**NQS COMPIANCE CHECKLIST Name of Service : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

QUALITY AREA 7: GOVERNANCE AND LEADERSHIP

|  |
| --- |
| GUIDANCE FOR CHILDREN OF ALL AGES AND ALL SERVICE TYPES |
| QA STANDARD ELEMENT | AVAILABLE TO SIGHT | LOCATION | NOTES | ü |
| Governance7.1 | Evidence of the implementation of appropriate governance arrangements at the Service, including records of decisions by the governing authority as applicable. | * Governance folder/file (Office)
* As applicable to arrangements
 |  |  |
| Governance***Continued*** 7.1 | Information provided to parents about relevant governance structures, which may include the name of the Approved Provider and the person to contact to make a complaint. | * Parent/Family handbook
 |  |  |
| Services Philosophy and Purpose7.1.1 | Service Philosophy which reflects the operational objectives, purpose and principles in accordance with the NQS & Approved Learning Framework (EYLF) | * Display in a central area for families, visitors and staff to read
 |  |  |
| Management Systems7.1.2 | Current Public Liability Insurance (This does not apply if the insurance is provided by a state or territory government) | * Governance and management folder / office
 |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Management Systems***Continued*** 7.1.2 | Evidence of the Quality Improvement Plan and continuous improvement | * Quality Improvement Plan folder, file or program
 |  |  |
| Management Systems***Continued*** 7.1.2 | Child assessment records | * Children’s individual file
* Observations
* Portfolios (or similar)
* Transition to school statement
* Child assessment reports
 |  |  |
| Management Systems***Continued*** 7.1.2 | Incident, injury, trauma and illness records | * Children’s individual file/s
 |  |  |
| Management Systems***Continued*** 7.1.2 | Medication records and children’s attendance records | * Office, or
* Where medication is administered
* Child’s individual file/record
 |  |  |
| Management Systems***Continued*** 7.1.2 | Evidence of children’s attendance | * Children’s attendance folder/file (office)
 |  |  |
| Management Systems***Continued*** 7.1.2 | Child’s enrolment records | * Children’s individual file
 |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Management Systems***Continued*** 7.1.2 | The record of the death of a child while being educated and cared for by the Service | * Dedicated file (Office)
* Individual child’s file (Office)
 |  |  |
| Management Systems***Continued*** 7.1.2 | A record of the Service’s compliance history | * Dedicated compliance file (Governance and management)
 |  |  |
| Management Systems***Continued*** 7.1.2 | Responsible person in day-to-day charge record. Record of educators working directly with children. | * Staff Sign in/out registers
* Staff members individual file
 |  |  |
| Management Systems***Continued*** 7.1.2 | The Educational Leader documentation and identity | * Educational leader folder
* Quality improvement plan
* Information to be displayed (Foyer)
 |  |  |
| Management Systems***Continued*** 7.1.2 | The Nominated Supervisor’s acceptance of the written consent form. | * Governance and management folder / office
* Individual staff members file
 |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Management Systems***Continued*** 7.1.2 | Prescribed information to be displayed – includes: Approved provider name, Provider approval number, Any conditions relating to the Provider approval, The name of approved Service, Service approval number and any conditions or waivers relating to the Serviceapproval. | * Information to be displayed (Foyer)
 |  |  |
| Management Systems***Continued*** 7.1.2 | Record of volunteers and students | * Visitors book/register
 |  |  |
| Management Systems***Continued*** 7.1.2 | Evidence that records are stored appropriately to protect confidentiality | * Office – locked cabinets
 |  |  |
| Management Systems***Continued*** 7.1.2 | Display your Services current rating for each Quality Area and the overall rating of the Service | * Foyer or prominent position
 |  |  |
| Management Systems***Continued*** 7.1.2 | Service operation details, including the: opening days and hours, name and phone number of the Responsible Person in charge at any given time, name and phone number of the person who can be contacted for a complaint, name of the Educational Leader and contact details of the Regulatory Authority. | * Displayed in prominent area/s
* Family/Parent handbook
 |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Management Systems***Continued*** 7.1.2 | Required ‘staff related’ records and notifications to the Regulatory Authority | * Staff room notice board, or
* Dedicated folder; ‘Notifications to the Regulatory Authority‘
 |  |  |
| Management Systems***Continued*** 7.1.2 | Record of complaints against the Service that allege a breach of legislation or serious incident made to the Regulatory Authority. | * Dedicated file/folder for complaints and related follow up (Office)
 |  |  |
| Management Systems***Continued*** 7.1.2 | Complaints policy and procedures | * Policy folder /manual
* Family/Parent handbook
 |  |  |
| Management Systems***Continued*** 7.1.2 | Policies and Procedures are available at the Service for families (As outlined in Regulation 168) | * Policy folder/manual
* Office and foyer
 |  |  |
| Management Systems***Continued*** 7.1.2 | Evidence in the staff record of sighting ‘Working With Children Checks’ | * Individual staff records (Office)
 |  |  |
| Management Systems***Continued*** 7.1.2 | Evidence for families of required safety screening clearance for educators,coordinators, family day care educator assistants and staff members prior to engagement at the Service. | * Individual staff records (Office)
* Foyer or noticeboard
 |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Management Systems***Continued*** 7.1.2 | Rosters and staffing arrangements that reflect the importance of educator continuity on a day-to-day basis | * Staff roster
* Roster sign-in/out sheets
 |  |  |
| Roles and Responsibilities7.1.3 | Documented induction procedure plus information provided to educators, coordinators, staff members or volunteers | * Staff handbook
* Induction checklist
 |  |  |
| Roles and Responsibilities***Continued*** 7.1.3 | Documented position descriptions, outlining roles for educators, co-ordinators and staff members that: Clearly outline the responsibilities of the position, Clearly explain the Approved Provider’s expectations and are used as the basis for monitoring and reviewing educators’, co-ordinators’ and staff members’performance. | * Individual staff records (Office)
* Staff/educator handbook
* Job descriptions templates
 |  |  |
| Roles and Responsibilities***Continued*** 7.1.3 | Exit data and documentation that provides information about the reasons for educators and coordinators leaving the Service. | * Individual staff records (Office)
* Employee exit guide and procedure
 |  |  |
| Continuous Improvement7.2.1 | The Quality Improvement Plan is displayed or available for families and staff to view current goals and strategies. | * Foyer/Entry
* Office copy (QIP)
 |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Continuous Improvement***Continued*** 7.2.1 | Documented process for ongoingSelf-assessment planning and review against the National Quality Standard. | * Self assessment file/program
* Quality improvement planning file
 |  |  |
| Continuous Improvement***Continued*** 7.2.1 | Systems for collecting information from families, children and staff members about their perception of the Service. | * Family surveys
* Staff surveys
* Communications books
* Minutes from family meetings
* Minutes from staff meetings
* Online portals
 |  |  |
| Educational Leadership7.2.2 | Appointment of the Educational Leader has been recorded and displayed | * Foyer/entry
 |  |  |
| Educational Leadership***Continued*** 7.2.2 | Evidence of documentation from the Educational Leader showing feedback and guidance about the assessment and programming cycle | * Educational Leader folder/files
 |  |  |
| Educational Leadership***Continued*** 7.2.2 | Evidence of reflective practices including discussions that critically examine current practice and result in planned quality improvement. | * Programming records
* Critical reflection forms
* Quality improvement planning records
* Staff meeting minutes
 |  |  |
| Development of Professionals7.2.3 | Individual Professional Development Plans for Educators, Coordinators, and Staff members | * Individual staff files (Office)
 |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Development of Professionals***Continued*** 7.2.3 | Documented position descriptions for Educators, Educational Leaders, Coordinators and Staff Members (Also refer to: QA7-29) | * Individual staff files (Office)
* Job description templates/drafts
 |  |  |
| Development of Professionals***Continued*** 7.2.3 | Staff performance appraisals | * Individual staff files/records (Office)
 |  |  |
|  | Family Day Care staff list, Visitors to Family Day |  |  |  |
| Additional guidance for FDC Services | Care residences or approved Family Day Carevenues, Working with Children Checks for residents aged 18 years and over and the Record | * Administration office / files
 |
| 7.1.2 | of Co-coordinator visits to the Family Day Careresidence or venue, including any |  |
|  | correspondence. |  |
| Additional guidance for FDC Services | Assessment of Family Day Care residences and approved Family Day Care venues, Theengagement or registration of a Family Day Care | * Administration records (Main office)
 |  |  |
| ***Continued*** 7.1.2 | Educator and a register of Family Day Care Educators |
| Additional |  | * Administration records (Main Office)
 |  |  |
| guidance for FDC Services | Evidence of monitoring, support and supervision of Family Day Care educators |
| ***Continued*** 7.1.2 |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Additional guidance for FDC Services | Fit and proper person assessment of Family Day Care educators, Assistants and Operators | * Individual educator records (Main office)
 |  |  |
| ***Continued*** 7.1.2 | residing at each Family Day Care residence |
| Additional |  |  |  |  |
| guidance for FDC Services | Evidence of tracking visitors to the Family Day Care residences and venue | * Visitor sign-in/out register
 |
| ***Continued*** 7.1.2 |  |  |
| Additional |  | * Individual Educator/Operator files (Main office)
 |  |  |
| guidance for FDC Services | Provision of information, assistance and training to Family Day Care Educators |
| ***Continued*** 7.1.2 |  |
| Additional |  | * Administration Records (Main office)
 |  |  |
| guidance for FDC Services | Engagement and registration of Family Day Care Educator Assistants |
| ***Continued*** 7.1.2 |  |
| Additional guidance for FDC Services | Home visit support records and Policies & Procedures about conducting visits to | * Policy & Procedure Manual
* Administration records (Main office)
 |  |  |
| ***Continued*** 7.1.2 | Educator’s / Operator’s homes |

 Completed by : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Position : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

 Signature : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_