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

QUALITY AREA 7: GOVERNANCE AND LEADERSHIP

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| GUIDANCE FOR CHILDREN OF ALL AGES AND ALL SERVICE TYPES | | | | |
| QA STANDARD ELEMENT | AVAILABLE TO SIGHT | LOCATION | NOTES | ü |
| Governance  7.1 | 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 Purpose  7.1.1 | 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 Systems  7.1.2 | Current Public Liability Insurance (This does not apply if the insurance is provided by a state or territory government) | * Governance and management folder / office |  |  |

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| 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 |  |  |

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| 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 |  |  |

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| 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 Service  approval. | * 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 |  |  |

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| 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 |  |  |

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| 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 Responsibilities  7.1.3 | 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 Improvement  7.2.1 | The Quality Improvement Plan is displayed or available for families and staff to view current goals and strategies. | * Foyer/Entry * Office copy (QIP) |  |  |

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| Continuous Improvement  ***Continued*** 7.2.1 | Documented process for ongoing  Self-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 Leadership  7.2.2 | 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 Professionals  7.2.3 | Individual Professional Development Plans for Educators, Coordinators, and Staff members | * Individual staff files (Office) |  |  |

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| 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 Care  venues, 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 Care  residence or venue, including any |  |
|  | correspondence. |  |
| Additional guidance for FDC Services | Assessment of Family Day Care residences and approved Family Day Care venues, The  engagement 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 |  |

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| 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 : \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_