Proformas for document audits for schools that are members of registration systems

The following proformas (A to D) list the documentation that a non-government school must maintain during any period of registration in order to demonstrate compliance with the requirements for registration and accreditation.

Proforma A:	requirements for registration and accreditation
Proforma B:	requirements for schools with boarding facilities
Proforma C:	requirements for approving an outside tutor and/or accessing an external provider
Proforma D:	requirements in relation to school annual reports

The requirements for registration and accreditation for schools from a registration system are detailed in the *Registration Systems and Member Non-government Schools (NSW) Manual* ('the Manual').

By listing the required documentation as detailed in the manual, the proformas provide a useful checklist for schools undertaking a self-review or document audit process. They aim to assist a school identify the policies and procedures currently in place at the school to meet the requirements. Once completed, the proformas provide a record of the location of these policies and procedures.

The proformas are intended to supplement, not replace, the Manual. The Manual provides a full description of the requirements.

Proforma A: Identifying existing member school's documentation that meets the requirements for registration and accreditation

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Proprietor						
evidence that either the approved authority or each individual member school's proprietor is a legal entity approved by the Minister (eg memorandum, constitution, article of association, a trust deed or incorporation document)	5.1					
evidence that a legally binding relationship exists between the approved authority and the member school	5.1					

Staff – Teaching staff responsible for delivering the curriculum						
copies of qualifications used to determine the suitability of each teacher and, where relevant, copies of teacher accreditation documentation	5.2.1					
details, including the qualifications and teaching experience, of all part-time and full-time teaching staff	5.2.1					
the school's documented plan for providing alternate qualified teaching staff in the event that regular teaching staff are unavailable	5.2.1					
the school's arrangements for having a teacher accreditation authority that has been approved under NESA *Guidelines for the Regulation of Teacher Accreditation Authorities for Non-government Schools and Early Childhood Education Centres* (based on transition arrangements)	5.2.1					

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Curriculum – Primary and Years 7–10 (registration only)						
timetables for each Year/class showing allocation of time and teaching staff for each KLA	5.3.1.1 5.3.1.2					
an overview of the school's educational program indicating: – the scope and sequence of learning/units of work in relation to the outcomes of NESA syllabuses for each KLA for each Year – the resources and equipment available for each KLA – an assessment plan indicating how students' performance in each KLA is assessed, monitored and recorded	5.3.1.1 5.3.1.2					
an overview of the process for reporting student achievement	5.3.1.1 5.3.1.2					
evidence relating to the quality of teaching and student learning	5.3.1.1 5.3.1.2					
evidence that the school, if registered or exempt from registration only, informs parents of students in writing each year that the school is not eligible to enter candidates for the Record of School Achievement and indicates the consequences for potential candidates for that credential of the school not being accredited	5.3.1.2					
teaching programs for each unit of work for the current calendar year	5.3.1.1 5.3.1.2					
samples of student work for the current calendar year	5.3.1.1 5.3.1.2					

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Curriculum – Years 11 and 12 (registration only)						
timetables for each Year/class showing allocation of time and teaching staff for each course	5.3.1.3					
an overview of the school's educational program indicating: – the scope and sequence of learning/units of work in relation to the outcomes of NESA syllabuses for each course for each Year – the resources and equipment available for each course – an assessment plan indicating how students' performance in each course is assessed, monitored and recorded	5.3.1.3					
an overview of the process for reporting student achievement	5.3.1.3					
evidence relating to the quality of teaching and student learning	5.3.1.3					
evidence that the school, if registered or exempt from registration only, informs parents of students in writing each year that the school is not eligible to enter candidates for the Higher School Certificate and indicates the consequences for potential candidates for that credential of the school not being accredited	5.3.1.3					
teaching programs for each unit of work that correspond to those identified in the scope and sequence for the current calendar year	5.3.1.3					
samples of student work that relate to the teaching program for the current calendar year	5.3.1.3					

Curriculum – School of a kind						
documentation to certify that each student is a foreign national or a child of a foreign national, or a child of a kind as prescribed by the Regulations	5.3.4					
documentation that indicates how the curriculum meets the needs of the students	5.3.4					
timetables for each Year/class showing the allocation of time and teaching staff for each learning area/course	5.3.4					

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Curriculum – School of a kind (continued)						
an overview of the process for reporting student achievement	5.3.4					
evidence relating to the quality of teaching and student learning	5.3.4					
evidence, where applicable, that parents are informed that students in a secondary school with registration only are not eligible to be candidates for the Record of School Achievement and the consequences for potential Record of School Achievement candidates of the school not being accredited	5.3.4					
evidence that teaching programs for each unit of work for the current calendar year correspond to the scope and sequence	5.3.4					
samples of student work that relate to the teaching program for the current calendar year	5.3.4					
evidence, where applicable, that where the school is registered to provide education for children who are foreign nationals or the children of foreign nationals, the teaching staff hold qualifications deemed appropriate by the relevant education authority (or equivalent) to teach the curriculum being delivered	5.3.4					
Accreditation – Record of School Achievement						
timetables showing the allocation of time and teaching staff for each Year/class	7.1					
documentation to indicate the total number of hours allocated to each course	7.1					
an overview of the school's educational program indicating: – the scope and sequence for each course mapped against the content and outcomes of the relevant NESA syllabus for each course – the resources and equipment available for each KLA	7.1					
confirmation that the school has policies for disability provisions in accordance with the *ACE* website	7.1					
assessment policies and procedures that comply with the requirements of the *ACE* website and NESA Official Notices, including statements of school procedures and records in relation to the allocation of grades in each Year 10 course	7.1					

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Accreditation – Record of School Achievement (continued)						
an overview of the process for reporting student achievement	7.1					
teaching programs for each unit of work for the current calendar year, corresponding to the scope and sequence for the year	7.1					
samples of student work that relate to the teaching program for the current calendar year	7.1					

Accreditation – Higher School Certificate						
timetables showing the allocation of time and teaching staff for each Year/class	7.2.1					
documentation to indicate the total number of hours allocated to each Preliminary/HSC course	7.2.1					
an overview of the school's educational program indicating: – the scope and sequence for each course – the resources and equipment for each KLA	7.2.1					
assessment policies and procedures which comply with the requirements of the *ACE* website and NESA Official Notices in relation to:						
– statements of school procedures in relation to the allocation of grades in each Preliminary course	7.2.1					
– organisational details of the school's assessment program for each course, giving the number and types of assessment tasks, components and weightings and scheduling of tasks	7.2.1					
– marking, recording and reporting student achievement in assessment tasks	7.2.1					
– administrative arrangements associated with absence from an assessment task, late submission of tasks due to illness/misadventure, malpractice and invalid/unreliable tasks	7.2.1					
– student appeals against assessment rankings	7.2.1					
– 'N' determinations	7.2.1					
– providing students with written advice about the school's requirements for assessment in each course	7.2.1					

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Accreditation – Higher School Certificate (continued)						
confirmation that the school has policies for disability provisions in accordance with the *ACE* website	7.2.1					
an overview of the process for reporting student achievement	7.2.1					
teaching programs for each unit of work for the current calendar year, corresponding to the scope and sequence for the year	7.2.1					
samples of student work that relate to the teaching program for the current calendar year	7.2.1					

Accreditation – Quality of the educational program for the Record of School Achievement and the Higher School Certificate						
records to demonstrate student achievement	7.3.1					
records to demonstrate the standard of teaching of courses	7.3.2					
documentation to identify the range of educational facilities required to meet all of the mandatory requirements for each of the courses of study offered for the Record of School Achievement and/or Higher School Certificate relative to the number of students in each course, whether the facilities are provided on-site or off-site and the frequency of access to off-site facilities	7.3.3					

Premises and buildings						
written evidence that all school premises and/or buildings comply with all legislation relevant at the time of occupation	5.4					
policies for assessing and monitoring the current standard and state of repair of the school's premises and buildings, making reference to current building requirements	5.4					
details of the annual fire safety statements which comply with Part 9 Division 5 of the Environmental Planning and Assessment Regulation 2000	5.4					
confirmation that the school has policies and procedures to meet the requirements of the Disability Discrimination Act 1992 in terms of the school's buildings and premises	5.4					

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Facilities						
documentation to identify the range of educational facilities for each course taking into account the number of students, whether the facilities are on-site or off-site and the frequency of access to off-site facilities	5.5					
documentation to indicate that the school assesses and monitors the current standard and state of repair of facilities, taking into account the *Explosives Act 2003* and the *Work Health and Safety Act 2011*	5.5					

Safe and supportive environment – Legislative obligations						
policies and procedures to ensure that staff who have direct contact with students are informed annually of their legal responsibilities related to child protection, mandatory reporting and other relevant school expectations	5.6.1					
policies and procedures to ensure that requirements to notify and investigate allegations of reportable conduct in compliance with the *Ombudsman Act 1974* are made known to staff	5.6.1					
policies and procedures to ensure that all persons engaged in child-related work at the school, as defined by the *Child Protection (Working with Children) Act 2012*, have a working with children check clearance from the Office of the Children's Guardian	5.6.1					
policies and procedures to ensure that evidence of working with children check clearances is maintained by the school for all persons in child-related work at the school as required under the *Child Protection (Working with Children) Act 2012*	5.6.1					
policies and procedures to respond to reportable matters in accordance with legislative requirements	5.6.1					
policies and procedures to ensure that all staff who are mandatory reporters under the *Children and Young Persons (Care and Protection) Act 1998* are informed annually of their obligations and the process that the school has in place in relation to mandatory reporting	5.6.1					

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Safe and supportive environment – Student welfare						
have in place and implement policies and procedures in relation to security, with specific reference to: – students	5.6.2					
– buildings and facilities	5.6.2					
– evacuation procedures	5.6.2					
have in place and implement policies and procedures in relation to supervision, with specific reference to protocols and guidelines, including risk management, for students undertaking on-site and off-site activities	5.6.2					
have in place and implement policies and procedures in relation to codes of conduct for members of the school community, with specific reference to: – rights and responsibilities of students and staff within the school community	5.6.2					
– behaviour management	5.6.2					
– the role of any student leadership system (or equivalent) in the school and the monitoring of the system	5.6.2					
– anti-bullying including contact information for School Liaison Police and/or Youth Liaison Officers and other support services available in the school community	5.6.2					
– management and reporting of serious incidents and emergencies	5.6.2					
have in place and implement policies and procedures in relation to complaints or grievances, with specific reference to processes for raising and responding to matters of concern identified by students and/or parents	5.6.2					
have in place and implement policies and procedures in relation to pastoral care, with specific reference to: – personnel responsible for pastoral care including access to counselling	5.6.2					
– identification of and provision of support for students with special needs	5.6.2					
– health and the distribution and monitoring of medication	5.6.2					

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Safe and supportive environment – Student welfare (continued)						
– response to serious incidents and emergencies	5.6.2					
– homework	5.6.2					
maintain a student enrolment and attendance register	5.6.2					
have in place and implement policies and procedures in relation to student attendance, with specific reference to processes for monitoring attendance and strategies to improve unsatisfactory attendance	5.6.2					
have in place and implement policies and procedures in relation to communication, with specific reference to formal and informal mechanisms available between stakeholders interested in a student's education and wellbeing	5.6.2					

Discipline						
have in place and implement policies related to the discipline of students, including but not limited to the suspension, expulsion and exclusion of students, that are based on procedural fairness	5.7.1					
have in place and implement policies related to the discipline of students that either expressly prohibit corporal punishment or clearly and exhaustively list the school's discipline methods so as to plainly exclude corporal punishment	5.7.2					
have in place and implement policies related to the discipline of students that do not explicitly or implicitly sanction the administering of corporal punishment by non-school persons, including parents, to enforce discipline at the school	5.7.2					

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Attendance						
a register of enrolments that includes the following information for each student: – name, age and address	5.8					
– the name and contact telephone number of parent(s)/guardian(s)	5.8					
– date of enrolment and, where appropriate, the date of leaving the school and the student's destination	5.8					
– for students older than six (6) years, previous school or pre-enrolment situation	5.8					
– where the destination of a student under 17 years of age is unknown, evidence that a Department of Education Officer with home school liaison responsibilities has been notified of the student's name, age and last known address	5.8					
the register of enrolments retained for a minimum period of five (5) years before archiving	5.8					
have in place and implement policies and procedures to: – monitor the daily attendance/absence of students	5.8					
– identify absences from school and/or class(es)	5.8					
– follow up unexplained absences	5.8					
– notify parent(s) and/or guardian(s) regarding poor school and/or class attendance	5.8					
– transfer unsatisfactory attendance information to student files	5.8					
a register of daily attendance that includes the following information for each student: – daily attendance which may be recorded by noting daily absences	5.8					
– absences	5.8					
– reason for absence	5.8					
– documentation to substantiate reason for absence	5.8					

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Attendance (continued)						
the register of daily attendance retained for a minimum period of seven (7) years after the last entry was made **Note:** The common code approved by the Minister must be used from 2012.	5.8					
have in place and implement policies and procedures for exercising the Minister's delegation under section 25 of the *Education Act 1990*	5.8					
records of the exercise of the above delegation including copies of all certificates issued under the delegation	5.8					
Management and operation of the school						
Responsible persons – fit and proper person or body documented processes of notification and disclosure by which the school, or the system where the system operates member schools, can provide assurance to NESA that each person defined under the Act as a 'responsible person', and any other person or body having similar functions in relation to the management or operation of the school as those of a 'responsible person' is a fit and proper person or body	5.9.1					
Responsible persons – notification related to previous refusal or cancellation of registration documented processes of notification and disclosure by which the school, or the system where the system operates member schools, can provide assurance to NESA that any refusal to register, or cancellation of registration, of the school or any other school under section 56 or 59 of the Act occurring during the period of five (5) years immediately before an application for registration of the member school is made, has not been largely attributable to the actions of: - a 'responsible person' for the school or proposed responsible person, or - any other person or body exercising similar functions in relation to the management or operation of the school to those of a 'responsible person'	5.9.2					

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Management and operation of the school (continued)						

Proper governance – policies and procedures
policies and procedures for the proper governance of the school in relation to:
– a school charter or document identifying the governance structure of the school and the respective authority, role and responsibilities of each of the school's 'responsible persons' and any other person or body concerned in the management of the school
– a delegations schedule to
  o identify the respective authority within the governance structure
  o describe the process for withdrawing a delegated authority
– a document to set out supervisory arrangements and reporting requirements for the school's 'responsible persons' including any governing body and school executive
– a code of conduct for the school's 'responsible persons'
– maintenance of records of governance decisions and actions made by the school's 'responsible persons', including minutes of formal meetings of the school's 'responsible persons', on and from 1 September 2014 and retaining such records for a minimum period of seven (7) years before archiving
– a document describing the school's legal compliance process to facilitate the school's compliance with all relevant legislation and reduce any risk of non-compliance
– a document describing the school's risk management framework or plan for developing, implementing and reviewing risk management strategies in relation to strategic direction, governance, operation and finance and the associated risk register
– from 1 July 2016, the maintenance of details of persons who are 'responsible persons' for the school including each person's name, role, date of commencing and, when relevant, date of ceasing to be a 'responsible person' for the school within twenty-eight (28) days of a change being made and maintaining these records for a period of seven (7) years from the date of each entry before archiving or disposing.
	5.9.3.1					

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Management and operation of the school (continued)	5.9.3.2					
Proper governance – conflict of interest policies and procedures in relation to dealing with conflict of interest including: – an overarching statement defining conflict of interest within the context of the school's governance structure – documented processes for o an annual declaration by each 'responsible person' for the school in relation to any actual, perceived or potential conflict o maintaining records of the annual declaration of each 'responsible person' for the school on and from 1 September 2014 and retaining such records for a period of seven (7) years before archiving or disposing o requiring each 'responsible person' at formal meetings of the school's 'responsible persons' to raise any actual, perceived or potential conflict with regard to items on the agenda for the meeting and for recording in the minutes of the meeting any conflict that is raised o each 'responsible person' with a conflict of interest (including but not limited to a pecuniary interest or a related party transaction) mitigating the ensuing risk in a way that is acceptable to the other 'responsible persons' involved (for example, by absenting themselves from participating in any associated decision-making or advisory role)						

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Management and operation of the school (continued)	5.9.3.3					
Proper governance – related party transactions register policies and procedures related to related party transactions – requiring each 'responsible person' for the school to disclose any related party transactions made on behalf of the school's proprietor or governing body – maintaining a register of all related party transactions on and from 1 September 2014 and retaining such records for a period of seven (7) years before archiving or disposing. The degree of materiality of the transaction will determine the degree of the detail required to be included in the register – arranging for an external audit of the school's register of all related party transactions on an annual basis – retaining a record of each external audit report of the register of all related party transactions on and from 1 September 2014 and retaining such records for a period of seven (7) years before archiving – notifying NESA if the contract or arrangement with the school's external auditor is terminated by the school or external auditor prior to the expiry of the term of the contract or arrangement and the reason(s) for that termination.						

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Management and operation of the school (continued)						
Proper governance – professional learning for 'responsible persons' policies and procedures for the ongoing professional learning of the school's 'responsible persons' with specific reference to: – the mandatory completion of a minimum twelve (12) hours of professional learning with regard to governance issues for each 'responsible person' for the school over each three (3) year period from the time of commencing as a 'responsible person'; to be delivered by a NESA approved training provider – relevant professional learning for 'responsible persons' with responsibilities for areas of governance requiring particular qualifications, skills or expertise, for example in relation to finance, compliance, risk management and/or education, delivered by a NESA approved training provider – maintaining a register of professional learning and training undertaken by each 'responsible person' for the school including the following details for each year: o name of 'responsible person' o role or position of responsibility o professional learning (date, nature, provider and hours) – retaining the register of professional learning on and from 1 September 2014, including relevant records such as evidence of completion of professional learning, and retaining such records and each entry into the register from the date of entry for a minimum period of seven (7) years before archiving or disposing	5.9.3.4					

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Management and operation of the school (continued)	5.9.3.5					
Proper governance – induction of new 'responsible persons' policies and procedures for the induction of new 'responsible persons' with specific reference to: – an induction process for new 'responsible persons' including, at a minimum, the mandatory successful completion of a NESA approved training program by a NESA approved training provider in relation to proper governance prior to taking up the role of 'responsible person' or within three (3) months of becoming a 'responsible person' for the school – a school-based induction program to provide each new 'responsible person' with a copy of the following documents: o a copy of all the school's documents, policies and procedures specified at 5.9.3.1 of the Manual and any other key policy document for the school o the school's most recent audited financial statements o recent minutes of meetings of the school's 'responsible persons' – maintaining evidence that each new 'responsible person' has received a copy of all of the documents specified above – maintaining a register of the induction process identifying the following details for each new 'responsible person' o name o date of becoming a 'responsible person' for the school o position of responsibility o details of any qualification and/or experience relevant to the particular position of responsibility o details of the successful completion of a NESA approved training program in relation to proper governance (date(s), provider, nature of training) – retaining the register of induction on and from 1 September 2014 and retaining each entry into the register from the date of entry for a minimum period of seven (7) years before archiving or disposing						

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Management and operation of the school (continued)	5.9.3.6					
Proper governance – external independent attestation audit of annual financial statements provide evidence that the audit and accompanying certificate – have been completed by an auditor recognised by CPA Australia, Chartered Accountants Australia and New Zealand, the Institute of Public Accountants or another recognised accounting body approved by NESA – comply with any other requirements imposed by Commonwealth or NSW Government agencies providing funding to the school – have not been completed by a person or body with whom the school has another business relationship in addition to audit services or with whom any of the 'responsible persons' of the school has a conflict of interest – The school must have policy and procedures for notifying NESA if the contract or arrangement with the school's external auditor is terminated by the school or external auditor prior to the expiry of the term of the contract or arrangement and the reason(s) for that termination The school's audited and certified annual financial statements in relation to any period on and from 1 September 2014 are to be available for inspection and are to be retained for a minimum period of seven (7) years after the end of the period to which the annual financial statements refer before archiving or disposing						
Financial viability – evidence to demonstrate the current financial viability of the school – policies and procedures to assess the school's financial viability and notify NESA where required	5.9.4					
Notifications to NESA documented processes by which a return is made by the school to the system authority so that the system can provide returns to NESA to meet the requirements of the Act	5.9.5					

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Educational and financial reporting						
policies and procedures that ensure participation in annual reporting to publicly disclose the educational and financial reporting measures and policies of the member school as identified by the Minister (see 5.10.1 in the manual) in an online or appropriate electronic form provided to NESA no later than 30 June in the year following the reporting year (see Proforma D for details)	5.10.1					
policies and procedures to ensure that the member school can provide data to the Minister that is relevant to any ministerial report to Parliament on the effectiveness of schooling in the state and that such data will be provided to NESA in an online or appropriate electronic form within three (3) months of being notified that the information is required	5.10.2					

Schools with boarding facilities						
See Proforma B	5.11.3					

Proforma B: Identifying existing member school's documentation that meets the requirements for schools with boarding facilities

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Schools with boarding facilities						
have in place and implement policies and procedures that include: – the aims and organisation of boarding at the school	5.11.1					
– the enrolment policy, if different from the day school enrolment policy	5.11.1					
– any special aspects of the school's boarding facilities, for example co-educational, week-day only boarding	5.11.1					
– a description of the facilities and support services provided for boarders	5.11.1					
– how the school's policies for boarding relate to day school policies	5.11.1					
– communication mechanisms	5.11.1					
evidence that the school: – assesses and monitors the standard and state of repair of boarding premises, buildings and facilities, taking into account the requirements of relevant legislation including the *Explosives Act 2003* and the *Work Health and Safety Act 2011*	5.11.2					
– undertakes and maintains details of annual fire safety statements which comply with Part 9 Division 5 of the *Environmental Planning and Assessment Regulation 2000*	5.11.2					
– maintains written evidence that any school premises and/or buildings first occupied after 2003 comply with all legislation relevant at the time of occupation	5.11.2					
– maintains written evidence that any school premises and/or buildings that are the subject of a development application after 2003 comply with all legislation relevant at the time of occupation	5.11.2					
– has policies and procedures to meet the requirements of the *Disability Discrimination Act 1992* in terms of the school's boarding buildings and premises	5.11.2					

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Schools with boarding facilities (continued)						
have in place and implement policies and procedures that include: – codes of conduct for members of the boarding community describing:	5.11.3					
– the rights and responsibilities of boarders	5.11.3					
– the role of any student leadership system (or equivalent) in the boarding school organisation and how the system is monitored	5.11.3					
– management of student behaviour including but not limited to processes for suspension, expulsion and exclusion based on procedural fairness	5.11.3					
– a process for handling complaints that describes how matters of concern can be raised and a process for responding to those concerns	5.11.3					
have in place and implement policies and procedures to: – ensure that all staff directly involved with the supervision of boarders are informed annually of their legal responsibilities related to child protection, mandatory reporting and other relevant school expectations	5.11.4					
– ensure that requirements to notify and investigate allegations of reportable conduct in compliance with the *Ombudsman Act 1974* are made known to staff	5.11.4					
– ensure that the school meets the requirements of the *Child Protection (Working with Children) Act 2012* in relation to working with children check clearances for all persons in child-related work, as required	5.11.4					
– ensure that all staff, volunteers and outside tutors are informed annually of their obligations under the *Child Protection (Working with Children) Act 2012*	5.11.4					
– ensure that the school has documented processes for being assured that any external provider accessed by the school complies with the *Child Protection (Working with Children) Act 2012*	5.11.4					
– respond to reportable matters in accordance with legislative requirements	5.11.4					
– ensure that all staff who are mandatory reporters under *the Children and Young Persons (Care and Protection) Act 1998* are informed annually of their obligations and the manner in which the school expects them to comply	5.11.4					
– ensure that all staff have up-to-date handbooks and undertake professional development as determined by the principal	5.11.4					

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Schools with boarding facilities (continued)						
have in place and implement policies and procedures that include supervision, with specific reference to:	5.11.5					
– identification of staff with allocated responsibility for students over a twenty-four (24) hour period	5.11.5					
– monitoring the whereabouts of students over a twenty-four (24) hour period	5.11.5					
– protocols and guidelines, including risk management, for boarders undertaking on-site and off-site activities	5.11.5					
– protocols for leave and travel arrangements	5.11.5					
have in place and implement policies and procedures that include: – supplying food that meets the Australian Dietary Guidelines	5.11.6					
– catering that complies with the requirements of the *NSW Food Act 2003*	5.11.6					
– facilities, personnel and programs for physical activity	5.11.6					
have in place and implement policies and procedures that include: – twenty-four (24) hour access to emergency medical assistance	5.11.6					
– training of all staff directly involved in the supervision of boarders to the equivalent of Provide First Aid (HLTAID003)	5.11.6					
– monitoring the physical health of boarders	5.11.6					
– consent from and notification of parents/guardians regarding the administering of first aid and medical care	5.11.6					
– managing communicable and infectious diseases	5.11.6					
– managing immunisation and screening	5.11.6					
– distribution and monitoring of medication	5.11.6					
– care of ill boarders	5.11.6					
– ancillary health services, including facilities and personnel available on-site and off-site and how to access these services	5.11.6					

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Schools with boarding facilities (continued)						
have in place and implement policies and procedures that include: – personnel responsible for pastoral care	5.11.7					
– identification of and support for students with special needs	5.11.7					
– homework and access to assistance with homework	5.11.7					
– access to counselling where required	5.11.7					
– provision for parent/guardian–student communication	5.11.7					
have in place and implement policies and procedures that include: – security of the boarding school and its students, buildings and facilities for twenty-four (24) hours each day	5.11.8					
– response to serious incidents and emergencies	5.11.8					

Proforma C: Identifying existing member school's documentation that meets the requirements for registration and accreditation for schools using or accessing outside tutors and/or external providers

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Staff – Outside tutors						
outline of the process used to verify an outside tutor's capacity to teach a course	5.2.2					
outline of process used to ensure that in accessing an outside tutor the school continues to comply with the requirements under the *Child Protection (Working with Children) Act 2012*	5.2.2					
evidence that originals of outside tutor's qualifications and/or evidence of experience/expertise of outside tutors have been seen by the principal or the principal's (or equivalent's) authorised delegate	5.2.2					
evidence that the school has sought and obtained satisfactory referee reports about the outside tutor	5.2.2					
details of the process undertaken by the school to verify an outside tutor's capacity to teach a course and the outcome of that process	5.2.2					
evidence of a working with children check clearance as required under the *Child Protection (Working with Children) Act 2012*	5.2.2					
procedures to ensure that course requirements are being met and will continue to be met by outside tutor(s)	5.2.2					
policies and procedures in relation to outside tutor(s) to ensure the safety and welfare of students and to promote their personal and social development	5.6.2					
a written statement from each outside tutor that their course delivery and assessment program will be in accordance with NESA syllabuses and the *ACE* website	7.3.2					

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**				
		Yes	**No**	**n/a**	**If yes, school document name, location and date last revised**	**Responsible staff member**
Staff – External providers						
documentation to indicate that the school has documented processes for being assured that any external provider accessed by the school complies with the *Child Protection (Working with Children) Act 2012*	5.2.3					
record of the students undertaking course(s) with an external provider	5.2.3					
records to demonstrate the suitability of the external provider to deliver the course(s) including, where relevant, evidence of certification of the provider by appropriate agencies	5.2.3					
record of the agreement between the school and the external provider including identification of respective responsibilities	5.2.3					
procedures to ensure that course requirements are being met and will continue to be met for courses delivered by external provider(s)	5.2.3					
records to demonstrate that the outsourced sources comprise a minority of each student's pattern of study for each stage of learning, unless otherwise approved by NESA	5.2.3					
policies and procedures in relation to external provider(s) to ensure the safety and welfare of students and to promote their personal and social development	5.6.2					
a written statement from each external provider that their course delivery and assessment program will be in accordance with NESA syllabuses and the *ACE* website	7.3.2					

Proforma D: Identifying existing school documentation that meets the requirements for educational and financial reporting for a non-government school that is a member of a registration system

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**		
		Yes	**No**	**Staff member responsible**
Educational and financial reporting				
An annual report that contains: a message from key school bodies	5.10.1			
contextual information about the school	5.10.1			
student outcomes in standardised national literacy and numeracy testing	5.10.1			
the granting of Records of School Achievement	5.10.1			
the results of the Higher School Certificate including comparison of student performance to statewide performance and trends in student performance Where it does not contravene privacy and personal information policies, graphical and/or tabulated presentation of this information is required and should show: – comparative performance over time – comparisons with statewide performance – comparative information in relation to similar schools where appropriate. Interpretative comments for the graphical/tabulated information presented must be provided. Publication of performance data must be consistent with the requirements of all relevant state and national legislation.	5.10.1			
senior secondary outcomes including: – percentage of students in Year 12 undertaking vocational or trade training – percentage of students in Year 12 attaining a Year 12 certificate or equivalent VET qualification	5.10.1			
a summary of professional learning undertaken by teachers (as defined by the *Teacher Accreditation Act 2004*) during the year	5.10.1			

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**		
		Yes	**No**	**Staff member responsible**
Educational and financial reporting (continued)				
details of all teaching staff (as defined by the *Teacher Accreditation Act 2004)* who are responsible for delivering the curriculum as described by the *Education Act 1990* in terms of numbers in the following categories: i. having teacher education qualifications from a higher education institution within Australia or as recognised within the National Office of Overseas Skills Recognition (AEI-NOOSR) guidelines, or ii. having a bachelor degree from a higher education institution within Australia or one recognised within the AEI-NOOSR guidelines but lacking formal teacher education qualifications	5.10.1			
workforce composition, including Indigenous (as known and with regard to consideration of privacy issues)	5.10.1			
student attendance rates for each Year level and the whole school	5.10.1			
a description of how the school manages student non-attendance	5.10.1			
retention of Year 10 to Year 12 (where relevant)	5.10.1			
post-school destinations (secondary schools only). For students beyond the compulsory years of schooling these can be represented in broad terms (eg workforce, further study, unknown) and in the most appropriate way according to each school's circumstances.	5.10.1			
the full text of the enrolment policies, including all prerequisites for continuing enrolment	5.10.1			
characteristics of the student body	5.10.1			
school policies. A summary of policies for student welfare, anti-bullying, discipline and complaints and grievances, with information on: – changes made to policies during the reporting year – how these policies are disclosed publicly	5.10.1			
priority areas for improvement as selected by the school including comments on the achievement of priorities for the previous year. The areas selected for improvement by the school may or may not include targets for student achievement.	5.10.1			

Policies, procedures, processes and other documentation required as evidence of compliance for each requirement as listed in the *Registration Systems and Member Non-government Schools (NSW) Manual*	**Manual reference**	**Does the school have this documentation?**		
		Yes	**No**	**Staff member responsible**
Educational and financial reporting (continued)				
actions undertaken by the school to promote respect and responsibility. These may relate to respectful behaviour, involvement in community service activities, and specific class-based activities.	5.10.1			
a description in plain language of parent, student and teacher satisfaction. This can be represented in the most appropriate way according to each school's circumstances.	5.10.1			
summary of financial information which includes: – income from all sources, including Commonwealth and state grants and subsidies and all private income, including fees and donations – expenditure on all purposes, including teaching and learning, administration and financing (ie borrowing costs, depreciation, etc). Financial information is to be based on, and reported in a form consistent with, the detailed information provided to the Commonwealth Government each year in the Commonwealth Financial Questionnaire. When income is received and managed by a registration system authority on behalf of member schools, the system may provide a summary financial report for that income on behalf of member schools in a form that is consistent with the categories described above and with the Commonwealth Financial Questionnaire. Where a system authority is reporting on summary financial information on behalf of members schools, each member school must also report on the locally generated income of the school using the categories described above in a form consistent with the Commonwealth Financial Questionnaire.	5.10.1			

Please note:

- reports must relate to the school year
- each non-government school is to produce a report no later than 30 June in the year following each reporting year
- reports must be disclosed publicly and provided, in electronic form, to NESA by 30 June following each reporting year