

A Handbook for Measuring HR Effectiveness

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Introduction

This HR Audit Handbook is designed to assess the effectiveness of an organisation's human resources (HR) and people management policies and practices. Going through a HR audit enables the organisation to identify areas for improvement and priority actions. The findings then inform an action plan to address gaps in practices and shortcomings in systems and policies.

It may be used by organisations as a stand-alone tool or can also be used as part of the process for self-assessment and verification against the CHS (see the [CHS Alliance website](#) for more information). It is guided by, but not limited to, the Nine Commitments of the [Core Humanitarian Standard \(CHS\)](#).

Adaptable to most operational contexts, it includes a set of diagnostic questionnaires, guidelines and tips. It is designed to be used in head office, regional office or local/field office environments. It is part of the HR Tool Kit provided by the CHS Alliance that can be used as a kind of "office in a box" resource for a rapid deployment situation, when setting up a new agency or for capacity building/strengthening activities.

The HR audit is built around seven core categories of people management, namely:

- Human resources strategy
- Staff policies and practices
- Managing people
- Consultation and communication
- Recruitment and selection
- Learning, training and development
- Health, safety and security

Why use this handbook?

A HR audit enables an organisation to get an accurate and thorough picture of the effectiveness of its HR systems, policies and practices. Initially, it provides a baseline and then over time, audit data can be tracked, and progress and trends monitored. It allows the organisation to:

- Objectively and systematically review HR systems, policies and practices
- Document levels of employee engagement
- Highlight issues or gaps in organisational capacity and capability, and identify priorities for action
- Encourage participation by managers on HR issues
- Support change process
- Support monitoring and evaluation processes

The strength of the toolkit does not lie so much in the audit tools themselves, but rather in the subsequent discussion, prioritisation, action planning and change that will result from it.

Who would use it and when?

This is a useful tool for all organisations committed to good practice in the management and support of their staff and volunteers to measure the effectiveness of their HR systems, policies and practices. The handbook can be used by individuals and teams, for example:

- An individual within the HR department might use it to provide a quick overview of the organisation's health;
- A HR team might use it to facilitate internal diagnosis, discussion and action planning;
- The senior executive team might use it to assess how HR policies and practices impact individual and organisational performance;
- a change management team may use it as a key document in its organisation development work and change process.

The handbook can be used at any stage in an organisation's life cycle. It is also equally applicable to new organisations in their start-up phase and to mature well-established organisations.

It is recommended that the audit project lead identifies and appoints project champions from amongst the key stakeholders throughout the process of the audit project to ensure wide organisational buy-in. See Appendix 1.

How to use this handbook

The following flowchart may be adapted for planning purposes, whichever level of audit is being implemented.



Figure 1 Principles and practice of a HR audit

The HR audit can be undertaken independently or as part of the implementation of the CHS. It can also be undertaken at three different levels (i.e. basic, full and enhanced), depending on the time available, the particular needs of the organisation and the depth of insights sought.

Basic audit (Level 1)

The basic audit provides the organisation with an overview of HR effectiveness across the seven categories of people management, and identifies the priority areas for the organisation to address.

Full audit (Level 2)

The full audit can either follow on from the basic audit (level 1), and explore issues within priority areas in more detail, or it can be used in its own right as a stand-alone audit that provides a greater

depth of insight into the state of HR systems, practices and policies – and the areas for improvement.

Enhanced audit (Level 3)

The enhanced audit is designed to enable an organisation to gain a deeper understanding of issues by identifying underlying causality in terms of capability, resource or infrastructure problems.

Basic audit (Level 1)

This can be used on its own as a top level audit or can be used as a precursor to more detailed insights to be obtained through to the full and enhanced audits.

Who should use it?

- Human Resources (HR) directors and managers
- HR teams
- Organisational Development (OD) teams
- Senior leadership teams

When to use it?

When a quick assessment is needed in order to assess the health of people management practices at a high level.

How to use it?

The audit includes a questionnaire and a checklist:

The **HR Policies, Processes and Practices Checklist** (Appendix 2): provides insight into the extent to which key policies, processes and practices exist, the level of understanding of them within the organisation and the extent to which they are up-to-date and 'fit for purpose'.

The basic **HR Effectiveness and Accountability Questionnaire** (Appendix 3): comprises seven statements that broadly align to the stages in the employee life cycle and provides an opportunity to rate the effectiveness of systems, policies and practices.

Step 1

The individual manager, or team, completes the HR policies, Processes and Practices Checklist (Appendix 3) and the basic HR Effectiveness Questionnaire (Appendix 4) by rating the extent to which they agree with the statement (high level of agreement (H); moderate level of agreement (M); low level of agreement (L)). The more respondents that complete this process, the more robust the data will be.

Step 2

Review the results from the completion of both the checklist and the questionnaire. If more than one person is carrying out the audit then collate results and compare similarities and differences in perceptions. A scoring sheet is provided in Appendix 4 to help summarise individual scores, if required.

Discuss the findings and:

- Clarify why different perceptions exist
- Review the gaps
- Agree a 'collective rating'
- Undertake a risk assessment to determine the implications in terms of impact on service delivery i.e. which issues, if addressed, would have the greatest impact on the organisations ability to recruit, retain and motivate staff and improve program delivery. Risk should be categorised as high (H), medium (M) or low (L). The agreed risk assessment should be recorded on the questionnaire.

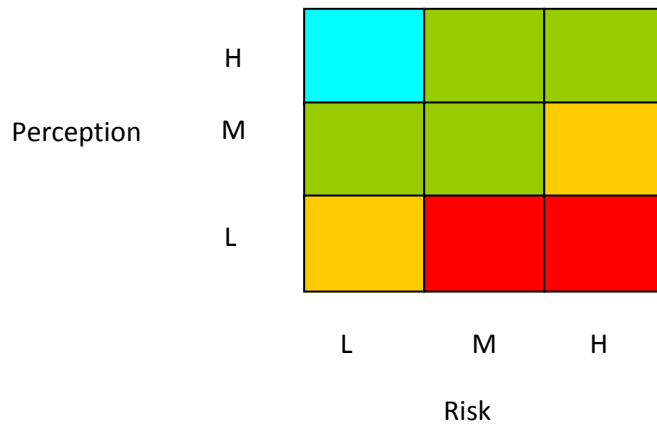
Step 3

Determine the level of priority that should be attached to each audit statement. This can be done by reviewing the perception and risk assessments, and determining a priority rating for each statement as follows: high priority (red), medium priority (amber), low priority (green) and very low priority (blue). The following table can be used to assist in this categorisation:

Perception	Risk	Priority
High	High	Green
Medium	High	Amber
Low	High	Red
High	Medium	Green
Medium	Medium	Green
Low	Medium	Red
High	Low	Blue
Medium	Low	Green
Low	Low	Amber

Attention should be focused firstly on those activities that fall into the red category and secondly on those in the amber. It is also worth considering any activities that fall into the blue category in order to explore whether too much resource/focus is being given to these activities at the expense of others.

The results can be represented visually by plotting a matrix as follows:



Identify the top issues (no more than five) to focus on and then develop and agree action plans, including which and how other key stakeholders will be engaged.

Step 4

Implement changes and monitor progress against an agreed action plan. A list of possible people metrics is provided in Appendix 5.

It is possible that during the audit process, specific departments, teams or groups of staff stand out in the findings and ratings. This might be because they are strategically critical, they require particular attention following key change processes and there are cultural differences at play.

Whatever the case may be, it is recommended to carry out the audit again and separately for these specific groups.

Outcomes

The above process will result in:

- An understanding of how different members of the team view existing people management practices and the extent to which consensus exists.
- The creation of a baseline of data to monitor progress in the organisation's journey for continuous improvement.
- Identifying where specific policies and procedures may be missing or where improvements in communicating and implementing are required.
- Identification of areas of priority where attention is most needed.
- Insights into specific employee groups/locations/functions requiring a stronger focus.
- The formulation of action plans and a process for monitoring progress.
- Organisational, team and individual learning needs identified.

Full audit (Level 2)

The full audit can be used as a stand-alone 'diagnostic tool' or can follow on from the basic audit (level 1) in order to gain greater insight into the priority areas for attention.

Who should use it?

HR team, OD or senior leadership team with the option to modify the approach in order to capture broader stakeholder opinions.

When to use it?

When a more detailed assessment is needed and more comprehensive insights into all or specific people management practices are required.

How to use it?

Building on the basic audit, the full audit is undertaken by completing the **HR Effectiveness Questionnaire** (Appendix 6). It comprises 44 statements and provides an opportunity to rate the effectiveness of systems, policies and practices in more depth.

Step 1

Complete the Full HR Effectiveness Questionnaire (Appendix 6). There is a set of 44 statements grouped into six categories. Respondents are required to provide perception (high, medium, low) ratings and score them as with the basic audit.

Step 2

Similar to the basic audit, the distribution of responses from all respondents should be collated, discussed, differences in perception explored and a risk assessment carried out. A scoring sheet is provided in Appendix 7 to help in the collation of responses, if required.

Step 3

Agree priorities, record on the diagnostic and develop action plans and how best to engage key stakeholders.

Step 4

Implement changes and monitor progress. As before, the exercise can be repeated for specific employee groups, functions or locations.

Outcomes

The above process will provide detailed insights into a wider range of people management practices and as such will enable much more detailed prioritisation and action planning to take place.

Enhanced audit (Level 3)

The enhanced audit enables the leadership teams to gain a deeper understanding of the issues underpinning the high priority areas for attention and action.

Who should use it?

HR/OD team with an option to involve a broader range of stakeholder groups in the diagnosis.

When to use it?

When there is a need to understand the extent to which capability, resources and infrastructure issues are the limiting factors underlying priority areas for attention.

How to use it?

The enhanced audit focuses on the extent to which the HR function and line management have the capability (skills, knowledge and expertise), resources (manpower, time, budget) and infrastructure (information, processes, technology and support) to enable them to deliver.

Step 1

Create a template comprising the statements that are the high priority (red) areas for attention as identified during the full audit. Alternatively the exercise could be carried out on all 44 statements if a more comprehensive analysis was required (see example below).

Step 2

Individuals rate perception on a H/M/L scale as before for each of the seven areas in terms of HR and line management's capability, resources and infrastructure. Consolidate, review and discuss the distribution of responses. Undertake a risk assessment as before.

Step 3

Agree priorities and action plans and how best to engage key stakeholders.

Step 4

Implement changes and monitor progress. As before, the exercise can be repeated for specific employee groups, functions or locations.

Outcomes

The above process will provide detailed insights into a wider range of people management practices and as such will enable much more detailed prioritisation and action planning to take place. Undertaking a skills audit as part of the assessment can further support the workforce planning process in identifying additional resources and staff development required to achieve organisational objectives.

The following table is an example of a section of the template used to record the basic data. It can form part of a desk study, an electronic survey, face-to-face interviews or a combination of all three.

Statement	HR function			Line management			Risk	Priority
	Capability	Resources	Infrastructure	Capability	Resources	Infrastructure		
Human resources strategy								
We have a clearly defined, integrated people management strategy								
Our people strategy is aligned to our mission, values and strategic objectives								
Our people strategy is underpinned by the CHS								
Our people strategy enables us to maximise the return on our investment in people.								
Our people strategy supports a culture of learning and continuous improvement throughout the organisation								
We provide people with good career development opportunities								

Appendix 1

The Audit Project Team and Champions

HR audit team

It is useful to identify as early as possible in the process the key roles needed for carrying out the HR audit. For example, a project manager and/or project coordinator may be needed to manage the process. We also recommend identifying “HR audit champions” within the organisation who can help get buy-in across the organisation and support the change that might be required as a result of the audit findings and action plan.

Ensure there are clear levels of responsibility for each team member (e.g. if they are a decision maker, approver, etc.) and that there is clarity over the timeline for each role and/or delegated responsibilities (the RACI model¹ for delegation provided below can help provide such clarity on roles and responsibilities).

HR audit champions

The HR audit champions are members of staff expected to contribute to the process. They do not have to have management responsibilities.

These champions are early adopters and advocates for the project who want the audit to succeed and believe that carrying out this process will be beneficial to the organisation. They understand the purpose and relevance of the project for them and the organisation.

The project manager must be clear and manage expectations throughout. It must be clearly established at the start of the project that they can commit the time necessary to be a champion. The champions’ involvement and enthusiasm must also be recognised as appropriate.

How to choose HR audit champions

- Should be a member of staff, volunteer or board member;
- Usually drawn from department(s) being audited;
- Can demonstrate commitment to the process (essential);
- Need to be given the time and recognition by management to undertake the role.

What to expect from HR audit champions

- Talk about the process in positive ways e.g. ask them to make a short presentation in staff meetings (you may need to prepare that for them and provide them with the relevant material);
- Engage team members in conversations about the process and its benefits (e.g. by setting up team meetings to engage in discussions over the relevance and the requirements for that team);
- Help and encourage other people to really understand the process, so they can see it and believe in it too;
- Keep others excited about the process, especially when they are negative or frustrated, conveying a sense of importance and relevancy for the process and its outcomes;

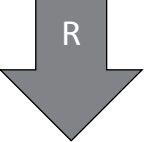
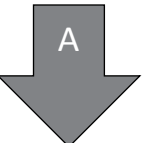
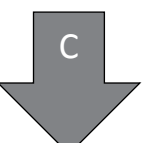
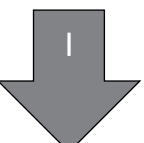
¹ <https://www.projectsmart.co.uk/raci-matrix.php>

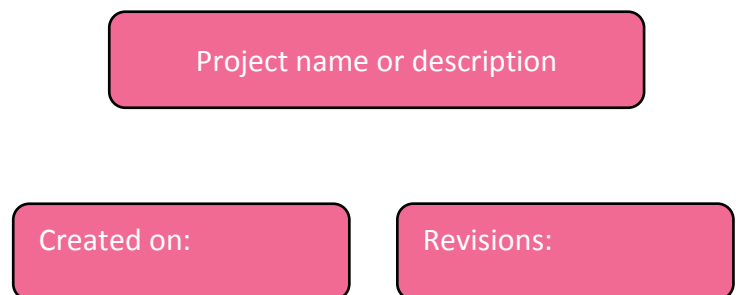
- Support others to keep efforts on task and on time (e.g. ensure they have a [Gantt chart](#), or similar, of the activities/time frame for defining the idea, designing the plan, implementing, adopting and finally institutionalising or embedding the plan).

How to support HR audit champions:

- **Build commitment through effective communication:** Develop and maintain a communication plan to ensure that expectations of the project remain in line with reality. Creating a framework of objective; strategy; by whom; by when, might be useful.
- **Acknowledge and manage resistance.** Recognise and manage any resistance to the technology and new or changed business processes associated with the project needs.
- **Build synergy through teamwork.** Synergy is developed to create an atmosphere that allows individuals from different backgrounds and with diverse skills, experience, needs and aspirations to work together. Ensure that the champions are active in any training and follow-up activities.
- **Equip the champions.** Ensure that the necessary resources and support are available throughout the whole duration of the HR audit process.
- **Encourage ownership.** Ensure that the HR audit champion accepts ultimate responsibility for its successful implementation.

RACI model:

	Responsible: the person responsible for getting the work done and achieving the task
	Accountable: the person accountable for thorough completion of the task
	Consulted: key stakeholders providing information (matter experts)
	Informed: people kept informed about progresses and decisions made



Appendix 2

HR Policies, Processes and Practices Checklist²

Policy/Process/Practice		Does this exist?	Is it/are they up to date?	Is it/are they clearly communicated?	Is it/are they consistently applied?
Responses: Yes/No/Don't Know					
1	Human Resources strategy				
1.1	A current organisational strategic plan which recognises the HR and/or OD function as an equal business partner and is reflected in the partnership agreements when applicable.				
1.2	Workforce planning processes which reflect the need to deliver effective assistance to affected communities.				
1.3	Organisation charts which reflect the current organisation, including matrix management where applicable.				
1.4	Categories of staff identified e.g. expat, international, national, local, intern, volunteer, and consultant.				
1.5	Exit strategy for project or programme closure.				
2	Staff policies and practices				
2.1	Policy governing annual, compassionate, maternity/paternity, home and other leave entitlements, including rest and recuperation (R&R) and time off in lieu (TOIL) when applicable.				
2.2	Policy covering working hours, the length of the working week and standards governing the working environment.				
2.3	Policy covering living/accommodation arrangements including adequate privacy provisions.				

² This is strongly recommended with all HR Audits

Policy/Process/Practice		Does this exist?	Is it/are they up to date?	Is it/are they clearly communicated?	Is it/are they consistently applied?
Responses: Yes/No/Don't Know					
2.4	Policy to support the prevention of sexual exploitation and abuse (PSEA), fraud, bribery and other abuse of power.				
2.5	Expected standards of behaviour and code of conduct including prevention of, and attention to, abuse of staff.				
2.6	Roster arrangements for rapid deployment.				
2.7	Policies for handling resignation, redeployment and redundancy.				
2.8	Appropriate HR templates for use in partnership agreements.				
3	Managing people				
3.1	Appropriate contracts which reflect the requirements of the organisation.				
3.2	Terms and conditions of employment, including non-cash and cash benefits in local currencies for all categories of staff.				
3.3	Understanding of labour laws in the countries in which the organisation operates.				
3.4	Staff Handbook.				
3.5	Grievance, disciplinary, whistle blowing and complaints procedures.				
3.6	Performance management/appraisal process.				
3.7	Periodic salary reviews and benchmarking against relevant local organisations.				
3.8	Data protection; confidential and secure personal records.				
3.9	Policies and practices which reflect gender awareness and equal opportunity issues.				
3.10	Evacuation/suspension of				

Policy/Process/Practice		Does this exist?	Is it/are they up to date?	Is it/are they clearly communicated?	Is it/are they consistently applied?
Responses: Yes/No/Don't Know					
	operations procedures.				
3.11	Dismissal procedure.				
3.12	Programme closure and other exit procedures to include exit interviews, handover, references, health checks, ongoing support, and payments.				
4	Consultation and communications				
4.1	Methodologies/approaches for communicating and managing change.				
4.2	Policies and procedures to ensure respectful, culturally appropriate and communications.				
4.3	Employee engagement programme.				
4.4	Clear communication strategy for exit procedures.				
5	Recruitment & selection				
5.1	Job descriptions.				
5.2	Person specifications.				
5.3	Diversity and equality policy.				
5.4	Protection against sexual exploitation and abuse policy (PSEA).				
5.5	Application forms and selection/short-listing processes.				
5.6	Testing and interviewing tools and procedures.				
5.7	Procedures for obtaining references, conducting health checks and carrying out criminal records checks.				
5.8	Recruitment success/key performance indicators (KPIs).				
5.9	Guidelines for beneficiary involvement in recruitment (when applicable).				
5.10	Quality and accountability				

Policy/Process/Practice		Does this exist?	Is it/are they up to date?	Is it/are they clearly communicated?	Is it/are they consistently applied?
Responses: Yes/No/Don't Know					
	guidelines for use in rapid recruitment/surge.				
6	Learning, training and development				
6.1	Induction, on-boarding programme.				
6.2	Probationary period and review.				
6.3	Mentoring/buddy support for new starters.				
6.4	Learning needs analysis and personal development plans for all staff.				
6.5	Capacity building programmes that ensure all staff competencies are adequate to be able to consistently deliver high quality programmes, including management and leadership skills development programmes.				
6.6	Availability of range of different learning methodologies including self-help, training courses, access to online platforms, shadowing and mentoring/coaching etc.				
6.7	Articulated career paths and periodic career development discussions.				
6.8	Career support to staff when transitioning as appropriate.				
7	Health, safety and security				
7.1	Health & safety and staff duty of care policy including reference to personal and team security, stress management, risk mitigations, and individual counselling support.				
7.2	Children and vulnerable adults protection guidelines; protection protocols against sexual exploitation and abuse (PSEA).				
7.3	Stress prevention/management or wellbeing programme in place.				
7.4	Access to occupational health or				

Policy/Process/Practice		Does this exist?	Is it/are they up to date?	Is it/are they clearly communicated?	Is it/are they consistently applied?
Responses: Yes/No/Don't Know					
	employee assistance programme (EAP) and on-site first aiders.				
7.5	Travel and deployment arrangements including vaccinations, visas, insurance, work permits etc.				
7.6	Safety and security preparation (briefing, training, etc.) prior to deployment, or appropriate refresher course.				
7.7	Adequate insurance arrangements and provisions.				
7.8	Protocols for good practice in prevention and addressing sexual and gender-based violence.				

Appendix 3

Basic Audit (Level 1) - HR Effectiveness Questionnaire

Category	Perception (H, M, L)	Risk (H, M, L)	Priority (R,A,G,B)
Human Resources strategy HR is an integral part of our strategic and operational plans.			
Staff policies and practices Our HR policies are compliant with the current legal framework and aim to be effective fair, equitable and transparent.			
Managing people Good support, management and leadership of our staff is key to our effectiveness.			
Consultation and communication Dialogue with staff on matters likely to affect their employment enhances the quality and effectiveness of our policies and practices.			
Recruitment and selection Our policies and practices aim to attract and select a diverse workforce with the skills and capabilities to fulfil our mission and objectives.			
Learning, training and development Capacity building, learning, training and staff development are promoted throughout the organisation.			
Health, safety and security The security, wellbeing and safety of our staff are a prime responsibility for our organisation.			

Appendix 4

Basic Audit (Level 1) - HR Effectiveness Questionnaire Scoring Sheet

Category	Individual perceptions			Overall perception	Individual risk assessments			Overall risk	Priority
	H	M	L		H	M	L		
Human Resources strategy HR is an integral part of our strategic and operational plans.									
Staff policies and practices Our HR policies are compliant with the current legal framework and aim to be effective fair, equitable and transparent.									
Managing people Good support, management and leadership of our staff is key to our effectiveness.									
Consultation and communication Dialogue with staff on matters likely to affect their employment enhances the quality and effectiveness of our policies and practices.									
Recruitment and selection Our policies and practices aim to attract and select a diverse workforce with the skills and capabilities to fulfil mission and objectives.									
Learning, training and development Capacity building, learning, training and staff development are promoted throughout the organisation.									
Health, safety and security The security, wellbeing and safety of our staff are a prime responsibility for our organisation.									

Appendix 5

People Metrics

Category	Measure
<p>1 Human Resources strategy HR is an integral part of our strategic and operational plans.</p>	<ul style="list-style-type: none"> • The extent to which HR and L&D practices are tailored to suit different needs • Key people measures regarding recruitment, retention and motivation analysed by key talent group • % of employees using ABCDE³ model who can describe the organisation's vision, mission and strategic objectives • % of senior leadership time devoted to people issues and reviewing people metrics • % of senior management time spent in identifying key talent and in planning appropriate deployment and development • Retention rates: overall and for key employee groups • % of executive level posts for which there is a succession plan in place
<p>2 Staff policies and practices Our HR policies are compliant with the current legal framework and aim to be effective fair, equitable and transparent.</p>	<ul style="list-style-type: none"> • % of recommended policies read and signed by staff • % of completed staff records • Average length of assignments • Number of senior management team members who self-identify as belonging to a diversity group • % of senior management employees who are female
<p>3 Managing people Good support, management and leadership of our staff is key to our effectiveness.</p>	<ul style="list-style-type: none"> • Engagement scores: overall and for key employee groups • % of employees who trust and respect their manager • % of employees who have had effective performance review discussions with their manager • % of employees who receive prompt recognition and praise • % of employees who receive regular constructive feedback

³ **A** Aware (I know what this is)
B Basic (I can do this with support)
C Competent (I can do this well in my own job)
D Distinguished (others look to me for input on this)
E Expert (I write/speak on this externally)

		<ul style="list-style-type: none"> • % of employees who believe they are treated fairly • Number of flexible working and work/life balance initiatives and of employees signing up/benefiting • % of employees fully engaged within team • % of leavers who feel that they have been well treated • Perception of new starters after first three months • Level of time spent analysing and taking action on exit interview data • Number of referrals generated by former employees • % of employees who feel that their role plays to their strengths • % of employees who feel that they are trusted to use their judgement • % of employees who feel that their role is stretching and challenging • Demographic data around age • Capture and sharing of information regarding individual strengths across the organisation • Costs associated with absenteeism • Absenteeism figures
4	Consultation and communication Dialogue with staff on matters likely to affect their employment enhances the quality and effectiveness of our policies and practices.	<ul style="list-style-type: none"> • % of employees who are clear about what is expected of them • Frequency and consistency of senior management communication to workforce • Reported access by employees to all HR information including handbook, policies, compensation and benefits data • Reported level of consultation for all major change processes
5	Recruitment and selection Our policies and practices aim to attract and select a diverse workforce with the skills and capabilities to fulfil mission and objectives.	<ul style="list-style-type: none"> • Reputation as an employer from external surveys • Elapsed time to fill vacancies • Number of failed recruitments (& reasons) • 90-day turnover rate • “Churn”: the rate of internal movement by employees as a % of total headcount • % offers accepted • % candidates retained after 12 months of joining • Diversity mix of applicants • Accuracy and relevance of job descriptions and

		<p>person specifications</p> <ul style="list-style-type: none"> • % of staff recruited externally who identify themselves as coming from a diversity group • % of staff recruited externally who are female • % of intern hires converted to regular employment
6	<p>Learning, training and development Capacity building, learning, training and staff development are promoted throughout the organisation.</p>	<ul style="list-style-type: none"> • Level of training and development investment • % of employees who have individual training and development plans • % of employees who have had a meaningful career planning discussion with their manager • % of employees who feel that their manager understands their aspirations and needs • % new starters receiving full induction within specified timescale • % of new starters whose training and development needs have been met within specified timescale • % staff receiving mentoring and coaching • Learning and development costs as a % of HR expenses • Learning and development costs as a % of total revenue • % of employees who report that they are satisfied with on-the-job learning, project assignments for growth and development, and role rotations • % of staff rated as poor performers who are on a performance improvement programme • % of staff employees who are on a performance improvement programme who improved by one level or more on performance appraisal ratings within twelve months • % uptake of training offered
7	<p>Health, safety and security The security, wellbeing and safety of our staff are a prime responsibility for our organisation.</p>	<ul style="list-style-type: none"> • Level of investment in employee welfare and health, safety and security • Number of trained first aiders in each location • Number of reported safety and security incidents • % of staff accessing employee assistance programme (EAP)

Appendix 6

Full Audit (Level 2) - HR Effectiveness Questionnaire

	Statement	Perception (H, M, L)	Risk (H, M, L)	Priority (R, A, G, B)
	Human Resources strategy: HR is an integral part of our strategic and operational plans.			
1	We have a clearly defined, integrated people management strategy.			
2	Our people strategy is aligned to our mission, values and strategic objectives.			
3	Our people strategy enables us to maximise the return on investment on staff.			
4	Our people strategy supports a culture of learning and continuous improvement throughout the organisation.			
	Staff policies and practices: Our HR policies are compliant with the current legal framework and aim to be effective fair, equitable and transparent.			
5	Our HR policies and procedures are fair, transparent and non-discriminatory.			
6	Our HR policies and procedures are compliant with local labour law and quality and accountability (Q&A) international standards such as the Core Humanitarian Standard (CHS).			
	Managing people: Good support, management and leadership of our staff is key to our effectiveness.			
7	We provide individuals with roles that are stretching and challenging.			
8	Accountability to affected communities is at the heart of all our people management practice.			
9	We delegate authority appropriately and trust individuals to use their judgement.			
10	Our managers build individual capability and confidence to deliver high quality services and enable others to be successful.			
11	Managers are good at identifying what motivates individuals and in bringing the best out of them.			
12	Individuals have a clear understanding of what they need to do and what constitutes success in their role.			

	Statement	Perception (H, M, L)	Risk (H, M, L)	Priority (R, A, G, B)
13	Individuals receive regular constructive feedback which helps them to improve their performance.			
14	Our managers provide prompt praise and recognition where it is merited.			
15	Our treatment of people is fair, equitable and even-handed.			
16	We manage the exit of people from the organisation in a dignified and sensitive manner.			
	Consultation and communication: Dialogue with staff on matters likely to affect their employment enhances the quality and effectiveness of our policies and practices.			
17	We have a comprehensive understanding about how people feel about working for us and take prompt action to address issues.			
18	We communicate internally in languages, formats and media that are easily understood, respectfully and culturally appropriate for all staff groups.			
19	We have policies in place that encourage information sharing and promote a culture of open sharing.			
20	We adapt our people management policies and practices based on insights provided by those that have left.			
21	We help build people's capabilities for their future careers.			
22	People invariably speak well of this organisation after they have left.			
	Recruitment and selection: Our policies and practices aim to attract and select a diverse workforce with the skills and capabilities to fulfil mission and objectives.			
23	We have a strong employer brand that attracts high quality applicants.			
24	Our recruitment and selection processes enable us to respond rapidly when vacancies arise.			
25	Person specifications for jobs define the correct levels of skills, competencies and experience required.			
26	Our recruitment and selection processes effectively sift candidates and enable us to select the best person for the job (incl. solid reference and police checks).			

	Statement	Perception (H, M, L)	Risk (H, M, L)	Priority (R, A, G, B)
27	Our recruitment and selection processes enable us to attract a diverse range of candidates.			
28	Our employment offer is attractive and enables us to recruit the calibre of people we require.			
29	New starters are provided with a comprehensive induction/on-boarding programme.			
30	The individual needs of new starters are rapidly assessed and addressed.			
31	Our induction/on-boarding programme enables new starters to rapidly assimilate into the organisation and develop a sense of belonging.			
32	New starters are provided with coaching and mentoring support during their probationary period.			
33	New starters are provided with the equipment, information and guidance necessary to prepare them for their role.			
	Learning, training and development: Capacity building, learning, training and staff development are promoted throughout the organisation.			
34	We have a comprehensive understanding of culturally relevant individual training and development needs.			
35	We appropriately train and equip our managers.			
36	Individual training and development needs are promptly and appropriately addressed.			
37	We provide people with the scope to grow and fulfil their potential.			
38	People are clear about how they can progress their career within the organisation.			
39	We provide people with good career development opportunities.			
40	We know where the key talent which is critical to our success is and how best to retain and motivate them.			
	Health, safety and security: The security, wellbeing and safety of our staff are a prime responsibility for our organisation.			
41	We take employee health, welfare, safety and security seriously and strive to help individuals achieve a meaningful work/life balance.			
42	We provide access to employee assistance and welfare programmes recognising the stressful nature			

	Statement	Perception (H, M, L)	Risk (H, M, L)	Priority (R, A, G, B)
	of humanitarian work and the insecure environments staff may be working in.			
43	We encourage consultation and participation from staff, in forming employee associations.			
44	We meet our duty of care obligations through legal compliance and ethical alignment between our vision, values and our ways of working.			

Appendix 7

Full Audit (Level 2) - HR Effectiveness Questionnaire Scoring Sheet

Statement	Individual perceptions			Overall perception	Individual risk assessments			Overall risk	Priority (R, A, G, B)
	H	M	L		H	M	L		
Human Resources strategy: HR is an integral part of our strategic and operational plans.									
1. We have a clearly defined, integrated people management strategy.									
2. Our people strategy is aligned to our mission, values and strategic objectives.									
3. Our people strategy enables us to maximise the return on investment on staff.									
4. Our people strategy supports a culture of learning and continuous improvement throughout the organisation.									
Staff policies and practices: Our HR policies are compliant with the current legal framework and aim to be effective fair, equitable and transparent.									

Statement	Individual perceptions			Overall perception	Individual risk assessments			Overall risk	Priority (R, A, G, B)
	H	M	L		H	M	L		
5. Our HR policies and procedures are fair, transparent and non-discriminatory.									
6. Our HR policies and procedures are compliant with local labour law and quality and accountability (Q&A) international standards such as the Core Humanitarian Standard (CHS).									
Managing people: Good support, management and leadership of our staff is key to our effectiveness.									
7. We provide individuals with roles that are stretching and challenging.									
8. Accountability to affected communities is at the heart of all our people management practice.									
9. We delegate authority appropriately and trust individuals to use their judgement.									

Statement	Individual perceptions			Overall perception	Individual risk assessments			Overall risk	Priority (R, A, G, B)
	H	M	L		H	M	L		
10. Our managers build individual capability and confidence to deliver high quality services and enable others to be successful.									
11. Managers are good at identifying what motivates individuals and in bringing the best out of them.									
12. Individuals have a clear understanding of what they need to do and what constitutes success in their role.									
13. Individuals receive regular constructive feedback which helps them to improve their performance.									
14. Our managers provide prompt praise and recognition where it is merited.									

Statement	Individual perceptions			Overall perception	Individual risk assessments			Overall risk	Priority (R, A, G, B)
	H	M	L		H	M	L		
15. Our treatment of people is fair, equitable and even-handed.									
16. We manage the exit of people from the organisation in a dignified and sensitive manner.									
Consultation and communication: Dialogue with staff on matters likely to affect their employment enhances the quality and effectiveness of our policies and practices.									
17. We have a comprehensive understanding about how people feel about working for us and take prompt action to address issues.									
18. We communicate internally in languages, formats and media that are easily understood, respectfully and culturally appropriate for all staff groups.									
19. We have policies in place that encourage information sharing and promote a culture of open sharing									

Statement	Individual perceptions			Overall perception	Individual risk assessments			Overall risk	Priority (R, A, G, B)
	H	M	L		H	M	L		
20. We adapt our people management policies and practices based on insights provided by those that have left.									
21. We help build people's capabilities for their future careers.									
22. People invariably speak well of this organisation after they have left.									
Recruitment and selection: Our policies and practices aim to attract and select a diverse workforce with the skills and capabilities to fulfil mission and objectives.									
23. We have a strong employer brand that attracts high quality applicants.									
24. Our recruitment and selection processes enable us to respond rapidly when vacancies arise.									

Statement	Individual perceptions			Overall perception	Individual risk assessments			Overall risk	Priority (R, A, G, B)
	H	M	L		H	M	L		
25. Person specifications for jobs define the correct levels of skills, competencies and experience required.									
26. Our recruitment and selection processes effectively and securely sift candidates and enable us to select the best person for the job (incl. solid reference and police checks).									
27. Our recruitment and selection processes enables us to attract a diverse range of candidates.									
28. Our employment offer is attractive and enables us to recruit the calibre of people we require.									
29. New starters are provided with a comprehensive induction/on-boarding programme.									
30. The individual needs of new starters are rapidly assessed and addressed.									

Statement	Individual perceptions			Overall perception	Individual risk assessments			Overall risk	Priority (R, A, G, B)
	H	M	L		H	M	L		
31. Our induction/on-boarding programme enables new starters to rapidly assimilate into the organisation and develop a sense of belonging.									
32. New starters are provided with coaching and mentoring support during their probationary period.									
33. New starters are provided with the equipment, information and guidance necessary to prepare them for their role.									
Learning, training and development: Capacity building, learning, training and staff development are promoted throughout the organisation.									
34. We have a comprehensive understanding of culturally relevant individual training and development needs.									
35. We appropriately train and equip our managers.									

Statement	Individual perceptions			Overall perception	Individual risk assessments			Overall risk	Priority (R, A, G, B)
	H	M	L		H	M	L		
36. Individual training and development needs are promptly and appropriately addressed.									
37. We provide people with the scope to grow and fulfil their potential.									
38. People are clear about how they can progress their career within the organisation.									
39. We provide people with good career development opportunities.									
40. We know where the key talent which is critical to our success is and how best to retain and motivate them.									
Health, safety and security: The security, wellbeing and safety of our staff are a prime responsibility for our organisation.									
41. We take employee health, welfare, safety and security seriously and strive to help individuals achieve a meaningful work/life balance.									

Statement	Individual perceptions			Overall perception	Individual risk assessments			Overall risk	Priority (R, A, G, B)
	H	M	L		H	M	L		
42. We provide access to employee assistance and welfare programmes recognising the stressful nature of humanitarian work and the insecure environments staff may be working in.									
43. We encourage consultation and participation from staff, in forming employee associations.									
44. We meet our Duty of Care obligations through legal compliance and ethical alignment between our vision, values and our ways of working.									