Place name of business here

Self Audit Checklist

Staff Management Self Audit

Conducted By _____

Date _____

Codes:

L	Legislative Compliance	BM	Workforce /Benchmarking
GB	Good Business Practice	P	People/Business Development

The examples are a guide. You may also have other criteria you can place in this section which is relevant for your Business.

Some criteria may or may not be relevant to your Business. Make a note of NA if it is Not Applicable. Once you have completed this, contact the team at HR Fix for guidance.

Code	1. Management of Staff Processes	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
P	Nominated Manager	All systems have been approved processes by the nominated Manager. Staff administration processes are consistently applied in the Business. Nominated Manager knows how the systems work. **Notes for your Business:** • • •		all

Staff Systems

Code	2. Staff Management Objectives	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
	Short Term objectives	A staff management and development plan is in place for 3 to 6 months – targets **Notes for your Business:** ● ● ●		4
	Long Term objectives	A staff management and development plan is in place for 12 to 18 months – targets **Notes for your Business:** ● ● ●		4
	How you have developed your Staff for the Business	What staff development objectives have been accomplished within the last 12 months? **Notes for your Business:** ● ● ●		4

Staff Systems

Code	3. Administration	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
GB	Communication process within the Business	Meetings: Scheduled management meetings to review key business results, forecasts and current issues. Scheduled staff meetings formal or informal Operations Logging systems Reports Memo / email messaging system Staff Satisfaction Survey **Notes for your Business:** ● ● ●		
L	Presence of staff management Policies and Procedures	Policies and Procedures manual for: Legal compliance (EEO, Harassment, Victimisation, Grievance Procedure, Bullying, OH&S.) Workplace management (Performance Management, Performance Reviews, Code of Conduct, etc) Good Business Practice (policies including Internet and Computer Usage, Use of Mobile Phones) Good Business Processes (workplace checklists, flow charts, expense claim system, petty cash management etc) **Notes for your Business:** ● ● ●		
GB	How can Staff access the Manager?	Systems include: ● Grievance Procedure Manager visibility in the Business: ● Managing by walking around ● Open door policy **Notes for your Business:** ● ●		

Staff Systems

Place name of business here

		●		
GB	Standard of how staff systems are managed	Secure staff filing system Staff access to forms and information **Notes for your Business:** ● ● ●		
GB	Standard Letters and systems used	● Recruitment Letter of Offer ● Interview guides ● Performance Reviews ● Staff information collation (i.e bank details, emergency contact etc) ● Orientation Checklist ● Exit Survey **Notes for your Business:** ● ● ●		
GB	Internal standards set	If standards have been set – how is this translated in the Business? **Example** ● Calls answered in three rings – in Position Description of staff responsible. ● Customer queries replied within 24 hours in flow charts **Notes for your Business:** ● ● ● .		

Code	4. Staff Files	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
GB	Are staff files: Systematic Up to Date Accurate Secure	Staff files secure in a locked filing cabinet Staff computer files have limited access codes All Staff have a contract (letter of offer) and the original in the staff file. **Notes for your Business:** ● ● ●		
L	Are employee files being handled confidentially?	Limited access to files to Managers only. No staff information filed (or placed) in unsecure systems. **Notes for your Business:** ● ●		
GB	What is done to track employee files should they be allowed out of the office?	Sign in and out if multiple Managers in the Business. **Notes for your Business:** ● ●		
L	Are the employee files tracked in a systematic way? Details	Staff management spreadsheet Critical Dates Schedule for annual audit **Notes for your Business:** ● ●		

Staff Systems

Code	5. Budget	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
BM	What is the % budget of staff to total budget?	Planning and tracking process of your labour cost. **Notes for your Business:** ● ● ●		
BM	What is the cost per employee?	Cost as a % of Revenue for example **Notes for your Business:** ● ● ●		
BM	Is the labour budget managed?	Rosters costed. **Notes for your Business:** ● ● ●		
L	Staff development in budget (if applicable)	Does the staff budget comply with legislative training required? **Examples** ● OH&S Representative (WHSO) if required ● Qualified rehabilitation officer ● First Aid ● Other industry or equipment certificates **Notes for your Business:** ● ● ●		

Staff Systems

Code	6. Absenteeism	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
L	Controls in place to measure and control absenteeism?	Payroll tracking process Leave processing Standards for Doctors Certificates Permanent payroll /absenteeism ratio of 5%(example only) **Notes for your Business:** ● ● ●		

Staff Systems

Code	7. Organisational	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
GB	Up to date Organisational Chart?	Display of Organisational Chart Organisational Chart reviewed in the Orientation process **Notes for your Business:** ● ● ●		
L	Defining Roles	Standard Position Descriptions including job and workplace responsibilities, behaviour and reporting relationships Position Descriptions signed and placed on the staff file Evidence of standards reviewed with staff i.e. Staff Orientation Checklist **Notes for your Business:** ● ● ●		
GB	Right pay rates	Approval systems for Manager to authorise salaries and new Staff Copy of the relevant award(s) on site. **Notes for your Business:** ● ● ●		

Staff Systems

Place name of business here

Code	8. Requisitions	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
GB	Approving new staff	Requisition of Staff – clear responsibility defined in the Business. Authorising Letters of Offer including pay rate, allowances etc by one Manager. **Notes for your Business:** ● ●		
GB	Approval process for vacancy management	Signed requisition triggers internal vacancy notice procedure. Permanent Positions advertised to internal Staff prior to advertising or going external. **Notes for your Business:** ● ●		
L	Staff notified of vacancies?	Internal Vacancy Notice – send notice on all positions –with close off date on noticeboard. **Notes for your Business:** ● ●		
BM	What is the average response time for filling Key positions Line employee positions	**Example** Key positions: 5 weeks to 2 months Line staff – 1 to 4 weeks. Reactive recruitment vs – proactive strategies **Notes for your Business:** ● ●		

Staff Systems

Code	9. Recruitment	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
GB	Tracking of Source of Applicants	Keep information on how Staff are sourced ie Local Newspaper Unsolicited Website Local Agencies National Agencies **Notes for your Business:** • • •		
GB	Quality of applicant sourcing known	Are recruitment sources providing adequate numbers of quality applicants? Keep a tracking system in staff file management spreadsheet **Notes for your Business:** • • •		
GB	Quality Agency Process	If a Recruiter is used the following may be applicable • Preferred supplier agreement – rate competitive • Value added service **Notes for your Business:** • • •		
GB	New/creative efforts have been made to find or develop new sources to fill positions?	University/colleges. Branding strategy or Traineeship initiatives. **Notes for your Business:** • • •		

Staff Systems

GB	How long does an application remain in the recruitment bank?	Keep on file for up to 6 months. Filed **Notes for your Business:** • • •		
P	Who conducts the interviews Managers Staff	Standard established for who conducts levels of interviews Standard recruitment interview guide used. **Notes for your Business:** • • • .		
L	Are reference checks obtained prior to job offer?	Conduct reference checks minimum of 2 **Notes for your Business:** • • •		
L	Are pending applicants filed in a systematic manner?	Archive system or shredded Kept confidential – as per Privacy Act. **Notes for your Business:** • • • .		
GB	Once an applicant has been rejected, what is the response time?	Standard – 24 hours. **Notes for your Business:** • • •		

Staff Systems

L	Who makes the job offer?	Manager position– GM Staff – Delegated to senior staff member Policy written. **Notes for your Business:** ● ● ●		
L	Have you a standard employment for contract for Wages Salaried	Contracts standard including: Time frame of offer Confidentiality Intellectual Property Compliance with policies and procedures Conflict of Interest Probation Date **Notes for your Business:** ● ● ●		

Staff Systems

Code	10. Start Up	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
GB	When are new Staff Orientations conducted?	First Day – Introduction Sign off – Orientation Buddy Systems. **Notes for your Business:** ● ● ●		
L	Are Staff given workplace information in the orientation?	Does it include: ● Information on the Business ● Training ● Benefits ● Legislative requirements ● (EEO, Anti Discrimination, Harassment, Grievance Procedures, OH&S) **Notes for your Business:** ● ● ●		
L	Do Staff sign a declaration at the completion of the orientation?	Orientation checklist sign off on staff files. **Notes for your Business:** ● ● ●		

Staff Systems

Place name of business here

L	How is the Staff start up details managed between the Staff and payroll process?	Letter of offer signed and returned prior to first day Staff Action Form completed on first day **Notes for your Business:** ● ● ●		
GB	How are uniforms/keys issued?	In orientation – deposit Sign off for Keys – shift / Business **Notes for your Business:** ● ● ●		

Staff Systems

Code	11. Performance Reviews	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
L	Length of the Probationary Period clarified	**Example** 12 weeks As well as casuals **Notes for your Business:** ● ● ●		
L	Is this tracked?	Included in Staff spreadsheet and diarised		
GB	How often are Performance Reviews performed?	Use of standard formats Instructions given to Staff prior **Notes for your Business:** ● ● ●		
BM	Completion rate for Performance Reviews in the Business?	All completed in same month each year.		
GM	Collation of information	Information used for: ● Staff development with Action Plans ● Business Development to measure organisational capability prior to strategy planning. **Notes for your Business:** ● ● ●		
P	What training is conducted on Performance Review management?	Scheduled one month prior to the annual process. **Notes for your Business:** ● ● ●		

Code	12. Performance Management	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
L	Have Managers demonstrated a strong understanding of due process and legislative requirements?	Consistent process adopted by the Business in issuing warnings and counselling Staff. **Notes for your Business:** ● ● ●		
L	Tracking of IR issues	Documentation kept in the Business on IR issues in the last 12 months **Notes for your Business:** ● ● ●		
L	Performance Management documentation	Standard Forms and systems established for: ● Grievance Procedure ● File Note ● Verbal Warning ● Written Warning ● Termination and Per Mgt Policy ● Information provided to Staff **Notes for your Business:** ● ● ●		

Code	13. Training	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
GB	Tracking of Training	Training calendar established annually. Budget reflects training needs **Notes for your Business:** ● ● ● .		
BM	Skills tracked in the workplace	Buddy system standard format Competencies developed in line with procedures and Position Description **Notes for your Business:** ● ● ●		
L	Skills tracked	Information kept on the staff file **Notes for your Business:** ● ● ●		
L	Compliance exists with legislative training i.e.	**Example** ● HACCPs ● RSA ● OH&S Committee (30 employees or more) ● OH&S Representative ● Emergency Response Team ● Chemical Handling ● Manual Handling ● First Aid ● Management of Risk Assessments **Notes for your Business:** ● ● ●		

Staff Systems

P	Multi skilling processes	Formalised cross training process in place **Notes for your Business:** ● ● ●		
P	Management development programs in place	**Example** Management Program – mentor meetings one time per month **Notes for your Business:** ● ● ●		

Staff Systems

Code	14. OH&S	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
GB	Active coordination of OH&S compliance within the Business	Manager responsibility in Position Description All staff Position Description includes OH&S statements Risk Assessment conducted on the Business Know the relevance of legislation on the Business and contractors. **Notes for your Business:** ● ● ●		
L	Accountable for OH&S management?	Person nominated for the Business **Notes for your Business:** ● ● ●		
L	Is there an Accident Register	Accident and near accident registers Review system in place. **Notes for your Business:** ● ● ●		
GB	OH&S compliance	Audit conducted on a scheduled basis. **Notes for your Business:** ● ● ●		

Staff Systems

L	Is there a pre existing condition declaration upon employment of new staff?	On application form. **Notes for your Business:** • • •		
L	Is there a Return to Work Program	Management system for injury management **Notes for your Business:** • • •		
L	Current Workers Compensation Claims and how they are being managed.	**Notes for your Business:** • • •		
L	What is your current premium vs industry rating?	**Notes for your Business:** • • •		
GB	What are the current cases and how are they managed?	**Notes for your Business:** • • •		
L	Who conducts a risk assessment when an injury occurs?	**Notes for your Business:** • • •		

Staff Systems

Place name of business here

L	Emergency Procedures – do they exist?	**Example** Fire Wardens Bomb Threats Cyclone Emergency Procedure Manual **Notes for your Business:** ● ● ●		
L	How often are the Emergency Procedures reviewed and updated?	**Notes for your Business:** ● ● ●		
L	How often is training conducted for: Fire Safety? ERT? Evacuation?	**Notes for your Business:** ● ● ●		
GB	Is there an annual OH&S Plan implemented How is the plan communicated within the Business?	**Notes for your Business:** ● ● ●		
GB	Do staff know the ERT procedures	Induction – discuss Signs – evac procedures to reinforce orientation. Annual review: **Notes for your Business:** ● ● ●		

Staff Systems

L	First Aid kit locations and supplies	**Notes for your Business:** ● ● ●		
GB	Occupational Health and Safety Committee – number of meetings per year	Check up to date legislation for compliance (i.e. over 30 staff) **Notes for your Business:** ● ● ●		

Staff Systems

Code	15 Standard Documentation	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
L	What standard forms exist within for the Business?	• Handbook • Performance Appraisal • Application Form • Position Description • Staff Action Form • Superannuation – choice of funds • Letter of Offer • Leave Application Forms – sick leave/ etc/ annual leave/LWOP/ Days in lieu • Exit Survey Form • Counselling Forms • Staff File Note **Notes for your Business:** • • • .		

Staff Systems

Code	16 Staff Facilities	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
GB	Are there designated employee entrances and exits?	If required: Needs to be reinforced in staff orientation. **Notes for your Business:** ● ● ●		
GB	Is the work environment kept clean, well lit and in an attractive manner?	**Notes for your Business:** ● ● ●		
GB	Is the entrance decorated in such a way as to generate a welcoming feeling?	**Example** Cleanliness checked Noticeboards. **Notes for your Business:** ● ● ●		
GB	Are there correct authorisations requested when removing property from the building?	Policy and Procedure – Distribution required. And included in employee orientation. **Notes for your Business:** ● ● ●		
GB	Are there signs to encourage staff's model behaviour when on premises?	**Notes for your Business:** ● ● ●		
GB	Is there a selection of Health and Safety messages in staff areas?	**Notes for your Business:** ● ● ●		

Staff Systems

GB	Is there a selection of employee positive attitude messages in staff areas? List: Location/Message	**Notes for your Business:** ● ● ●		
GB	Does a rest area for meal breaks etc?	**Notes for your Business:** ● ● ●		

Staff Systems

Code	17 Communication	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
GB	Does the Business have an staff Newsletter?	**Notes for your Business:** • • •		
GB	How often are the following meetings held?	General staff meeting Managers meeting Departmental / special interest group meetings Other **Notes for your Business:** • • •		
L	Staff Noticeboard information	Policy information to comply with legislation. Targets for the next month Union OH&S Training Vacancies Client Comments **Notes for your Business:** • • •		

Place name of business here

Code	18 Staff Recognition	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
GB	What program is in place to recognise your workplace champions	**Notes for your Business:** ● ● ●		
GB	How is it done	**Notes for your Business:** ● ● ●		

Staff Systems

Code	19 Grievance Procedure	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
L	Is there a procedure	Within the Employee Handbook **Notes for your Business:** ● ● ●		
L	Outline the prescribed process	**Notes for your Business:** ● ● ●		
L	At what level does a Manager become involved?	**Notes for your Business:** ● ● ● .		
L	What training is conducted for managers and supervisors in managing performance?	**Notes for your Business:** ● ● ●		
L	List documentation used currently	**Notes for your Business:** ● ● ●		

Staff Systems

Code	20. Labour Relations	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
L	Name the relevant union and union delegates	**Notes for your Business:** ● ● ●		
BM	Frequency of interaction with the Union	**Notes for your Business:** ● ● ●		
BM	Number of visitations by a union delegate in the last year	**Notes for your Business:** ● ● ●		
GB	How would you describe your relationship with the Union?	**Notes for your Business:** ● ● ●		
GB	What issues are being followed through with the Union in the local market currently?	**Notes for your Business:** ● ● ●		
GB	How many staff are registered union members that you know of?	**Notes for your Business:** ● ● ●		

Staff Systems

Code	21. Industrial Relations	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
L	Are there any labour matters which are currently in front of a labour tribunal/board or in litigation regarding staff or former staff of the Business?	**Notes for your Business:** ● ● ●		
L	Have all employees provided ID for legal right to work in Australia?	**Notes for your Business:** ● ● ●		

Staff Systems

Place name of business here

Code	22.Skills Training	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
GB	List training courses conducted at the Business	**Notes for your Business:** ● ● ●		
GB	Who conducts the training?	**Notes for your Business:** ● ● ● .		
BM	What is the level of satisfaction of the training by employees and managers? How is this measured?	**Notes for your Business:** ● ● ●		

Staff Systems

Code	23. Turnover	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
BM	What is the annualised turnover for previous year and projected turnover for the current year?	**Notes for your Business:** ● ● ●		
BM	What is the biggest contributor to staff turnover?	**Notes for your Business:** ● ● ●		
L	Are exit interviews conducted on all terminated staff?	**Notes for your Business:** ● ● ●		
GB	How is this managed?	**Notes for your Business:** ● ● ●		
GB	What strategies are in place to manage turnover?	Recruitment Plan for year Management Development for year Recognition program for year Traineeships **Notes for your Business:** ● ● ●		

Code	24. Labour Planning	Examples of how they are applied in the Business	Have in place Y/N	Staff System Reference
L	Number of Employees by Gender (EOWA – 100 or more employees) Male Female	**Notes for your Business:** ● ● ●		
BM	Number of Managers by Gender Male Female	**Notes for your Business:** ● ● ●		
L	Productivity Indicators used and provided to Department Managers	Key Performance Indicators Position Descriptions **Notes for your Business:** ● ● ●		
BM	Comparative Analysis conducted with other Businesses in relation to productivity indicators	**Notes for your Business:** ● ● ●		

Staff Systems

Place name of business here

Other HR Issues identified:

Staff Management Category	Priorities
1. Management of Staff Processes	•
2. Staff Management Objectives	•
3. Administration	•
4. Staff Files	•
5. Budget	•
6. Absenteeism	•
7. Organisational	•
8. Requisitions	•
9. Recruitment	•
10. Start Up	•
11. Performance Reviews	•
12. Performance Management	•
13. Training	•
14. OH&S	•
15. Standard Documentation	•
16. Staff Facilities	•
17. Communication	•
18. Staff Recognition	•
19. Grievance Procedures	•
20. Labour Relations	•
21. Industrial Relations	•
22. Skills Training	•
23. Turnover	•
24. Labour Planning	•
25. Other	•

Instruction for managers

1. Complete the audit as honestly and objectively as possible.
2. The criteria used is a prompt for you to think about how you manage your Staff. Use this as a guide to create better business practice.
3. Complete the audit and then list priorities in the table above. This can be part of a business planning process.
4. Schedule this activity on an annual basis to keep on track.
5. Use an Action Plan to plan activities as a follow up.

Staff Systems