

2.9

## Human Resource Management (HRM)

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The goal of the Human Resource standards is to ensure that the hospital determines qualifications and competency for staff positions that match the organization's mission, patient population, and patient care needs. Hospitals must provide the right number of competent staff to meet patient care requirements. To meet this goal, the standards require hospitals to plan for staffing; orient, educate, and train staff; assess, maintain, and improve staff capability; and promote self-development and learning. There should be well organized HR department in each hospital and its function is not merely the hiring and firing of the staff, but in fact the development of human resource and considering it an asset for the hospital.

## STANDARD-24.HRM-1: THE STAFF MEMBERS JOINING THE ORGANIZATION ARE ORIENTED TO THE HOSPITAL ENVIRONMENT, THE INSTITUTION, RESPECTIVE DEPARTMENTS AND THEIR INDIVIDUAL JOBS.

**IND.130** EACH STAFF MEMBER, EMPLOYEE, STUDENT AND VOLUNTARY WORKER IS APPROPRIATELY ORIENTED TO THE ORGANIZATION'S MISSION AND GOALS.

### General Orientation

Once the selection process has been completed, the new employee must be oriented in order to become productive contributor. Orientation not only improves the rate at which employees are able to perform their job but also helps employees to satisfy their personal desire to feel like they are part of the organization's social fabric. Supervisors, in coordination with the Human Resource (HR) Department, complete the orientation by introducing new employee to co-workers and others involved in the job.

#### i. Policy

The aim of the policy is to specify a program to introduce new joiners to the organization, work colleagues, its culture and environment. All new employees will go through an orientation and induction program designed by the HR Department, which should include the following:

- a. The vision, mission, values, objectives and policies of the HCE.
- b. Overview of the organizational structure, systems and key processes.
- c. Brief on job responsibilities and key processes of the relevant department.
- d. Description of the HCE's specialty/s and target population.

#### ii. Procedure

At the time of joining the HCE, the employee will submit photocopies of his/her past credentials to the designated HR representative who will complete the necessary documentation and will get signatures of the employee where necessary. Documentations include the following:

- a. Appointment letter.
- b. Joining Report. (**Annex E**)
- c. Statement of ethics. (**Annex F**)
- d. Confidentiality Agreement. (**Annex G**)
- e. Reference Forms for at least two Referees will be filled by the employee (referees must not be blood relations). (**Annex H**)
- f. Employee will fill a Health Questionnaire Form. (**Annex I**)

After completion of documentation, the designated HR Person will brief the employee about the HCE's vision, mission, values, objectives, policies and will issue the **Employee Handbook** to him/her in order to study all the policies in detail. The employee will also be introduced to all the colleagues through a physical tour of the HCE.

Ideally, an **Employee Handbook** should contain:

1. Mission statement, values and goals of the institution.
2. Standards of Conduct to follow (towards a client, for communication, teamwork, maintaining sense of accountability, appearance etc.).
3. Expectations from employees and their responsibilities, such as to keep personal business to a minimum, reporting procedures and personnel, disciplinary action to be taken in various situations.
4. Policies and procedures to follow in the respective departments and in emergency situations.
5. Efficient and safe use of equipment with regards to health and safety standards.
6. Information regarding Employee Benefits schemes and special recognition/appreciation criteria etc.

After orientation, the HR Representative will issue an **Orientation Checklist (Annex J)** to the employee, where the employee will fill the checklist and will give his/her feedback about the orientation. The orientation checklist will be filed into the employee file and feedback will also be used for further improvements in orientation program (if required).

**IND.131** EACH STAFF MEMBER IS MADE AWARE OF HOSPITAL WIDE POLICIES AND PROCEDURES AS WELL AS RELEVANT DEPARTMENT/UNIT/SERVICE/PROGRAM POLICIES AND PROCEDURES.

### Job Specific Orientation

This would be part of the hospital and departmental orientation as in **Indicator No. 130**. Every HCE/Department should recognize that its success depends upon the capacities of its staff and shall design a comprehensive induction orientation program as an integral component of capacity building for all employees. The hospital's induction and orientation processes will provide the information, guidance and support required for staff to undertake their organizational responsibilities and to develop and succeed in their new role. This will be achieved by familiarizing new staff with the hospital's significant policies, systems, procedures, governance structure and the work location, and encouraging commitment to the vision, mission and values of the hospital.

The 'Balanced Scorecard' (Corporate Finance, Treasury and Risk Management) approach is a good start towards implementing performance management systems in any organization. This must be explained to the employees at the induction, in order to align their daily activities with the overall organizational goals (the mission). The new employee should be briefed about past achievements, in terms of services provided, future objectives, plans and targets so as to create a positive image about and for the organization. General responsibilities towards the institution as well as the job description, as to what the staff will be required to do, should be explained to the employee.

Figure No. 28



The orientation should be in three parts:

- i. Orientation to the hospital (such subjects as fire and general safety, Infection Control, and CQI),
- ii. Orientation to the assigned department, and
- iii. Orientation to the specific job within that department.

The content of each level of orientation should be written to ensure that all topics are covered during the process.

**IND.132 EACH STAFF MEMBER IS MADE AWARE OF HIS/HER RIGHTS AND RESPONSIBILITIES.****Staff Rights and Responsibilities**

This standard would require that each staff member have a written Job Description (JD) that defines his or her responsibilities. Every staff member should have a copy of his/her JD to understand their duties and responsibilities.

**i. Responsibilities**

The HR Department must have well-defined JDs for each category of staff, which will also be an important component of the respective personal file duly signed by the employee.

**ii. Rights**

The rights of the staff member should be detailed in the employee manual maintained by the HR Department which should also be shared with the employee/s.

The following points regarding the rights and responsibilities of employees are to be considered;

- a. Staff members may have cultural, religious or personal conflicts concerning their involvement with specific components in the care or treatment of patients. The HCE shall provide a mechanism for employees' to submit their requests for review of work assignments by their HoD. However the continuum of patient care services shall be ensured at all levels.
- b. Staff members will make their requests known to their HoD, manager or supervisor in writing. Examples of procedures, which may conflict with some staff members' beliefs include, blood administration, therapeutic abortion, circumcision and sterilization procedures etc.
- c. The HoD, manager or supervisor shall make every effort to accommodate the request and maintain the duties referenced in the employees' JD.
- d. The HoD, manager or supervisor shall reassign duties, if reasonable and possible, to accommodate the request and meet the needs of the patient.
- e. Response to all requests for reassignment of duties, whether approved or denied will be provided in writing to the employee.
- f. A record of all requests and actions taken shall be maintained in the employee's departmental file.
- g. If the request of the staff member cannot be granted, the employee may appeal to the next higher authority to review the request. The decision of the Human Resources Department shall be final to the extent of respective request.

**IND.133**

**ALL EMPLOYEES ARE EDUCATED WITH REGARD TO PATIENTS' RIGHTS AND RESPONSIBILITIES.**

**Patient Rights and Responsibilities (Patient's Charter)**

Refer to **Section 2.4** on Patient Rights and Education.

## STANDARD-25. HRM-2: AN APPRAISAL SYSTEM FOR EVALUATING THE PERFORMANCE OF AN EMPLOYEE EXISTS AS AN INTEGRAL PART OF THE HUMAN RESOURCE MANAGEMENT PROCESS.

**IND.134** A WELL-DOCUMENTED PERFORMANCE APPRAISAL SYSTEM EXISTS IN THE ORGANIZATION.

### Performance Appraisal

A performance appraisal, employee appraisal, performance review, or career development discussion is a method by which the job performance of an employee is evaluated (generally in terms of quality, quantity, cost, and time) typically by the corresponding manager or supervisor. A performance appraisal is a part of guiding and managing career development and is a process of obtaining, analyzing, and recording information about the relative worth of an employee to the organization. It is an analysis of an employee's recent successes and failures, personal strengths and weaknesses, and suitability for promotion or further training. It is also the judgment of an employee's performance in a job based on considerations other than productivity alone.

The comprehensive appraisal system shall evaluate actual performance against given targets and not just administrative factors. Appraisal shall document and include assessment of the employees' actual performance and an agreed plan for staff development to address any performance issues.

In the public sector, performance of employees is evaluated through an Annual Confidential Report (ACR) written by the supervisor (reporting officer)/second reporting officer. ACR generally covers evaluation of the respective employee against the JD assigned to the position and covering strength and areas of improvement. In the private sector, the employee is asked to give written KPIs relevant to the assignment to be evaluated at time of performance appraisal. The employee and concerned manager should have a copy of KPIs for the performance evaluation.

**IND.135** THE EMPLOYEES ARE MADE AWARE OF THE SYSTEM OF PERFORMANCE APPRAISAL AT THE TIME OF INDUCTION.

### Orientation of Performance Appraisal

As an integral part of the initial orientation, the employee should be briefed about the performance appraisal system in practice in the HCE/organization. There should be documented evidence (such as the employee's signature on the JD) that confirms that the employee understands about the evaluation. Also link with **Indicator No. 134**.



**IND.136 THE APPRAISAL SYSTEM IS USED AS A TOOL FOR FURTHER DEVELOPMENT.****Career Development**

There should be documented evidence (when appropriate to the employee's appraisal) that the appraisal system is used as a tool for further development (such as more experience, more training, and a different job assignment). This may not be required for every appraisal – only if the appraisal indicated the need.

A performance appraisal is a part of guiding and managing career development. It is the process of obtaining, analyzing, and recording information about the relative worth of an employee to the organization.

**IND.137 PERFORMANCE APPRAISAL IS CARRIED OUT AT PRE-DEFINED INTERVALS AND IS DOCUMENTED.****Frequency of Performance Appraisals**

The hospital should have defined the frequency of performance appraisals. Customarily this is within first 3-4 months (probation period) for new employees and at least annually for ALL other employees.

**STANDARD-26. HRM-3: THERE IS A DOCUMENTED PERSONNEL RECORD FOR EACH STAFF MEMBER.****IND.138 PERSONNEL FILES ARE MAINTAINED IN RESPECT OF ALL EMPLOYEES.****Personnel Files**

The purpose of maintaining personnel files is to keep an updated record of employees. The personnel files of employees should be maintained because:

- i. It makes good business sense to have accurate information handy and organized when you want to use it for official purpose.
- ii. Immediate supervisors will eventually encounter the need to produce documentation about employee performance and work history
- iii. Some employee records are required by federal or provincial government/other agencies and must be kept in the personnel files. Organizing the record of employees in a proper manner makes access easy.

The personnel file of each employee is very confidential and access to the file is only allowed after the approval from a competent authority. Access to information about employees should be strictly limited to those people in the HCE who need to use it for official purposes. Since unauthorized access to personnel files can result into severe repercussions, any breach in this connection should make the responsible person liable to severe penalties. It should be ensured that personnel files (hard and soft copies) are stored in a secure physical location and are not left unattended even during working hours. When asked by the people outside the organization to provide "verification" of certain employment information about the employee/s of the HCE, it should be ensured that only the information which has been authorized by the employee/s is released. Employment verifications are usually required to support such things as mortgage applications, credit applications etc. Employee authorization should be in writing and specify the information they wish you to reveal. Tell your employee the policy is designed for his/her protection.

**IND.139 THE PERSONNEL FILES CONTAIN PERSONAL INFORMATION REGARDING THE EMPLOYEE'S QUALIFICATION, DISCIPLINARY BACKGROUND AND HEALTH STATUS.****Contents of Personnel Files**

The Personnel Files of employees must contain Personal Information regarding their

- i. Qualification
- ii. Disciplinary Background

- iii. Health Status

Also link with **Indicator No. 138.**

**IND.140 ALL RECORDS OF IN-SERVICE TRAINING AND EDUCATION ARE CONTAINED IN THE PERSONNEL FILES.**

**In Service Training and Education Record**

The HR Department will be responsible for maintaining the following documents in the personnel file of each employee of the HCE;

- i. Curriculum Vitae
- ii. Photograph (two, blue background, passport size)
- iii. CNIC copy
- iv. Copies of documents pertaining to all academic and professional qualifications
- v. Copies of trainings/certifications
- vi. Salary slip/certificate (previous employer)
- vii. Experience certificate
- viii. Offer letter
- ix. Contract copy and JD
- x. Joining report
- xi. Official email account issuance form
- xii. Reference form/background check
- xiii. Medical/personal information form
- xiv. Information for employee/business card
- xv. Leave forms (if any)
- xvi. Notice (if any)
- xvii. Performance Evaluation Form
- xviii. In-service trainings
- xix. Salary Increment/Promotion
- xx. Resignation/termination letter (whichever is received in the HRD)
- xxi. Exit interview form (whenever employee leaves office)

**IND.141 PERSONAL FILES CONTAIN RESULTS OF ALL EMPLOYEE EVALUATIONS.**

**Evaluation Records**

This standard relates to both the periodic appraisal and to any "Ad Hoc" evaluation (such as their involvement in an adverse event).

**STANDARD-27. HRM-4: THERE IS A PROCESS FOR COLLECTING, VERIFYING AND EVALUATING THE CREDENTIALS (EDUCATION, REGISTRATION, TRAINING AND EXPERIENCE) OF MEDICAL PROFESSIONALS INCLUDING PHYSICIANS, NURSES, PHARMACISTS AND OTHERS PERMITTED TO PROVIDE PATIENT CARE WITHOUT SUPERVISION.**

**IND.142 ONLY MEDICAL PROFESSIONALS PERMITTED BY LAW, REGULATION AND THE HOSPITAL ARE TO PROVIDE PATIENT CARE WITHOUT SUPERVISION.**

#### Verification of Licensure/Certification

There should be a process to validate the accuracy of these documents (there are multiple examples of fraudulent "credentials" internationally). The hospital should have verified the documents with the primary source such as the college/university/authority or the training organization, as the case may be, as follows;

- i. Current licensure/certification or registration is verified with the primary source at the time of hiring and at renewal prior to expiration.
- ii. Primary source verification will be obtained through a secure electronic communication. If a licensing board/agency/authority cannot provide this type of verification, a letter in that respect must be obtained from it.
- iii. In the event that an employee is hired against a position that requires license, certification or registration, and the same has been revoked, suspended or rendered invalid, the HCE may terminate the concerned employee on these grounds.
- iv. Practitioners should have current/valid registration with the respective professional council or body e.g. PMDC for doctors, Pharmacy Council for pharmacists, PNC for nurses and Punjab Medical Faculty for paramedics.
- v. It is the employee's responsibility to provide proof of license, certification and/or registration, and to notify their manager and HR immediately of any change in the status of the license, certification, and/or registration.

**IND.143****THE 1. EDUCATION, 2. REGISTRATION, 3. TRAINING AND 4. EXPERIENCE OF THE IDENTIFIED HEALTH PROFESSIONALS IS DOCUMENTED AND UPDATED PERIODICALLY.****Periodical Updating of Credentials**

- i. The HR Department should update the file at least once in a year or more frequently if required.
- ii. Employee should intimate the HR Department about any change in the credentials immediately/soon after its occurrence.

The HR Department shall maintain/place copies of credentials of all employees of the HCE in their respective personal files which shall include at least;

- a. Educational Degrees/Diplomas, both Undergraduate and Postgraduate.
- b. Registration with Registering/Licensing Body.
- c. Pre-Service and In-Service Trainings.
- d. Related Experience; Local or Foreign.