

EXAMPLE HUMAN RESOURCE 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: 3/11/2014

Report completed by: Jo Bloggs

Audit areas (Tick as appropriate):

Methods and sample size (Tick as appropriate):

Human Resource Management Planning

Meeting minutes Interviews 5 staff and 10 care recipients

Human Resource Management Processes

P&P Observation

Care Recipient/Representative Interviews

Documents and records Other

Summary of the results: The audit showed that current processes are in place and are being used. Four opportunities for improvement have been identified and are detailed below. The staff grievance procedure and exit interview processes have not yet been used.

Improvements /actions

Who

By When

Date Completed

Provide feedback to the Board to include who is responsible and timeframes for taking actions in the Board meeting minutes.

Manager

3/11/2014

Enter a date

Formalise contract with external HR consultant who provides advice.

Manager

6/12/2014

Enter a date

Reaudit management of service delivery contractors in Jan 15.

Manager

31/01/2015

Enter a date

Evaluate training through staff interview an increase in knowledge to determine future training needs.

Manager

16/01/2015

Enter a date

Closure

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

This section is completed once the above actions have been completed and evaluated.....

Outcome or end result: (Tick applicable boxes) Complete this once you have done any of these things to address any issues identified in the audit

Policies and procedures revised

Staff training

Changes communicated to appropriate stakeholders

Other (Describe)

Closed Out

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

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Read your policies and procedures first. Add new audit elements or change elements to reflect your P&P.		
Practices to Achieve the Expected Outcome	Tick	Audit Trail
	<input checked="" type="checkbox"/>	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.
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"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input checked="" type="checkbox"/> Review strategic / operational plans – do they include a human resource management strategy? <input checked="" type="checkbox"/> Interview Manager – can they confirm the implementation of the plans? <input checked="" 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)? Comments: The Board minutes (Jul 14 and Oct 14) have some detail on how the organisation is recruiting additional staff with increased skills, but follow up and allocation of responsibility is not included. OFI – follow up and allocate responsibility
Expert external advice and information on human resource management is accessed if required	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input checked="" 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)? Comments: No contract in place although external advice is sought by telephone and email. OFI – formalise contract.
Staff are encouraged to develop their skills within the organisation	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input checked="" type="checkbox"/> Interview 3 staff – have they been encouraged to develop their skills within the organisation? Comments: Interviewed MGJ, LG and JH – all report yes and MGJ advised currently attending enrolled nursing training.
Human Resource Management Processes		
Staff have access to policies, procedures and information relating to their duties and roles	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input checked="" type="checkbox"/> Interview 3 staff / volunteers – do staff know how to access to policies, procedures and information relating to their duties and roles? - Were they given a position description document when first employed? Interviewed AMP, MGJ, LG – All 3 report yes <input checked="" type="checkbox"/> Observe access to policies and procedures – do staff have access to policies and procedures to guide their practice? Comments: Interviewed AMP, MGJ, LG and sampled AMP, MGJ, LG, JE, JH. All happy with process.
Staff/volunteers were observed interacting with care recipients in an appropriate and timely manner	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input checked="" type="checkbox"/> Observe staff/volunteer interaction with care recipients – do staff interact in an appropriate and timely manner? Comments: Staff at mealtimes were observed to be assisting clients (3/11/14) and for afternoon tea on same day. Consideration to toileting after lunch. Care recipients calling out for assistance at table were provided with same.
Staff selection criteria and recruitment processes ensure the successful applicant has the required skills and knowledge for the position	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<input checked="" type="checkbox"/> Interview with Manager – are there processes in place to ensure adequately trained staff/volunteers are employed?

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	<input type="checkbox"/> N/A	<p>Yes – selection, Cert III and qualified nursing staff, 3 month probation – all working well</p> <p><input checked="" type="checkbox"/> Interview 3 senior staff/volunteers – do new recruits typically have the required skills and knowledge for their positions? Interviewed AMP, LG and MGJ. Minimal training required in addition to induction/orientation</p> <p><input checked="" 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? Interviewed JH, SG and JE - yes</p> <p>Comments:</p>
<p>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</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p><input checked="" 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? Roster has 1:5 ratio for high care area with nursing staff on top. Additional expertise gained through nurse practitioner if necessary.</p> <p>- Can you give an example of when staffing levels were changed to accommodate increased care needs of care recipients, such as palliative care needs? Recently 2 palliative clients – increased staffing by 1 person in 30 bed wing to assist and sourced palliative care nursing to provide guidance and assistance.</p> <p>Comments:</p>
<p>Staff have access to information regarding their duties and are usually able to complete them during the allocated shifts</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p><input checked="" type="checkbox"/> Interview 3 staff/volunteers – do staff have access to information regarding their duties such as buddy support and information from management? Interviewed AMP, SG and JE. Buddy support good and info from management consistent eg memos, directives, meetings, duty statements updated by staff</p> <p>- Do staff have access to up to date duty statements that reflect their roles? Duty statement generally fine</p> <p>- Are staff able to complete their duties within the allocated shifts? Interviewed AMP, SG and JE. AMP occasional overtime required,</p> <p>Comments:</p>
<p>Practices to Achieve the Expected Outcome</p>	<p>Tick <input checked="" type="checkbox"/></p>	<p>Audit Trail</p>
<p>There are processes for the communication and implementation of relief arrangements to ensure roster coverage</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p><input checked="" type="checkbox"/> Interview 3 staff – are the processes to inform staff of rosters and relief shifts in place and effective? Interviewed AMP, SG and JE. Yes- online roster</p> <p>- Are staff satisfied that relief staff are consistently provided? Interviewed AMP, SG and JE. Except around holiday periods, when sometimes Agency is required.</p> <p><input checked="" type="checkbox"/> Interview Manager – are all roles (including management) relieved for annual leave and other leave types to meet organisational requirements? Yes – opportunity for staff to act up in roles – nursing manager acts up into manager role</p> <p>Comments:</p>
<p>Staff qualifications are current and reflective of relevant legislation, regulations and any guideline requirements</p>	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p><input checked="" 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? Sampled: MGJ, JE, JH, LG, AMP. JH: No formal quals but experienced in role for</p>

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		<p>over 5 years.</p> <p><input checked="" type="checkbox"/> Review contractors qualifications (eg allied health professionals) - do all contractors have current valid evidence of qualifications related to their role?</p> <p>Sampled all records of contractors used in the last 6 months: All had appropriate formal quals. Included: dietician, speech pathologist, podiatrist.</p> <p>Comments:</p>
Appropriate staff numbers and skill mix are maintained at all times	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p><input checked="" type="checkbox"/> Roster shows adequate staff coverage without regular overtime?</p> <p>Occasional overtime, no pattern observed</p> <p><input checked="" type="checkbox"/> Interview with scheduler – are there adequate trained staff available to fill the roster adequately?</p> <p>95% of the time</p> <p>- What is the care staff to care recipient ratio for each shift?</p> <p>1:5</p> <p>- What is the nursing staff to care recipient ratio for each shift?</p> <p>1:20</p> <p>- How is annual leave managed – are staff roles replaced with suitably qualified staff?</p> <p>Replace with casual staff if at all possible – some agency usage but limited</p> <p><input checked="" type="checkbox"/> Review the call bell audits/reports – do they indicate call bells are answered in a timely manner?</p> <p>Average time to response in day shift – 4 minutes; evening shift – 5 minutes; night shift – 3 minutes. These are our average call bell times and we haven't had any complaints about time to respond.</p> <p>Comments:</p>
Practices to Achieve the Expected Outcome	Tick <input checked="" type="checkbox"/>	Audit Trail
Staff participate in training and educational sessions on topics relevant to the Accreditation Standards	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p><input checked="" 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>Interviewed AMP, MGJ, LG. Training adequate</p> <p><input checked="" 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>Records confirm regular training across all standards</p> <p>Comments:</p>
There are processes for monitoring and evaluating staff performance against required duties and role responsibilities	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<p><input checked="" type="checkbox"/> Interview 3 staff / volunteers – did they receive adequate training to support them to perform their role?</p> <p>Interviewed AMP, MGJ, LG. Training adequate to match role</p> <p><input checked="" 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>Training needs analysis 2014 sighted, training plan up to date, additional accreditation standards training (Sd 3) provided this year in response to staff feedback as this training was lacking -ad hoc feedback</p> <p>- Is the information gained during performance review interviews used to develop training and education opportunities for staff?</p> <p>Performance reviews seem perfunctory – not evaluated effectively to determine future needs</p> <p>- What other mechanisms are used to determine staff training/development needs (eg staff feedback, adverse events etc)?</p> <p>Training not evaluated effectively to determine future needs. OFI.</p>

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		<input checked="" 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? MGJ, JE, JH, LG, AMP – all done annually and within the last year. Comments:
There are processes for the induction of new and temporary staff	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input checked="" type="checkbox"/> Sample orientation documentation for 5 staff / volunteers – did they all complete orientation? <input checked="" type="checkbox"/> Interview 2 recently employed staff/volunteers – did they receive an orientation that gave them the required information to fulfil their role? Yes – happy with orientation JE and AMP <input checked="" 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)? Training not evaluated effectively to determine future needs. Comments: Sampled: MGJ, JE, JH, LG, AMP. Interviewed JE and AMP.
Documentation demonstrated there are processes for maintaining current criminal history checks for staff	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input checked="" type="checkbox"/> Sample 10 staff and all volunteers on the employment checks register – have all employment checks have been completed? MGJ, JE, JH, LG, AMP, JB, FG, ET, WT, AV – all complete - Have all staff signed a code of behaviour/conduct (check personnel files)? Yes – as above - Have all staff (who require) a Statutory Declaration completed one? Yes – as above <input checked="" type="checkbox"/> Sample 5 contractors who require police check/insurance documentation – is all documentation current? Contractors – pest, electrician, plumber, curtain man, maintenance man all current insurance and police checks <input checked="" 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: Interviewed JH and LG: processes working.
Exit interviews are conducted to determine improvements in human resource management	<input type="checkbox"/> Yes <input checked="" 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 checked="" type="checkbox"/> Review improvement plan – were suggestions made by exiting staff were considered by management (if relevant)? <input checked="" type="checkbox"/> Interview Manager – are staff exit processes effective? What happens to feedback? Suggestions for improvement? Comments: This is a new process and no staff who have left have used the new process. Manager stated that this will be used when staff next leave the organisation.
Processes are documented and periodically audited to ensure they are appropriate and followed and to identify improvements	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	<input checked="" type="checkbox"/> Review organisation plan (internal audit plan) - is an internal audit for human resource management scheduled and the audit repeated if required? Comments: Processes ok – audit conducted, no repeat to date until next year.
The policies and procedures for human resource management reflect the practices in place	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	Required action? Last updated 12/13 and current

