 October 2019 [copied below]</i></p> <div style="border: 1px solid black; padding: 5px; margin: 10px 0;"> <p style="text-align: center;">2019 Notice of Exemption to Mandatory Condition</p> <p style="text-align: center; font-size: small;">2019-go4975 Preview</p> </div> <p>*Requirements for boards of trustees of decile 1-7 schools and kura choosing to opt in to the Donations Scheme [PDF, 179 KB]</p>			
	<p>b. the board has not opted into the Donations Scheme, the board meets the Requirements for boards of trustees of decile 8-10 schools and kura and schools and kura choosing not to opt in to the Donations Scheme [PDF, 155 KB]</p>			
	<p>c. the Board (of a decile 1-7 school) has not opted in the Donations Scheme, and it complies with the MOE's guidelines What families/whānau need to know about school/kura donations and payments [PDF, 660 KB]</p>			
3	Prepared a budget that reflects the school's priorities as stated in the charter? <i>[NAG 4]</i> .			
4	Ensured that accounting records are kept that:			

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
	a. correctly record and explain the transactions of the school?			
	b. will, at any time, enable the financial position of the school to be determined with reasonable accuracy?			
	c. will enable the trustees to ensure that the financial statements of the school comply with generally accepted accounting practice?			
	d. will enable the financial statements of the school to be readily and properly audited?			
[s 168 Crown Entities Act 2004]				
5	Prepared annual financial statements in accordance with section 87(3) of the Education Act 1989?			

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
6	a. Prepared its annual report in accordance with section 87 of the Education Act 1989 (which includes the total remuneration paid to school principals employed by the board)?; and			
	b. Forwarded its annual report to the Secretary of Education? <i>[section 87 Ed Act 1989].</i>			
	c. Ensured that the annual report is available to the public on an Internet site maintained by or on behalf of the board?			
	<i>[Refer section 87AB Ed. Act 1989]</i>			
7	Ensured investment is in accordance with clause 28, Part 3, 6th Schedule to the Education Act 1989 and appropriate provisions of the Crown Entities Act 2004 relating to investments? <i>[ss 160-161, 197 Crown Entities Act 2004].</i> For guidance refer to MOE's financial information for schools handbook: Download the FISH handbook and any updates.			
8	Ensured that all financial gifts can be appropriately accounted for and applied to the purpose for which they were given? <i>[clause 33, Part3, 6th Schedule Ed Act 1989; s 167 Crown Entities Act].</i> Refer to MOE's FISH handbook cited in question 7 for guidance.			
9	Ensured that it has complied with clause 29, Part 3, Sixth Schedule to the Education Act 1989, and appropriate provisions of the Crown Entities Act 2004 relating to borrowing? <i>[s 160/162 Crown Entities Act 2004; Regs 11, 12 Crown Entities (Financial Powers) Regulations 2005].</i> Refer to MOE's FISH handbook cited in question 7 for guidance			
10	Ensured that TFEA funding is used to promote student achievement? [NAG 4 - Refer MOE's Operational funding components]			
11	Ensured that SEG funding is used to benefit students with moderate special learning and behavioural needs? [NAG 4 - Refer MOE's Operational funding components]			
12	Ensured that funding and staffing generated by ORS students is used for the benefit of those students? <i>[Write N/A if not applicable]</i> [NAG 4 – Refer MOE's Operational funding components].			

What does ERO want to know?

ERO wants to know that the board has policies/procedures and practices to provide a safe and healthy learning environment.

Self-Audit Checklist

Section 6 – Asset Management

As part of this process, has the board:

Please tick all questions including bullet points or write N/A if not applicable.		Yes	No	Unsure
1	Implemented a maintenance programme and property management policy to ensure that the school's buildings and facilities provide a safe, healthy learning environment for students? <i>[NAG 4(c); clause 17 Property Occupancy Document].</i>			
2	Confirmed that the budget reflects the school's priorities as stated in the charter? <i>[NAG 4(a); Property Occupancy Document].</i>			
3	Provided access and facilities for persons with disabilities to and within buildings? <i>[ss 117-120 and Schedule 2 of Building Act 2004].</i>			
4	Received monthly reports on monitoring, maintenance and hazards, and is the board satisfied with compliance? <i>[Good practice re Health and Safety at Work legislation; cl 17 Property Occupancy Document].</i>			
5	Recently reviewed its evacuation procedures/ scheme and is the board satisfied with compliance? <i>[re Fire Safety, Evacuation Procedures, and Evacuation Schemes Regulations 2018; Clause 20 POD].</i> Refer: Developing an evacuation scheme or procedure			
6	Received assurance at intervals of not more than six months that a trial evacuation has occurred? <i>[Reg 29 Fire Safety, Evacuation Procedures, and Evacuation Schemes Regulations 2018].</i>			
7	Made provision for post disaster and relief? <i>[Good practice].</i> For guidance refer to: Checking your property after a major incident .			

Young children have drowned by stumbling into unfenced or poorly fenced swimming pools. Boards have an obligation to secure their swimming pools.

8	Checked that the swimming pool meets the requirements set out in the MOE's Safety at the pool ; Building Code (including the new Clause F9 for pool fencing (external link)) ; NZS 8500:2006 'Safety barriers and fences around swimming pools' <i>[Write N/A if not applicable]</i> .			
9	Prepared and reviewed a 10-year property plan covering maintenance and capital property requirements in accordance with Ministry of Education guidelines? <i>[clause 7 Property Occupancy Document]</i> .			

