

## Human Resources Self-assessment Checklist

This resource is designed to help healthcare business owners evaluate their human resources policies and practices. For additional risk control tools and information, visit [www.cna.com](http://www.cna.com), [www.hpsa.com](http://www.hpsa.com) and/or [www.nso.com](http://www.nso.com).

RISK CONTROL MEASURES	(Y/N)	ACTION(S) NEEDED TO REDUCE RISKS
<i>Behavior-based questions and reliable personality profile assessment tools are used in hiring interviews to determine whether candidates possess the requisite integrity, decision-making ability and communication skills, as well as a caring and respectful manner.</i>		
<i>A thorough pre-employment screening process is consistently utilized and includes the following elements, among others:</i>		
<ul style="list-style-type: none"> <li>▪ Verification and documentation of references and licensure.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Criminal background investigation, encompassing all states where the applicant has lived or worked.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Review of Office of Inspector General and sex abuse registries/employee disqualification lists.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Check of credit history, if relevant and legally permissible in the jurisdiction.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Drug screen, once a job offer has been made.</li> </ul>		
<i>Employee files are regularly reviewed and carefully organized to ensure that required documents and records are current and accessible.</i>		
<i>Employee files, whether electronic or paper, are secured to protect privacy.</i>		
<i>Employee files are continually updated, and include the following documents:</i>		
<ul style="list-style-type: none"> <li>▪ Pre-employment screening documents (e.g., criminal background check, drug screen results, reference verifications).</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Required employment documents completed by the employee (e.g., application, tax forms, contracts).</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Current professional licensure/certification.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Position-specific skill certifications (e.g., CPR, ACLS, fetal monitoring).</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Job description, signed by employee and supervisor.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Copy of photo identification card.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Emergency contacts.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Confidentiality statement, signed by employee.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Signed form indicating that the employee has read, understood and accepted the terms of employment as described in the employee handbook.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ General orientation documentation, with a signed acknowledgement of completion by the employee and a human resources representative.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Department orientation documentation, with a signed acknowledgement of completion by the employee and his/her supervisor.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Performance evaluations, signed by the employee and his/her supervisor.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Professional liability claims history, if applicable, including a list of both pending and closed claims.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Reports of disciplinary licensing board actions, if any.</li> </ul>		

RISK CONTROL MEASURES	(Y/N)	ACTION(S) NEEDED TO REDUCE RISKS
<i>Employment policies are clearly conveyed to new staff members during the orientation process and are regularly reviewed thereafter. Issues to discuss include the following, among others:</i>		
<ul style="list-style-type: none"> <li>■ Compensation, benefits, hours of operation, paid time off, holidays, and personal and professional leave.</li> </ul>		
<ul style="list-style-type: none"> <li>■ Code of conduct.</li> </ul>		
<ul style="list-style-type: none"> <li>■ Acceptable business and professional practices.</li> </ul>		
<ul style="list-style-type: none"> <li>■ Occupational health and safety issues.</li> </ul>		
<ul style="list-style-type: none"> <li>■ Disciplinary measures and warnings.</li> </ul>		
<ul style="list-style-type: none"> <li>■ Absenteeism and tardiness.</li> </ul>		
<ul style="list-style-type: none"> <li>■ Dress code.</li> </ul>		
<ul style="list-style-type: none"> <li>■ Rules governing conflicts of interest, workplace solicitation, outside employment and whistleblower protection.</li> </ul>		
<ul style="list-style-type: none"> <li>■ Smoking bans and drug-testing policies.</li> </ul>		
<ul style="list-style-type: none"> <li>■ Cell phone, Internet, email and social media rules.</li> </ul>		
<ul style="list-style-type: none"> <li>■ Concealed weapons ban.</li> </ul>		
<ul style="list-style-type: none"> <li>■ Harassment definition and prohibition.</li> </ul>		
<ul style="list-style-type: none"> <li>■ Equal opportunity and diversity policies.</li> </ul>		
<ul style="list-style-type: none"> <li>■ Contract worker rules and regulations.</li> </ul>		
<p><i>Performance appraisals are conducted annually, with results acknowledged in writing by the supervisor and employee.</i></p>		
<p><i>A "tickler system" is established to track due dates for appraisals and licensure recertification.</i></p>		
<p><i>Exit interviews take place whenever staff members voluntarily end their employment.</i></p>		



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