SELF AUDITING TOOL FOR HUMAN RESOURCE MANAGEMENT – THE UNIVERSITY OF WESTERN AUSTRALIA

Aim of the Self Auditing Tool

To help Schools and other University work areas become more accountable in relation to their human resources responsibilities against University level objectives.

The following questions are intended to help you assess the quality of the human resource management in your work area. Please respond to them in the context of activities in the last 12 months. As head, manager or supervisor you may wish to seek the views of colleagues prior to completion. The score for each section should be summed in the shaded areas. Where the question implies a yes or no answer please use either 1 or 6.

Human Resources Function							
1.0 Recruitment and Selection *University Objective: To ensure that Schools and work areas recruit employees who have the right skills to achieve the University's objectives*	Always YES	Most of the time	More often than not	Less often than not	Hardly ever	Never NO	Not applicable
1.1 Before filling a position do you identify the skills, qualifications and behaviours needed to meet your objectives?	1	2	3	4	5	6	0
1.2 Is the selection process transparent, equitable, based on merit, and appropriate?	1	2	3	4	5	6	0
1.3 Is the selection process timely?	1	2	3	4	5	6	0
1.4 Are new staff provided with a comprehensive induction?	1	2	3	4	5	6	0

2.0 Planning							
2.0 Planning *University Objective: To identify the University's requirement for people* ◆ *With the right skills* ◆ *In the right place* ◆ *At the right time*	Always YES	Most of the time	More often than not	Less often than not	Hardly ever	Never NO	Not applicable
2.1 Do you know your staffing needs beyond the current year?	1	2	3	4	5	6	0
2.2 Have you engaged in a strategic planning process to clarify your staffing needs?	1	2	3	4	5	6	0
2.3 Do you have the right number of staff to get the work done?	1	2	3	4	5	6	0
2.4 Are you able to plan adequately for any seasonal fluctuations in staffing requirements?	1	2	3	4	5	6	0
2.5 Do you engage in succession planning?	1	2	3	4	5	6	0

3.0 Staff Development *University Objective: To contribute to an employee's acquisition of knowledge, skills and expertise in meeting current and future work objectives*	Always YES	Most of the time	More often than not	Less often than not	Hardly ever	Never NO	Not applicable
3.1 Do you have a way to identify the staff development needs of your staff? (eg surveys, reviews, performance management through the PDA)	1	2	3	4	5	6	0
3.2 Do you have adequate resources in your budget to provide needed development opportunities for staff?	1	2	3	4	5	6	0
3.3 Do you believe you allocate adequate resources to staff development?	1	2	3	4	5	6	0
3.4 Do the staff in your work area or School get the development they need to do their jobs effectively?	1	2	3	4	5	6	0
3.5 Do you monitor the results of staff development activities in order to assess their effectiveness?	1	2	3	4	5	6	0
3.6 Are new staff offered mentoring support?	1	2	3	4	5	6	0
3.7 Do staff at all levels in your work area access training and development?	1	2	3	4	5	6	0

4.0 Performance Management *University Objective* ◆ *To ensure that all staff understand their job responsibilities and objectives* ◆ *To evaluate staff performance effectively and equitably*	Always YES	Most of the time	More often than not	Less often than not	Hardly ever	Never NO	Not applicable
4.1 Are probationary staff appraised regularly?	1	2	3	4	5	6	0
4.2 Have all staff been provided with realistic objectives that are linked to the University's objectives?	1	2	3	4	5	6	0
4.3 Are staff clear about what is expected of them in their work roles?	1	2	3	4	5	6	0
4.4 Do all staff participate in performance reviews at least annually?	1	2	3	4	5	6	0
4.5 Does the review process evaluate their performance against expectations?	1	2	3	4	5	6	0
4.6 Are the comments recorded with a copy to the staff member?	1	2	3	4	5	6	0
4.7 Does the review process identify future objectives and training needs?	1	2	3	4	5	6	0
4.8 Do staff have access to support and assistance for improvement if their performance is less than expected?	1	2	3	4	5	6	0
4.9 Are departing staff given an exit Interview prior to their departure?	1	2	3	4	5	6	0

5.0 Employee Relations University Objective: To promote a consistent and equitable application of entitlements across the University incorporating ◆ Participation in enterprise bargaining ◆ Agreement administration ◆ Dispute resolution ◆ Employee/management relations	Always YES	Most of the time	More often than not	Less often than not	Hardly ever	Never NO	Not applicable
5.1 Do you have a clear understanding of the University's industrial framework so that you can carry out your human resource management role effectively?	1	2	3	4	5	6	0
5.2 Do you believe that the University's industrial framework (collective agreements, awards, policies and procedures) provides you with the flexibility you need to manage?	1	2	3	4	5	6	0
5.3 Is there a positive climate in your work area where staff are motivated in their work?	1	2	3	4	5	6	0
5.4 Are the communication channels between management and employees in your work area sufficiently consultative so that disputes are avoided and effective problem solving is fostered?	1	2	3	4	5	6	0
5.5 Are you comfortable working with the University's disciplinary measures and grievance procedures?	1	2	3	4	5	6	0
5.6 When operational changes are introduced into your work area or School do you take into consideration the impact on staff?	1	2	3	4	5	6	0

6.0 Position Classification University Objective ◆ To ensure that each work area is designed In a logical and efficient manner ◆ To ensure that positions are described accurately ◆ To provide controls that ensure consistency and integrity	Always YES	Most of the time	More often than not	Less often than not	Hardly ever	Never NO	Not applicable
6.1 Is the organisational structure in your work area appropriate – ie, span of control not too great, tasks grouped properly?	1	2	3	4	5	6	0
6.2 Are there current duty statements for all general staff positions in your work area?	1	2	3	4	5	6	0
6.3 Do the duty statements reflect accurately the responsibilities of their jobs?	1	2	3	4	5	6	0
6.4 Are the positions and their duty statements reviewed regularly in consultation with the incumbents?	1	2	3	4	5	6	0
6.5 Do you and your staff have an understanding of the process required to alter the classification of a general staff position?	1	2	3	4	5	6	0

7.0 Remuneration *University Objective: To contribute to the attraction, retention and motivation of staff through a competitive and equitable remuneration structure*	Always YES	Most of the time	More often than not	Less often than not	Hardly ever	Never NO	Not applicable
7.1 Are staff in your area satisfied with their opportunities for advancement?	1	2	3	4	5	6	0
7.2 Are you aware of the flexibility available in the remuneration system to reward staff outside the current salary agreement?	1	2	3	4	5	6	0
7.3 Do you use the flexibility available in the remuneration system to reward staff outside the current salary agreement where it is deserved?	1	2	3	4	5	6	0

8.0 Safety, Health and Wellbeing *University Objective: To promote a safe and healthy workplace in your School or work area*	Always YES	Most of the time	More often than not	Less often than not	Hardly ever	Never NO	Not applicable
8.1 Is your workplace safe?	1	2	3	4	5	6	0
8.2 Are safety and health objectives, policies and procedures built into the strategic and operational plans of your work area?	1	2	3	4	5	6	0
8.3 Do you undertake regular safety inspections and reviews?	1	2	3	4	5	6	0
8.4 Are safety and health roles and responsibilities defined, assigned and understood in your work area?	1	2	3	4	5	6	0
8.5 Do staff participate in regular safety and health training programs?	1	2	3	4	5	6	0

9.0 Equity and Diversity *University Objective: To promote equity and diversity in your work area*	Always YES	Most of the time	More often than not	Less often than not	Hardly ever	Never NO	Not applicable
9.1 Do all your staff receive fair and equitable treatment?	1	2	3	4	5	6	0
9.2 Are equity and diversity objectives, policies and procedures built into the strategic and operational plans of your work area?	1	2	3	4	5	6	0
9.3 Do your staff participate in equity and diversity training programs?	1	2	3	4	5	6	0
9.4 Does your School/work area have an Equity and Diversity Committee?							
9.5 Are your staff able to access flexi-time, part time work and other policies to assist them to balance their work and family commitments?	1	2	3	4	5	6	0
9.6 Are supervisors and team leaders in your area aware of their equal opportunity responsibilities?	1	2	3	4	5	6	0

10.0 Human Resource Information Systems *University Objective: To help managers in their decision-making by collecting and providing information for planning, implementation and evaluation*	Always YES	Most of the time	More often than not	Less often than not	Hardly ever	Never NO	Not applicable
10.1 Do you regularly consult the Alesco system to obtain information to help you deal with personnel issues?	1	2	3	4	5	6	0
10.2 Have you, or an appropriate member of your staff, taken the opportunity to participate in a training program for Alesco?	1	2	3	4	5	6	0
10.3 Do you and your staff use the Human Resource web site to access (and update) human resources information that will help you deal with HR issues?	1	2	3	4	5	6	0

General Questions

What do you think your work area does best in terms of its human resources management?

What do you see as the major human resource problem areas in your work area or School and what is being done to address them?

Feedback to Human Resources

Please return to **Personal Assistant to Director, Human Resources** (6488 3004)

Name of School or Work Area _____

HR Services *Recruitment, Appointments, Leave, Salary Related Payments, Resignations, Terminations, Alesco, Employee Self Service, System Reports, Superannuation & Salary Packaging, Eligible Termination Payments and Statements and Executive Support to Chair Appointments and the Promotions and Tenure Committee*	Always	Most of the time	More often than not	Less often than not	Hardly ever	Never	Not applicable
Are you satisfied with the services provided by HR Services?	1	2	3	4	5	6	0
Do HR Services staff provide you with the necessary guidelines, advice and support you need to meet your human resource management obligations?	1	2	3	4	5	6	0

Employee Relations and Management Services (ERMS) *Industrial Relations, Enterprise Bargaining, Classifications, Organisational Change, Consultancy/Advice on HR Issues*	Always	Most of the time	More often than not	Less often than not	Hardly ever	Never	Not applicable
Are you satisfied with the services provided by Employee Relations and Management Services?	1	2	3	4	5	6	0
Do ERMS staff provide you with the necessary guidelines, advice and support you need to meet your human resource management obligations?	1	2	3	4	5	6	0

Organisational and Staff Development Services (OSDS) *Centre for Staff Development, personal development and leadership programmes*	Always	Most of the time	More often than not	Less often than not	Hardly ever	Never	Not applicable
Are you satisfied with the services provided by Organisational and Staff Development Services?	1	2	3	4	5	6	0
Do OSDS staff provide you with the necessary guidelines, advice and support you need to meet your human resource management obligations?	1	2	3	4	5	6	0

Equity and Diversity *Equal Opportunity, Diversity, Affirmative Action, Harassment, Discrimination, Work, Family and Flexibility, Workplace Culture, Inclusive Curriculum*	Always	Most of the time	More often than not	Less often than not	Hardly ever	Never	Not applicable
Are you satisfied with the services provided by Equity and Diversity?	1	2	3	4	5	6	0
Do Equity and Diversity staff provide you with the necessary guidelines, advice and support you need to meet your human resource management obligations?	1	2	3	4	5	6	0

Safety, Health and Wellbeing *Occupational Health and Safety, Business Risk Management, Employee Assistance Programme, Insurance, Injury Management, Radiation Protection, Biological Safety, Chemical Safety, Workers' Compensation, OHS Management Systems Auditing*	Always	Most of the time	More often than not	Less often than not	Hardly ever	Never	Not applicable
Are you satisfied with the services provided by Safety, Health and Wellbeing?	1	2	3	4	5	6	0
Do Safety, Health and Wellbeing staff provide you with the necessary guidelines, advice and support you need to meet your human resource	1	2	3	4	5	6	0

Human Resources (Summary)	Always	Most of the time	More often than not	Less often than not	Hardly ever	Never	Not applicable
Are you satisfied with the services provided by Human Resources?	1	2	3	4	5	6	0
Do Human Resources staff provide you with the necessary guidelines, advice and support you need to meet your human resource management obligations?	1	2	3	4	5	6	0

If you have rated any of the survey questions at a 5 or 6 it would be helpful if you could specify your concerns or make suggestions for improvement in the comments field below.

Any other comments?

I would like to discuss the results of this self-audit with someone from Human Resources? Yes _____   No _____

Name _____

Contact Details _____