

HUMAN RESOURCE MANAGEMENT AUDIT TOOL (1.6)



Expected Outcome 1.6: Human Resource Management

There are appropriately skilled and qualified staff to ensure that services are delivered in accordance with these standards and the residential care service's philosophy and objectives.

Audit Report

Date of audit: Enter a date.	Report completed by:
Audit areas (Tick as appropriate): <input checked="" type="checkbox"/>	Methods and sample size (Tick as appropriate): <input checked="" type="checkbox"/>
<input type="checkbox"/> Human Resource Management Planning	<input type="checkbox"/> Meeting minutes <input type="checkbox"/> Interviews
<input type="checkbox"/> Human Resource Management Processes	<input type="checkbox"/> P&P <input type="checkbox"/> Observation
<input type="checkbox"/> Care Recipient/Representative Interviews	<input type="checkbox"/> Documents and records <input type="checkbox"/> Other

Summary of the results:

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Improvements /actions	Who	By When	Date Completed
		Enter a date.	Enter a date.
		Enter a date.	Enter a date.
		Enter a date.	Enter a date.
		Enter a date.	Enter a date.

Closure

Evaluation (If appropriate, describe how action/improvements were evaluated and the result):

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Outcome or end result: (Tick applicable boxes)

Policies and procedures revised

Staff training

Changes communicated to appropriate stakeholders

Other (Describe)

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Closed Out

Closed out by: **Date:** Enter a date.

Read your policies and procedures first. Add new audit elements or change elements to reflect your P&P.

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Practices to Achieve the Expected Outcome	Tick	Audit Trail
Human Resource Management Planning		
The strategic / operational plan details how the organisation ensures that there are suitable numbers of staff with relevant knowledge, skills and qualifications to meet the needs of care recipients	<input checked="" type="checkbox"/> <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p>Tick elements completed as part of your audit. You should make notes against each element to reflect your findings and information on who you spoke with and what records you reviewed (detail on the reverse of this page or the notes section if required). Include in comments: issues, improvement opportunities, updates required to P&P etc.</p> <p><input type="checkbox"/> Review strategic / operational plans – do they include a human resource management strategy?</p> <p><input type="checkbox"/> Interview Manager – can they confirm the implementation of the plans?</p> <p><input type="checkbox"/> Review board minutes – do they demonstrate effective monitoring and decision making around HR issues (eg review of issues, actions to address issues such as strategies to meet increased service user numbers/needs)?</p> <p>Comments:</p>
Expert external advice and information on human resource management is accessed if required	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p><input type="checkbox"/> Interview with Manager – is there a contract or agreement with an external advisory party (sight contract; confirm use of external advice, review documents)?</p> <p>Comments:</p>
Staff are encouraged to develop their skills within the organisation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p><input type="checkbox"/> Interview 3 staff – have they been encouraged to develop their skills within the organisation?</p> <p>Comments:</p>
Human Resource Management Processes		
Staff have access to policies, procedures and information relating to their duties and roles	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p><input type="checkbox"/> Interview 3 staff / volunteers – do staff know how to access to policies, procedures and information relating to their duties and roles?</p> <p>- Were they given a position description document when first employed?</p> <p><input type="checkbox"/> Observe access to policies and procedures – do staff have access to policies and procedures to guide their practice?</p> <p>Comments:</p>
Staff/volunteers were observed interacting with care recipients in an appropriate and timely manner	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p><input type="checkbox"/> Observe staff/volunteer interaction with care recipients – do staff interact in an appropriate and timely manner?</p> <p>Comments:</p>
Staff selection criteria and recruitment processes ensure the successful applicant has the required skills and knowledge for the position	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p><input type="checkbox"/> Interview with Manager – are there processes in place to ensure adequately trained staff/volunteers are employed?</p> <p><input type="checkbox"/> Interview 3 senior staff/volunteers – do new recruits typically have the required skills and knowledge for their positions?</p>

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		<input type="checkbox"/> Interview 3 staff/volunteers – do staff feel the selection criteria and recruitment processes they undertook when applying for the job match the skills and knowledge actually required for their position? Comments:
There are processes for reviewing staff numbers and skill mix that take into account care recipients' needs such as those requiring high care or additional specialised nursing care	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> Interview with Manager – are there processes in place to ensure adequately trained staff/volunteers are available to deliver services to meet care needs including specialised needs? - Can you give an example of when staffing levels were changed to accommodate increased care needs of care recipients, such as palliative care needs? Comments:
Staff have access to information regarding their duties and are usually able to complete them during the allocated shifts	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> Interview 3 staff/volunteers – do staff have access to information regarding their duties such as buddy support and information from management? - Do staff have access to up to date duty statements that reflect their roles? - Are staff able to complete their duties within the allocated shifts? Comments:
Practices to Achieve the Expected Outcome	Tick <input checked="" type="checkbox"/>	Audit Trail
There are processes for the communication and implementation of relief arrangements to ensure roster coverage	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> Interview 3 staff – are the processes to inform staff of rosters and relief shifts in place and effective? - Are staff satisfied that relief staff are consistently provided? <input type="checkbox"/> Interview Manager – are all roles (including management) relieved for annual leave and other leave types to meet organisational requirements? Comments:
Staff qualifications are current and reflective of relevant legislation, regulations and any guideline requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> Review 5 staff files/qualification records of a variety of staff (eg nurses, allied health professionals, care staff) – do all staff have current valid evidence of qualifications related to their role? <input type="checkbox"/> Review contractors qualifications (eg allied health professionals) - do all contractors have current valid evidence of qualifications related to their role? Comments:
Appropriate staff numbers and skill mix are maintained at all times	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> Roster shows adequate staff coverage without regular overtime? <input type="checkbox"/> Interview with scheduler – are there adequate trained staff available to fill the roster adequately? - What is the care staff to care recipient ratio for each shift?

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		<p>- What is the nursing staff to care recipient ratio for each shift?</p> <p>- How is annual leave managed – are staff roles replaced with suitably qualified staff?</p> <p><input type="checkbox"/> Review the call bell audits/reports – do they indicate call bells are answered in a timely manner?</p> <p>Comments:</p>
<p>Practices to Achieve the Expected Outcome</p>	<p>Tick <input checked="" type="checkbox"/></p>	<p>Audit Trail</p>
<p>Staff participate in training and educational sessions on topics relevant to the Accreditation Standards</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p>	<p><input type="checkbox"/> Interview 3 staff / volunteers – did staff receive adequate training to support enable them to understand and comply with the Accreditation Standards?</p> <p><input type="checkbox"/> Review training records – do the records confirm that they have training on topics relevant to the Accreditation Standards (eg Standard 1: continuous improvement, regulatory compliance, Standard 2: care delivery training relevant to roles; Standard 3: elder abuse, cultural and linguistic sensitive care, privacy and dignity; Standard 4: workplace safety, infection control etc)?</p> <p>Comments:</p>
<p>There are processes for monitoring and evaluating staff performance against required duties and role responsibilities</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p>	<p><input type="checkbox"/> Interview 3 staff / volunteers – did they receive adequate training to support them to perform their role?</p> <p><input type="checkbox"/> Interview Manager – is a training needs analysis conducted, actions documented and training plan/matrix updated to reflect training needs (view these documents)?</p> <p>- Is the information gained during performance review interviews used to develop training and education opportunities for staff?</p> <p>- What other mechanisms are used to determine staff training/development needs (eg staff feedback, adverse events etc)?</p> <p><input type="checkbox"/> Review performance review documents in 5 staff files– are staff provided the opportunity to participate in performance review in the timeframe detailed in the policies and procedures?</p> <p>Comments:</p>
<p>There are processes for the induction of new and temporary staff</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A</p>	<p><input type="checkbox"/> Sample orientation documentation for 5 staff / volunteers – did they all complete orientation?</p> <p><input type="checkbox"/> Interview 2 recently employed staff/volunteers – did they receive an orientation that gave them the required information to fulfil their role?</p> <p><input type="checkbox"/> Interview Manager – is induction training evaluated and is evaluation information used (view this documentation to show its use in the continuous improvement of induction training)?</p> <p>Comments:</p>

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Documentation demonstrated there are processes for maintaining current criminal history checks for staff	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> Sample 10 staff and all volunteers on the employment checks register – have all employment checks have been completed? - Have all staff signed a code of behaviour/conduct (check personnel files)? - Have all staff (who require) a Statutory Declaration completed one? <input type="checkbox"/> Sample 5 contractors who require police check/insurance documentation – is all documentation current? <input type="checkbox"/> Interview staff responsible for keeping employment checks current – is there a process for ensuring that all checks are completed in a timely manner (explore consequences of checks not up to date)? Comments:
Exit interviews are conducted to determine improvements in human resource management	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> Sample 2 files of staff who have left the organisation – were exit interviews conducted? – Were all staff exit procedures (e.g. payroll, return of equipment etc.) attended to? <input type="checkbox"/> Review improvement plan – were suggestions made by exiting staff were considered by management (if relevant)? <input type="checkbox"/> Interview Manager – are staff exit processes effective? What happens to feedback? Suggestions for improvement? Comments:
Processes are documented and periodically audited to ensure they are appropriate and followed and to identify improvements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> Review organisation plan (internal audit plan) - is an internal audit for human resource management scheduled and the audit repeated if required? Comments:
The policies and procedures for human resource management reflect the practices in place	<input type="checkbox"/> Yes <input type="checkbox"/> No	Required action?
Practices to Achieve the Expected Outcome	Tick <input checked="" type="checkbox"/>	Audit Trail
Care Recipient/Representative Interviews		
Care recipient/representatives generally expressed satisfaction with staff practices, their responsiveness and the manner in which care is provided	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input type="checkbox"/> Interview 10 care recipients/representatives – are you satisfied with the staff behaviour and manner in which staff provide care? - Do feel staff are responsive enough to your/your family member's needs? Comments:
Care recipient/representatives generally expressed satisfaction with staff knowledge and skills	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Interview 10 care recipients/representatives – are you satisfied with the staff's level of knowledge and skills?

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