SQS 5

The service unit/agency implements effective staff recruitment, contracting, development, training, assessment, deployment and disciplinary practices.

5.1 The service unit/agency has policies and procedures on staff (including part-time staff) recruitment, deployment and promotion, employment contracting and disciplinary actions, and such policies and procedures are accessible to staff.

5.2 The service unit/agency has induction policy and procedures for new staff.

5.3 The service unit/agency provides on-going supervision for staff and conducts regular performance reviews/appraisals for identifying areas for performance improvement and needs for ongoing training and development.

5.4 The service unit/agency has a training policy and a plan for staff training and development.

A.   INTRODUCTION TO SQS 5 - HUMAN RESOURCES

Service Quality Standard 5 covers the human resources functions of staff recruitment, deployment and promotion, employment contracting, induction and orientation, training and development, staff supervision, performance assessment, and disciplinary actions.

The employment and support of suitable staff are a high priority for all service units. Staff recruitment can be a time consuming and costly exercise. A planned approach to recruitment will assist your unit/agency to secure the most suitable staff in an efficient and cost effective manner.

Structured induction into the service unit, ongoing staff support, performance monitoring and the provision of opportunities for skills enhancement and development for staff are all essential in providing a quality service to service users.

Meeting the SQS will ensure that the service unit/agency achieves a professional and accountable level of operation in its human resources obligations through:

- a focused and accountable recruitment process;

- appropriate staff deployment and promotion practices;

- clear policies on establishing employment contracts with staff members;

- planned induction and orientation processes for new staff;

- continuous performance improvement through appraisal, training and development activities; and

- clear and fair procedures for disciplinary actions related to staff matters.

B.   REQUIREMENTS FOR MEETING SQS 5

To meet this SQS, your unit/agency will need to:

1.   Have policies and procedures accessible to staff spelling out its planned approach to staff (including part-time staff) recruitment, deployment and promotion, employment contracting and disciplinary actions

This involves the agency/service unit understanding the current and future staffing requirements and developing policy and procedures of identifying vacancies and filling them with appropriately qualified and experienced candidates, by recruitment, by deployment or by promotion. Attributes, including qualifications, experience and personal skills, of the staff being sought will be known through the process of developing job descriptions in meeting the requirements of SQS 4. Likewise, the agency/service unit has policies and procedures spelling out the approach and

mechanism on the establishment of employment contracts with employees and taking disciplinary actions.

To meet this requirement, your service unit/agency should have documents spelling out the policies and procedures of:

(a) Staff recruitment, deployment and promotion, specifying:
  – Selection criteria
  – Time frames
  – Responsible persons and their roles
  – Measures to avoid conflict of interest

(b) Establishing employment contracts with employees

(c) Taking disciplinary actions related to staff matters, specifying:
  – Criteria for action
  – Responsible persons and their roles
  – Measures to avoid conflict of interest

The service unit/agency will also need to ensure that the above policies and procedures are accessible to staff.

2. **Have an established induction policy and procedures for new staff joining the service unit /agency**

The service unit/agency has a document spelling out the policy and procedures on induction for new regular staff. The design and development of induction programmes for new staff will draw upon information developed to meet the requirements of many of the other SQS standards.

3. **Have a policy spelling out its mechanisms for supervision and regular performance appraisals**

SQS 5 requires that the service unit/agency provides on-going supervision of staff and regular performance reviews. In order to meet SQS 5, staff supervision responsibility should be specified in the respective job description. Your service unit /agency will also need to have a relevant policy on and demonstrate that it has routine supervisory arrangements in place in addition to a system of formal performance appraisals. The policy should specify:

-   When and by whom regular staff supervision & appraisal are to be conducted
-   Identification of areas for performance improvement
-   Identification of on-going training and development needs

4. Have a staff training policy

To meet SQS 5, your service unit/agency will require a policy outlining your commitment to staff training and development.

5. Have a staff training and development plan

To meet this SQS, you will need to develop a staff training and development plan. Keeping records of the implementation and evaluation of these plans are also encouraged.

6. Ensure that the above policies, procedures and plans are implemented

All the above policies, procedures and plans on staff recruitment, deployment and promotion, employment contracting, disciplinary actions, induction for new staff, supervision and performance assessment, as well as training and development should be implemented.

C. RESOURCES TO ASSIST YOUR SERVICE UNIT/AGENCY TO MEET SQS 5

This handbook contains the following resources to assist you to meet the requirements of SQS 5.

- Guidelines for developing procedures on filling vacancies and deploying staff;
- Sample policy on staff recruitment, deployment and promotion;
- Guidelines for establishing an employment contract;
- Sample policy on staff employment contracting;
- Guidelines for developing a staff induction and orientation programme;
- Sample policy on staff induction and orientation;
- Guidelines for developing staff supervision and performance appraisal arrangements;
- Sample policy on staff supervision and performance appraisal;
- Guidelines for establishing procedures for taking disciplinary actions related to staff matters;
- Sample policy on disciplinary actions related to staff matters;
- Guidelines for developing a staff training and development plan; and
- Sample policy on staff training and development.

The documents provided may be used either as:

- a basis for developing policies and procedures specific to your service unit/agency, in the event that you do not already have existing documents in this area; or

- a checklist for reviewing and, if necessary, amending your service unit's/agency's relevant policies and procedures, if you already have such items in place.

The documentation provided in this handbook has been designed to assist smaller agencies. It is important to remember that the resource documents provided in this handbook are intended only to provide guidance. The final documents implemented in your service should be specifically tailored to reflect the nature and operations of your service unit/agency and your service users' needs.

Policies and procedures need not be detailed. Brief documents, which present your message succinctly, are more likely to be read and understood by staff and service users.

**GUIDELINES FOR DEVELOPING PROCEDURES ON FILLING VACANCIES
AND DEPLOYING STAFF**

1. Introduction

These guidelines have been prepared to assist you to develop procedures appropriate to your service unit/agency. The outline below may be used by you as:

- a reference document when reviewing existing policies and procedures; or

- a basis for developing your own documentation.

2. Purpose of guidelines.

The main purpose of these guidelines is to describe some of the key components of the staff recruitment process.

3. Contents of your procedures

The contents proposed below should be reviewed and amended to reflect your service unit/agency's size, structure and focus.

i) understanding current and future needs

The process of hiring and placing staff within the service unit/agency should build upon existing knowledge within the service unit/agency and proceed in a planned manner rather than a haphazard or ad hoc approach.

Staffing requirements should be known through the service types funded through the Funding and Service Agreement. In addition, the forward plans of the service unit/agency will also indicate staffing requirements. This information will assist in planning the recruitment process.

In this section of the procedures, you will need to indicate the process for:

- confirming your current staff needs;

- determining whether your current staff satisfy your needs;

- determining whether you need to deploy existing positions into other service areas; and

- determining whether you will need to appoint additional positions.

ii)   staff deployment

Understanding your current and future needs will help you work out how to deploy your existing staff.

In this section of the procedures, you will need to cover:

- the policy on deployment which may cover issues such as:

  - the circumstances under which a staff member may be deployed (e.g. when the staff member is no longer needed in that unit; where staff are needed in new service units or for staff development);
  - the service unit's (or agency's) commitment to finding deployment opportunities;
  - how the views of the staff member concerned will be taken into consideration; and

- the processes for deployment – that is, how you will advise the staff member, the alternatives they will be offered, the timelines for making decisions about deployment, support available in the new job and any compensation arrangements (if relevant).

iii)   recruitment and promotion process

Recruitment and promotion are similar in that they are both approaches to fill vacant positions.

You will need to consider the following aspects of recruitment:

- the process of commencing recruitment action, for example, identification of vacancies, who has authority to approve recruitment action;

- whether positions will be filled through internal recruitment or deployment and/or external candidates, and the circumstances under which the position would only be filled through internal promotion;

- the methods to be used to seek candidates. For example, sources of recruitment from within the organisation include staff newsletters, circulars and memos, promotion and transfer opportunities. Sources external to the organisation include advertisement, recruitment agencies, professional bodies, journals and newsletters, employee referrals, and educational institutions;

- information and forms to be used in the recruitment process. For example, job descriptions and standard application forms;

- methods by which criteria will be developed to create a short list of candidates for interviews, for example, checklist of key criteria derived from the job description; and

- roles and responsibilities of key staff/committee members involved in the selection process. Role statements could be developed for participants detailing duties and tasks, for example, designated leader of the interview panel. Participants and their roles may vary depending upon size of agency/ service unit and the position being recruited.

iv) interview processes/procedures

- interview formats, for example, covering situational questions, job knowledge questions, job sample and simulation questions, worker requirements questions;

- interview skills and techniques, for example, you may wish to develop an interview guide as a pro-forma structured to cover all relevant areas of an interview;

- number and position of participants. Depending upon the position under recruitment action, participants may include HR Manager/staff member, Executive Director/Board Member(s), Unit Manager, senior professional, immediate supervisor, member of peer group, and service user representative(s);

- number of interviews;

- number of applicants being interviewed;

- location(s);

- record keeping;

- confidentiality; and

- any necessary supports to assist service users to participate, for example, information in other formats, pre-interview training and briefing.

v) decision making

- specifying processes to be used to select the preferred candidate. This may include establishment of the essential & desirable features of the job (via job description and person description) to enable objective comparison of candidates and matching of candidate with the job. For example, you may

use numerical methods such as rating scales in an attempt to quantify opinions;

- specifying the selection criteria;

- measures to avoid conflict of interest (e.g. if a family member of selection panel member is a candidate);

- guidelines on what to do if the interviews result in a number of equally eligible candidates, or result in no preferred candidate;

- handling of successful and unsuccessful applications; and

- waiting list system.

vi) **administration of the recruitment process**

- specifying sources of information and appropriate formats - application forms/letters, curriculum vitae, tests, reference checks;

- time frames for advising applicants of invitation for interview or unsuccessful application and for the completion of the recruitment process;

- time frames for retention of staff information (as outlined in the Personal Data (Privacy) Ordinance) and mechanisms for meeting these requirements;

- reference policy – whether it will be taken up before short-listed candidates or after the candidates has been interviewed and made a provisional offer of appointment;

- specifying standard format documentation, for example, letters of invitation/ rejection for an interview, reference check forms and health forms. These may be as pro-formas attached to your guidelines;

- determining the length of the period for which records of applicants for job vacancies would be retained; and

- determining whether this procedure are applicable to all types of staff members.

4.   Links

You should consider how these procedures align with other service unit/agency procedures and highlight the appropriate links. For example, these guidelines relate to those on job descriptions, budgeting, service planning and evaluation.

5.   Administration Issues relating to the policies and procedures

In this section of the procedures, you will need to indicate:

- the date of the procedures;
- how and to whom the procedures will be distributed; and
- how and when the procedures will be reviewed.

STAFF RECRUITMENT, DEPLOYMENT AND PROMOTION POLICY
[Insert name of service unit/agency]

1. *[Insert name of service unit/agency]* is committed to [*insert mission of your service unit/agency, for example "providing developmental opportunities for children with physical disabilities"].*

2. In order to achieve this mission, *[insert name of service unit/agency]* will ensure the recruitment and deployment of right person who possesses the right skills, knowledge and the relevant experience for the right position.

3. *[Insert name of service unit/agency]* will ensure that the recruitment process is fair and just, and will not discriminate unfairly against potential applicants on grounds of gender, age, family status, religion or disability.

4. In order to ensure a fair and just recruitment process, *[Insert name of service unit/agency]* has developed measures to avoid conflict of interest when the applicants are close friends or relatives of the staff/committee members responsible for the recruitment and deployment process.

5. *[Insert name of service unit/agency]* ensures that the process of hiring and deploying staff within the service unit/agency is in a planned manner. Vacancies will be identified through the process of staff need analysis and this will be included in the forward plan of *[Insert name of service unit/agency]*

6. This policy is applicable to all types of staff members, no matter they are full-time, part-time, contractual or temporary staff, and those posts who are filled by internal transfer and promotion.

7. All recruitment, deployment and promotion matters will be reviewed and evaluated on a regular interval.

DATE: *[Insert date policy is created]*

DISTRIBUTION: *[Insert how and to whom policy will be distributed]*

REVIEW: *[Specify when and how the policy will be reviewed]*

GUIDELINES FOR ESTABLISHING AN EMPLOYMENT CONTRACT

1. Introduction

These guidelines have been prepared to assist you to develop procedures appropriate to your service unit/agency. The outline below may be used by you as:

- a reference document when reviewing existing policies and procedures; or

- a basis for developing your own documentation.

2. Purpose of guidelines

The main purpose of these guidelines is to describe some of the key components of establishing employment contract.

3. Contents of your procedures

The contents proposed below should be reviewed and amended to reflect your service unit's/agency's size, structure and focus. Your service unit/ agency should prepare a written contract with every employee.

   i.   the document should specify the process of the preparation of the contract;

   ii.   the document should specify the timeframe of issuing the employment contract;

   iii.   the document should specify the content of the contract
- position of employment and the major roles and responsibilities;
- working place/service unit;
- name/post title of supervisor/superior;
- duration of employment contract (permanent/fixed period);
- terms of employment: hourly, weekly or monthly basis/ full time, half time or part time;
- salary point and salary scale;
- pay period and method of payment;
- working hours (e.g. per week);
- probation period, if applicable;
- different types of holiday entitlement;
- different types of leave payment entitlement;
- pension scheme/provident fund arrangement;
- other fringe benefits; and
- termination of employment: period of notice required to be given by either side on termination.

iv. the document should specify the procedures needed to go through whenever a change is being made on the terms of the contracts covering:

- processes on how a change of the employment contract should be made. This may include the procedures on how to suggest changes on employment contract.

- guidelines on what to do if any party is not satisfied with the change(s) on the employment contract

- guidelines on what to do if both parties are satisfied with the change(s) on the employment contract

- key/responsible person involved in the process

4. Links

You should consider how these procedures align with other service unit/agency procedures and highlight the appropriate links. For example, these guidelines relate to those on budgeting.

5. Administration issues relating to the procedures

In this section of the procedures, you will need to indicate:

- the date of the procedures;
- how and to whom the procedures will be distributed; and
- how and when the procedures will be reviewed.

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SAMPLE POLICY

STAFF EMPLOYMENT CONTRACTING POLICY
***[Insert name of service unit*/agency]**

</div>

1.   *[Insert name of service unit/agency]* will ensure that every staff member will have a written contract prepared by the agency/ service unit.

2.   This contract has to be signed by both parties for confirmation. And it will be issued *[Insert the date here: e.g. before a certain date, within the first month of the employment, etc.]*.

3.   The contract will clearly state the details for employment, for example, the employee's work content, accountability, job title, probation and employment period, salary, and other benefits offered.

4.   Any parties have the rights to request for change of contract terms. *[Insert name of service unit/agency /responsible committee or person]* will ensure that there is a fair and just procedure in handling such matters.

5.   This policy is applicable to all types of staff members, no matter they are full-time, part-time, contractual or temporary.

DATE: *[Insert date policy is created]*

DISTRIBUTION: *[Insert how and to whom policy will be distributed]*

REVIEW: *[Specify when and how the policy will be reviewed]*

GUIDELINES FOR DEVELOPING A STAFF INDUCTION AND ORIENTATION PROGRAMME

1.   Introduction

These guidelines have been prepared to assist you to develop procedures appropriate to your service unit/agency. The outline below may be used by you as:

- a reference document when reviewing existing policies and procedures; or

- a basis for developing your own documentation.

2.   Purpose of guidelines

The main purpose of these guidelines is to describe some of the key components in developing a staff induction and orientation programme.

3.   Contents of your procedures for staff induction and orientation

The contents proposed below should be reviewed and amended to reflect your service unit/agency's size, structure and focus. You may wish to develop a variety of materials such as videos, facility tours, information kit, pamphlets and other literature to enhance the induction process. The core elements of a staff induction and orientation programme may include:

i)   programme content

a) service unit focus

- agency/ service unit history;
- agency/ service unit mission, goal and forward plan(s);
- agency/ service unit policies and procedures;
- organisational structure and key personnel of the agency and within the service unit;
- conditions of employment (for example, salary grade, leave entitlements, insurance plans);
- key papers, such as relevant telephone numbers, list of board members, maps/ facility layouts, performance appraisal forms and annual reports; and
- where to find help and assistance.

b) work role focus

- work role;
- supervision and accountability;
- meetings with key staff in other services;

- co-ordination & relationships with other work units in the service;
- service unit's/agency's expectation on staff;
- community in which the service unit operates; and
- relevant service user's information.

ii) Administration of the orientation and induction programme

- responsibility for orientation and induction programme clearly designated with role definition and responsibilities;
- location(s);
- attendance - scheduling of all new staff, special provisions, if any, for rostered staff, scheduling of executives, board members and other presenters;
- time (half day, full day);
- timing (every 3 months, 6 months - depending upon the rate of recruitment in your service);
- checklist to record completion of the programme;
- evaluation and regular review of the content and structure of the programme, including the collection of feedback from participants; and
- informing staff about the programme.

4. Links

You should consider how these procedures align with other service unit/agency procedures and highlight the appropriate links. For example, these guidelines relate to those on job descriptions, budgeting, service planning and evaluation.

5. Administration issues relating to the policies and procedures

In this section of the procedures, you will need to indicate:

- the date of the procedures;
- how and to whom the procedures will be distributed; and
- how and when the procedures will be reviewed.

STAFF INDUCTION AND ORIENTATION POLICY
***[Insert name of** service unit/agency]*

1.   *[Insert name of service unit/agency]* is committed to [*insert mission of your service unit/agency, for example "providing developmental opportunities for children with physical disabilities"].*

2.   In order to provide a high quality service, *[insert name of service unit/agency]* will provide staff induction and orientation programme for all new staff members.

3.   *[Insert name of service unit/agency]* is committed to providing all-important information related to the service unit/agency and the service itself to all new staff members in the orientation programme. The content may include the service unit/agency history, mission and forward plans, service unit/agency policies and procedures, organizational structure, work roles and responsibilities and service users' information.

4.   *[Insert name of service unit/agency]* is committed to providing adequate resources to ensure that the orientation programme's objectives be achieved.

5.   Orientation programme will be held at regular interval depending upon the rate of recruitment, and all new staff members will be asked to attend the programme.

6.   All induction and orientation events will be regularly monitored and evaluated and a formal review of each induction and orientation programmes will be undertaken on an annual basis.

DATE: *[Insert date policy is created]*

DISTRIBUTION: *[Insert how and to whom policy will be distributed]*

REVIEW: *[Specify when and how the policy will be reviewed]*

GUIDELINES FOR DEVELOPING STAFF SUPERVISION AND PERFORMANCE APPRAISAL ARRANGEMENTS

1.   Introduction

These guidelines have been prepared to assist you to develop procedures appropriate to your service unit/agency. The outline below may be used by you as:

- a reference document when reviewing existing policies and procedures; or

- a basis for developing your own documentation.

2.   Purpose of guidelines

The main purpose of these guidelines is to describe some of the key components in developing arrangements for staff supervision and performance appraisal.

3.   Contents of your procedures for staff supervision and performance appraisal

The contents proposed below should be reviewed and amended to reflect your service unit's/agency's size, structure and focus. Your service unit/agency may have in place some of the following in order to provide appropriate staff supervision and to undertake regular performance appraisals.

i)   Supervision

In this section, you may wish to include elements such as:

- the nature of the supervisory relationship;
- the objectives and purpose of providing supervision;
- frequency and regularity of supervision;
- roles and responsibilities of the supervisor and the staff;
- major area of concern of staff supervision / performance review;
- function (s) of supervision;
- record keeping;
- confidentiality;
- relationship between supervision and the performance appraisal process;
- supervision requirements of any professional bodies, for example, a requirement for registration; and
- processes to obtain permission for external supervision.

ii) Performance Appraisal

In this section, you may wish to include elements such as:

a) Content

- the service unit's/agency's philosophy on performance appraisal;
- the objectives of undertaking formal performance appraisals;
- the relationship between regular supervision and performance appraisals;
- the service units'/agency's expectations that performance appraisals will be objective, based upon observable information, developmental, focused upon standards of performance derived from task & work role analysis of the position;
- specify which areas for performance are evaluated, how the evaluation take place, and its significance to the employees;
- ways to communicate with staff about what performance are to be evaluated;
- specify sources of data and input for the performance appraisal (superior/supervisor, peer appraisal, by subordinates, input from service users, self-appraisal);
- identification of staff members' areas for improvement and on-going training and development needs;
- service unit's/agency's expectations concerning the development of performance standards (based upon job analysis, job descriptions, professional standards, qualifications or competencies);
- expectations that the standards should be relevant to the objectives & tasks of the job, reliable and consistent, expressed in quantifiable and measurable terms; and
- expectations of standards of behaviour from those conducting the appraisal (non-judgmental, facilitatory, developmental, non-discriminatory and so on).

b) Administration of the performance appraisal process

- frequency (annual, semi-annual) and time schedule (for example, within six months of joining the service unit/agency and then every 6 or 12 months thereafter) of appraisal;
- attached pro-forma of performance appraisal instrument, this may include a variety of items such as rating scales, comparisons, check lists, objectives achieved or a combination thereof;
- person responsible for administering the performance appraisal process;
- expectations that appraisals would be discussed openly with the employee and counselling or corrective guidance offered to the poor performer and developmental activities offered to those performing well;

- details of an appeals procedure should the employee disagree with the appraisal content or process;
- commitment to confidentiality and respect for the rights of all persons in the process;
- record keeping;
- relationship of outcomes of performance appraisal to remuneration, other reward systems, career planning and so on; and
- staff training required for those conducting performance appraisals.

Note: We have not provided a specific performance appraisal form as these need to be designed to cover the specific needs of your service unit/agency. In fact, you may require a number of different formats depending upon the range of positions in your service unit/agency.

There are a number of performance appraisal systems available that you may wish to evaluate. In addition, there are many texts detailing performance appraisal formats including some specifically designed for non-profit organisations. Many of the university libraries in Hong Kong hold a reasonable collection of these texts.

4.   Links

You should consider how these procedures align with other service unit/agency procedures and highlight the appropriate links. For example, these guidelines relate to those on job descriptions, accounting responsibilities, service planning and evaluation.

5.   Administration Issues relating to the policies and procedures

In this section of the procedures, you will need to indicate:

- the date of the procedures;
- how and to whom the procedures will be distributed; and
- how and when the procedures will be reviewed.

STAFF SUPERVISION AND PERFORMANCE APPRAISAL POLICY
***[Insert name of** service unit/agency]*

1.   *[Insert name of service unit/agency]* is committed to [*insert mission of your service unit/agency, for example " providing developmental opportunities for children with physical disabilities"].*

2.   In order to achieve this mission, appropriately qualified and trained staff from *[insert name of service unit/agency]* will provide a range of comprehensive services based upon individual service user's needs *[You should specify the relevant needs, for example "health care, mobility, educational and social needs"].*

3.   In order to provide a high quality service, *[insert name of service unit/agency]* will provide on-going supervision and performance appraisals to the staff members on regular basis.

4.   *[Insert name of service unit/agency]* will ensure that the process of performance appraisal be objective, based upon observable information, developmental, focused upon standards of performance derived from task and work role analysis of the position.

5.   *[Insert name of service unit/agency]* will have an appeal system to handle the disagreement of employees on the appraisal content/ process.

6.   *[Insert name of service unit/agency]* will ensure that all the content of supervision and performance appraisal will be kept confidential.

DATE: *[Insert date policy is created]*

DISTRIBUTION: *[Insert how and to whom policy will be distributed]*

REVIEW: *[Specify when and how the policy will be reviewed]*

GUIDELINES FOR ESTABLISHING PROCEDURES FOR TAKING DISCIPLINARY ACTIONS RELATED TO STAFF MATTERS

1.   Introduction

These guidelines have been prepared to assist you to develop procedures appropriate to your service unit/agency. The outline below may be used by your service unit/agency as:

- a reference document when reviewing existing policies and procedures; or

- a basis for developing your own documentation.

2.   Purpose of guidelines

The main purpose of these guidelines is to describe some of the key components in establishing procedures for taking disciplinary actions related to staff matters.

3.   Contents of your procedures

The contents proposed below should be reviewed and amended to reflect your service unit's/agency's size, structure and focus.

- An outline and/or a description of the expected conduct and/or the organizational objectives on staff discipline;

- Specify to whom the disciplinary actions applies;

- Specify criteria for action;

- Indicate the various disciplinary actions that may be taken (warning, dismissal, etc);

- A specification of the process of administering disciplinary actions;

- Specify appropriate levels of authority for exercising disciplinary actions;

- Specify measures to avoid conflict of interest;

- An appeal system/any mechanism that can safeguard the improper use of disciplinary actions;

- Time limit on investigating and responding to the appeal ;

- Filing of disciplinary records; and

- Responsible person.

4. Links

You should consider how these procedures align with other service unit/agency procedures and highlight the appropriate links. For example, these guidelines relate to those on job descriptions, accounting responsibilities, service planning and evaluation.

5. Administration Issues relating to the policies and procedures

In this section of the procedures, you will need to indicate:

- the date of the procedures;
- how and to whom the procedures will be distributed; and
- how and when the procedures will be reviewed.

STAFF DISCIPLINARY POLICY
[Insert name of service unit/agency]

1. *[Insert name of service unit/agency]* is committed to ensure that all staff members behave in a proper manner.

2. A fair procedure for taking disciplinary actions related to staff matters is established in order to deal with those staff members who are committing any of the listed deviant/ unacceptable behaviour.

3. *[Insert name of service unit/agency]* will ensure that proper investigation of every case is conducted before taking disciplinary action.

4. All staff members will have the right to appeal if they disagree with the disciplinary action determined.

DATE: *[Insert date policy is created]*

DISTRIBUTION: *[Insert how and to whom policy will be distributed]*

REVIEW: *[Specify when and how the policy will be reviewed]*

GUIDELINES FOR DEVELOPING A STAFF TRAINING AND DEVELOPMENT PLAN

1.   Introduction

These guidelines have been prepared to assist you to develop procedures appropriate to your service unit/agency. The outline below may be used by you as:

- a reference document when reviewing existing policies and procedures; or
- a basis for developing your own documentation.

2.   Purpose of guidelines

The main purpose of these guidelines is to describe some of the key components in developing a staff training and development plan.

3.   Contents of your procedures for staff training and development

The contents proposed below should be reviewed and amended to reflect your service unit's/agency's size, structure and focus. Some of the key considerations when developing staff training and development plans for your service unit/agency may include:

i) need assessment for training and development

- methods of identifying staff training and development needs.   For example this may include:
  - organisational analysis (goals, resources, environmental factors);
  - task analysis (tasks and duties of specific jobs); and
  - competency profiling (skills, knowledge and attitudes required of individuals, personal competencies required to effectively perform the job).

- process of attaining information concerning training and development needs. For example, information may come from:
  - performance appraisals;
  - career counselling;
  - employee needs analyses (surveys, interviews, staff consultation, suggestion box);
  - consumer's individual planning sessions;
  - analysis of critical incidents;
  - quality control information;
  - reviews of performance of work units;
  - succession planning;
  - service unit's/agency's strategic plan; and
  - professional bodies.

ii) staff training and development plans should consider:

- objectives of the service unit/ agency;
- professional and/or accreditation requirements;
- management and other administrative skills required;
- volunteer staff training needs;
- health and safety training requirements;
- legislative requirements;
- opportunities for skill extension;
- career goals and planning for career advancement; and
- staff interests appropriate to strategic directions of your service.

iii) administration of the staff training and development process which may cover:

- person responsible for planning and operating training programs;
- process to develop a staff training and development plan (workshops, consultation);
- attach a pro-forma for recording staff training and development plan;
- criteria for allocating resources to training priorities;
- commitment of the service unit/ agency through support in the form of time, money, and other resources;
- number of training hours each year for every staff;
- procedures to apply for staff training;
- process for evaluation of outcomes of specific training provided and attach an evaluation pro-forma;
- timing of formulation of the staff training and development plan to fit with budgetary cycle to ensure the allocation of adequate funds;
- process for review of the staff development and training plans and for identifying priorities for input into the service units'/agency's future planning and budget cycles; and
- administrative details such as:
    - record keeping;
    - expectations concerning attendance;
    - identification of internal and external trainers;
    - backfill provisions for rostered staff; and
    - training opportunities are widely advertised e.g. in newsletter, memo's, notice boards.

4. Links

You should consider how these procedures align with other service unit/agency procedures and highlight the appropriate links. For example, these guidelines relate to those on job descriptions, budgeting, service planning and evaluation.

5.   Administration Issues relating to the policies and procedures

In this section of the procedures, you will need to indicate:

- the date of the procedures;
- how and to whom the procedures will be distributed; and
- how and when the procedures will be reviewed.

STAFF TRAINING AND DEVELOPMENT POLICY
[Insert name of service unit/agency]

1.   *[Insert name of service unit/agency]* is committed to [*insert mission of your service unit/agency, for example "providing developmental opportunities for children with physical disabilities"].*

2.   In order to achieve this mission, appropriately qualified and trained staff from *[insert name of service unit/agency]* will provide a range of comprehensive services based upon individual service user's needs *[You should specify the relevant needs, for example "health care, mobility, educational and social needs"].*

3.   In order to provide a high quality service, *[insert name of service unit/agency]* will ensure that all staff are highly trained in their particular roles and responsibilities.

4.   *[Insert name of service unit/agency]* is committed to providing ample opportunities for staff training and development which is relevant to their work role and to the programme plans of their work unit. Delivery methods may include a combination of training options such as in-service training, attendance at conferences and workshops and formal training.

5.   Training requirements will be identified through a training needs analysis, performance appraisal results and service user's needs analyses and will be compiled into an annual training plan.

6.   *[Insert name of service unit/agency]* is committed to providing adequate resources to ensure that the training targets are achieved.

7.   All training events will be regularly monitored and evaluated and a formal review of each training and development plan will be undertaken on an annual basis.

DATE: *[Insert date policy is created]*

DISTRIBUTION: *[Insert how and to whom policy will be distributed].*

REVIEW: *[Specify when and how the policy will be reviewed].*

- End -