



## HUMAN RESOURCE MANAGEMENT

Human resource management is the ability of your organization to recruit, retain, develop, and reward employees and volunteers to achieve your organization's mission and vision.

### Collecting Necessary Documents and Information

There are certain documents that address the human resource management function of your organization that need to be in place if your organization is to have well-developed management capabilities (Part A).

You need to consider the following in regard to these documents:

- " How can we tell if the content of the documents that are in place is acceptable?
- " What content is expected to be included in each document?

In Part B of the Checkup, the content of your organization's documents can be evaluated against these expectations.

There is also other information that needs to be collected besides documents. This information will shed light on how well the human resource management function of your organization is operating (Part C). You will need to survey management and staff in

order to get their perceptions of how well the human resource function is working. You will also need to check to see if the human resource function is perceived to be operating according to the expectations of various respondents or if there are areas that need strengthening or development.

### Part A: Documents That Need to be in Place

- " Personnel policies and procedures
- " Employee handbook
- " Affirmative action policy and plan

### Part B: Definitions and Criteria for Analyzing Documents

#### PERSONNEL POLICIES AND PROCEDURES

These are statements that facilitate the achievement of goals and provide guidelines within which employees can operate.

These policies and procedures should clearly include the following:

variations in employee status (full- and part-time employees) such as at-will or just cause hiring policies including authority to hire, source of employees (employing friends, family, internal vs. external recruitment, local vs. broader recruitment), methods of searching, nondiscrimination and affirmative action, employment procedures, and special needs such as ADA accommodations

compensation and working conditions policy including methods of compensation, work schedule, methods of establishing compensation schemes, wage and salary structure, rationale for wages and salaries, rationale for adjustments in wages and salaries (should compensation be generally known or kept private?), compensation for work-related expenses, facilities, deduction from wages

benefits policy including holidays, vacations, leaves of absence, employment security programs, retirement programs, health coverage

employee rights and responsibilities policies including fulfilling the responsibilities of the job, serving the clientele, serving the agency, keeping matters confidential, avoiding conflicts of interest

employee rights policy including joining with other employees to bargain collectively with the employer for wages, working conditions, and so on; to work through professional organizations; to exercise the full rights of citizens as guaranteed by the Constitution and statutes of federal, state, and local

governments; to receive a copy of personnel policies, practices, and a job description at the time of employment; to be treated in a nondiscriminatory fashion on the job

employer responsibilities for maintaining a safe workplace (e.g., violence prevention)

employment references and problem resolutions including clear steps for employees to follow when a dispute occurs and provision of clear guidelines if a dispute cannot be resolved in the normal fashion (grievance procedure)

employee development policies including

- orientation of new employees
- probationary period
- supervision and performance evaluations
- staff development activities

termination of employment policies/guidelines including

- resignation
- dismissal
- reductions in workforce
- mergers
- retirement

## **EMPLOYEE HANDBOOK**

The following should be included in an employee handbook:

- mission, vision, and goals of your organization
- organizational chart with the names and positions of all current employees

current strategic plan that includes all the different programs and units of your organization  
 personnel policies and procedures that include outlines of employment references and problem resolutions (grievance procedures), performance review processes, scheduling and compensation policies, benefits and access to benefits  
 statement that the handbook is binding (i.e., the board or executive director cannot override the policies in the handbook)  
 job description of current job/team

#### **AFFIRMATIVE ACTION POLICY AND PLAN**

affirmative action policy that clearly states the intention and decisions of the board of your organization in this regard whenever possible  
 affirmative action plan that includes a staff composition worksheet that consists of

- job categories
- number of employees in each job category
- representation according to ethnicity
- total and percentage of ethnic minorities
- gender breakdown
- total and percentage of females
- disabled (according to gender)
- new hires within the current year

### **Part C: Other Information to be Collected--Survey of Human Resource Management Perceptions**

Part Two of the Checkup, p. 56, contains four survey instruments of human resource management perceptions to be used with three types of groups (Board, CEO & Management, Staff, Other Groups). Please note that, of the 87 possible questions related to human resource management listed in the following pages, only the questions relevant to each group have been used on their respective surveys.

Survey participants will indicate whether they see the behavior or documents in your organization. A response of *1 to 10, unable to rate, or not applicable* is requested for each item. A response of *1* indicates *no development* in the area described by the survey question, and *10* indicates the behavior or document is *highly developed*. A response of *unable to rate* indicates that the participant does not have sufficient information to give a rating for the question. A response of *not applicable* indicates that the question is not applicable to your organization. Detailed instructions on how to tally responses are given in Part Two (pp. 60-71). The entire list of survey questions is as follows:

#### **AREA: PERSONNEL POLICIES AND EMPLOYEE HANDBOOK**

H1. Personnel policies and the employee handbook are in compliance with personnel and compensation laws and regulations (e.g.,

Cobra, sexual harassment, workplace discrimination, at-will employment, etc.).

H2. Personnel policies and the employee handbook are updated at least annually.

H3. The employee handbook contains a statement that it is binding and that actions of board members and/or executive directors or other agents cannot override the policies in the handbook.

H4. The grievance procedures and probationary period policies do not invalidate the at-will policy.

H5. State and federal postings (e.g., minimum wage, Whistle Blowers, OSHA, affirmative action, Americans with Disabilities Act [ADA], etc.) are displayed as required.

H6. Personnel policies and the employee handbook are reviewed at least annually by legal counsel.

H7. There is a periodic audit by appropriate individuals to check that the employee handbook and personnel policies are followed.

H8. There is a formal orientation process for all new employees.

H9. Orientation for new employees occurs before the first day of work with your organization's clients.

H10. New employees sign a form upon completion of their orientation which is placed in their personnel files.

H11. New employees of your organization are provided with a copy of the most recently updated personnel policies and the employee handbook.

H12. New employees sign a form indicating that they have received and reviewed personnel policies and the employee handbook.

H13. Employees in your organization are provided with a copy of personnel policies and the employee handbook whenever they are updated.

H14. Employees in your organization sign a form indicating that they have received and reviewed personnel policies and the employee handbook whenever they are updated.

H15. Personnel files contain the necessary documentation for each employee (e.g., index of documents, employment application, offer letter, employee's letter of acceptance, reference sheets, federal, state, and local income tax withholding certifications [W-4s], Federal Form I-9, Michigan New Hire Reporting Form, signed orientation form, signed handbook form(s), performance evaluations, salary increases, discipline documentation, etc.).

H16. Personnel files are periodically audited by the appropriate individual to determine if the necessary documentation is on file.

H17. Every employee in your organization has a current job description.

**AREA: STAFFING, RECRUITMENT, AND HIRING**

H18. There is sufficient staffing capacity to meet current and future organizational demands.

H19. Individuals involved in recruiting and hiring employees receive training on appropriate recruiting and hiring techniques (e.g., legally allowable interview questions).

H20. Your organization uses fair recruitment practices.

H21. Your organization strives to recruit and hire a staff that reflects the diversity of the community it serves.

H22. Your organization uses fair hiring practices.

H23. Selection for new jobs is done first within your organization when appropriate.

H24. Hiring decisions take into account that the candidate's past performance is in congruence with values crucial to your organization's success.

H25. Criminal history record checks are conducted for potential employees when required.

**AREA: REWARDS, COMPENSATION, PROMOTION, AND MERIT PAY**

H26. Rewards of various kinds (e.g., recognition, celebration, time off, gift certificates, quality awards, etc.) are given in addition to the basic compensation and benefits packages.

H27. Employees of your organization have competitive compensation packages with employees of similar type and size organizations.

H28. Employees of your organization have competitive benefits packages with employees of similar type and size organizations.

H29. The decision-making process, including criteria, used for determining promotions is fair.

H30. The salary structure for employees is based on various and appropriate references (e.g., local chamber of commerce, nonprofit organizations of similar size, mission, type and responsibilities of job, etc.)

H31. The salary structure for employees is updated annually.

H32. The decision-making process, including criteria, used for determining salary increases is fair.

H33. The decision-making process, including criteria, used for determining merit pay is fair.

**AREA: SUPERVISION AND WORKING CONDITIONS**

H34. Supervisors receive training on how to briefly document potential employee issues (e.g., overtime, comp time, discipline, firing, evaluation, etc.)

H35. Employees are adequately supervised.

H36. Employees understand in general how their jobs make a contribution to the

achievement of organizational goals and mission.

H37. Employees have an awareness of senior management priorities.

H38. Working conditions are acceptable.

H39. Employees of your organization experience job satisfaction.

H40. Your organization provides a safe environment in which to work.

H41. There is an adequate grievance/appeal process in place for employees.

H42. The board (or appropriate individuals) periodically reviews the number of grievances/appeals filed.

H43. There is a positive relationship between employees and management.

H44. Teams are organized effectively.

H45. Teams have authority that equal their responsibility.

H46. Teams share responsibility for success and failures.

#### **AREA: EVALUATION, TRAINING, AND DEVELOPMENT**

H47. Every employee in your organization is evaluated at least annually.

H48. Employees know and understand criteria used in evaluation.

H49. Employee evaluations are aligned with their job descriptions.

H50. Employees provide feedback regarding CEO performance.

H51. Employees provide feedback regarding the organizational environment.

H52. Employees provide feedback regarding your organization's effectiveness.

H53. Employees provide feedback to peers when appropriate.

H54. Employees create and pursue a professional development plan.

H55. Employees are encouraged to explore their abilities and learn new skills.

H56. Training and development of employees are supported with sufficient resources.

H57. Employee training and development in your organization are aligned with job responsibilities.

#### **AREA: VOLUNTEER MANAGEMENT**

H58. Your organization has a formal policy statement that articulates the role of volunteers in attaining the goals of your organization and defines the nature of the volunteer/employee partnership (volunteer commitment, benefits to volunteers, etc.).

H59. Your organization has a volunteer handbook that includes policies and procedures relevant to volunteers (e.g., grievance procedures, performance review processes, scheduling, etc.)

H60. The volunteer handbook includes a statement that the handbook is binding (i.e.,

the board or executive director or agent cannot override the policies in the handbook).

H61. Personnel policies relevant to volunteers and the volunteer handbook are updated at least annually.

H62. Personnel policies relevant to volunteers and the volunteer handbook are reviewed at least annually by legal counsel.

H63. There is a periodic audit by appropriate individuals to check that the volunteer handbook and personnel policies relevant to volunteers are followed.

H64. Individuals involved in recruiting volunteers receive training on appropriate recruiting techniques (e.g., legally allowable interview questions).

H65. Your organization uses fair recruitment practices with volunteers.

H66. Your organization strives to recruit and hire volunteers that reflect the diversity of the community it serves.

H67. Volunteers are selected using the same nondiscriminatory practices that apply to the hiring of paid employees (e.g., application and interview do not include questions regarding applicant's marital status, occupation of spouse, race, gender, national origin or age).

H68. There is a formal selection process for volunteers (e.g., application form, interview, reference check, etc.).

H69. Criminal history records checks for potential volunteers are conducted when required.

H70. There is a formal orientation process for all new volunteers.

H71. Orientation for new volunteers occurs before the first day of volunteering with your organization's clients.

H72. New volunteers sign a form upon completion of their orientation which is placed in their files.

H73. New volunteers of your organization are provided with a copy of the most recently updated personnel policies relevant to volunteers and the volunteer handbook.

H74. New volunteers sign a form indicating that they have received and reviewed personnel policies relevant to volunteers and the volunteer handbook.

H75. Volunteers in your organization are provided with a copy of personnel policies relevant to volunteers and the volunteer handbook whenever they are updated.

H76. Volunteers in your organization sign a form indicating that they have received and reviewed personnel policies relevant to volunteers and the volunteer handbook whenever they are updated.

H77. Files for volunteers contain the necessary documentation for each volunteer (e.g., index of documents, application, letter, volunteer's letter of acceptance, reference sheets, signed orientation form, signed handbook form(s), performance evaluations, etc.).

H78. Files for volunteers are periodically audited by the appropriate individual to determine if the necessary documentation is on file.

H79. Your organization has written job descriptions for all volunteers that include job titles, program goals, objectives, roles, responsibilities, and qualifications.

H80. Your organization provides a safe environment in which to volunteer.

H81. There is an adequate grievance/appeal process in place for volunteers.

H82. The board (or appropriate individuals) periodically reviews the number of grievances/appeals filed by volunteers.

H83. Volunteers are provided with ongoing training and development.

H84. Volunteers are adequately supervised.

H85. Volunteers are formally evaluated at least annually.

H86. Volunteers know and understand the performance criteria used in the evaluation.

H87. Most volunteers will agree that they understand their roles and responsibilities.

### Copies of Human Resource Management Surveys

Please see **Part Two** for copies of the four surveys (Board, CEO & Management, Staff, Other Groups) (p. 56) related to human resource management and for detailed instructions on how to use, tally, and analyze these