

Self-assessment Checklist: Human Resources Practices

This resource is designed to help leaders in outpatient healthcare settings evaluate their human resources policies and procedures. For additional risk control tools and information, visit www.cna.com.

Risk Control Strategies	Present (Yes/No)	Comments
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.		
A comprehensive pre-employment screening process is consistently utilized and includes the following elements, among others:		
• Drug screen.		
• Criminal background investigation, encompassing all states where the applicant has lived or worked in conformity with laws and regulations.		
• Review of Office of Inspector General and sex abuse registries.		
• Verification and documentation of references and licensure.		
• Check of credit history, if relevant and legally permissible in the jurisdiction.		
Personnel files are organized, reviewed and maintained to ensure that required documents and records are current and accessible.		
Personnel files, whether electronic or paper, are secured to protect employee privacy.		
Personnel files are continually updated and include the following documents:		
• Current professional licensure/certification.		
• Pre-employment screening documents (e.g., criminal background check, drug screen results, reference verifications).		
• Required employment documents completed by the employee (e.g., application, tax forms, contracts).		
• Position-specific skill certifications (e.g., CPR, ACLS).		
• Professional liability insurance carrier and limits of coverage, if applicable.		
• Professional liability claims history, if applicable, including a list of both pending and closed claims.		
• Reports of disciplinary licensing board actions, if any.		
• Current job description, signed by employer and supervisor.		
• Copy of photo identification card.		
• Emergency contacts.		
• Confidentiality statement, signed by employee.		
• Signed form indicating that the employee has read and understood the employment policies as delineated in the employee handbook.		
• General orientation documentation, with a signed acknowledgement by the employee and a human resources representative or supervisor.		
• Performance evaluations, signed by the employee and his/her supervisor.		

**Present
(Yes/No) Comments**

Risk Control Strategies

Employment policies are clearly conveyed to new staff members during the orientation process and are regularly reviewed by supervisors. Issues to discuss include:		
• Employment at will policy.		
• Code of conduct.		
• Acceptable business and professional practices.		
• Adverse event and near-miss reporting policy and process.		
• Disciplinary policies and procedures.		
• Workplace health and safety issues.		
• Conflict of interest.		
• Whistleblower protections.		
• Employee conflicts with outside employment.		
• Contract worker rules and regulations.		
• Professional boundary violations and associated internal reporting process.		
• Equal employment opportunity and diversity policies.		
• Anti-harassment policy.		
• Dress code.		
• Compensation, benefits, hours of operation, paid time off, holidays, and personal and professional leave policies.		
• Smoking policy.		
• Absenteeism and tardiness rules.		
• Artificial Intelligence, cell phone, internet, email and social media policies.		
• Concealed weapons policy.		
• Drug testing.		
• Exit interviews.		
Performance appraisals are conducted on a consistent basis , with findings acknowledged in writing by the supervisor and employee.		
A "tickler system" is established to track due dates for appraisals and licensure recertification.		
Exit interviews are conducted whenever staff members voluntarily end their employment.		

This tool serves as a reference for organizations seeking to evaluate risk exposures associated with emergency management. The content is not intended to represent a comprehensive listing of all actions needed to address the subject matter, but rather is a means of initiating internal discussion and self-examination. Your clinical procedures and risks may be different from those addressed herein, and you may wish to modify the tool to suit your individual practice and patient needs. The information contained herein is not intended to establish any standard of care, serve as professional advice or address the circumstances of any specific entity. These statements do not constitute a risk management directive from CNA. No organization or individual should act upon this information without appropriate professional advice, including advice of legal counsel, given after a thorough examination of the individual situation, encompassing a review of relevant facts, laws and regulations. CNA assumes no responsibility for the consequences of the use or nonuse of this information.