

If the process is centralized, similar criteria, processes, and forms result in a uniform process across the hospital for similar types of staff (for example, for nurses or physical therapists). Department/service leaders participate by recommending the number and qualifications of staff needed to provide clinical care, treatment, and services to patients, as well as nonclinical support functions, and to fulfill any teaching, research, or other departmental responsibilities. Department/service leaders also help make decisions about individuals to be appointed to the staff. The standards in this chapter complement the Governance, Leadership, and Direction (GLD) standards that describe the responsibilities of a department/service leader.

Measurable Elements of SQE.01.02

1. The hospital implements a coordinated process to recruit staff.
2. The hospital implements a coordinated process to evaluate the qualifications of new staff.
3. The hospital implements a coordinated process to appoint individuals to the staff.
4. The hospital implements a process that is uniform across the hospital for similar types of staff.

Standard SQE.01.03

The hospital evaluates staff performance.

Intent of SQE.01.03

Qualified staff members are hired by the hospital through a process that matches the requirements of the position with the qualifications of the prospective staff member. This evaluation process also ensures that the clinical staff member's skills are consistent with the needs of patients, and the nonclinical staff member's skills are consistent with the responsibilities of the nonclinical staff role at the time of hire and throughout employment.

The hospital uses a defined process to ensure that staff qualifications, knowledge, and skills are consistent with the requirements of the position. Orientation to the position includes supervision to ensure that the staff member can fulfill the responsibilities of the job description. The staff member receives the required level of supervision and on a periodic basis is evaluated to ensure continuing competence in the position.

For clinical staff under job descriptions, the process includes the following:

- An initial evaluation to ensure that they can assume the responsibilities listed in the job description. This evaluation is carried out before or at the time of starting to perform work responsibilities. The hospital may have a "probationary" or other period during which the clinical staff member is closely supervised and evaluated, or the process may be less formal. Whatever the process, the hospital ensures that staff providing care, treatment, and services to patients are evaluated at the time they begin providing the care, treatment, and service and before the probationary or orientation period is completed. The department or service leader who manages the staff member evaluates the staff member's skills, knowledge, and work behaviors. Competence is assessed by an individual with similar or relatable education, experience, or knowledge of the skills being reviewed. If the department or service leader does not possess similar or relatable skills and knowledge, the evaluations must be conducted collaboratively with an individual who has the skills, knowledge, and work behaviors to meet the criteria for executing the evaluation.
- The evaluation also includes an assessment of the staff member's ability to operate medical equipment and technology, perform medication management tasks, and conduct complex patient care management unique to the specific area (for example, staff working in intensive care units should be able to effectively manage ventilators, infusion pumps, and continuous cardiac monitoring, and staff working in labor and delivery should be able to effectively manage fetal monitoring equipment).
- The hospital defines the process for and the frequency of the ongoing evaluation of clinical staff performance.

For nonclinical staff under job descriptions, the process includes the following:

- An initial evaluation to ensure that they can assume the responsibilities listed in the job description. This evaluation is carried out before or at the time of starting to perform work responsibilities. The hospital may have a “probationary” or other period during which the nonclinical staff member is closely supervised and evaluated, or the process may be less formal. Whatever the process, the hospital ensures that staff are evaluated at the time they begin performing work responsibilities and before the probationary or orientation period is completed. The department or service leader who manages the staff member evaluates the staff member’s skills, knowledge, and work behaviors. Competence is assessed by an individual with similar or relatable education, experience, or knowledge of the skills being reviewed.
- The hospital defines the process for and the frequency of the ongoing evaluation of nonclinical staff performance.

For the hospital’s nursing staff the processes are identified in SQE.03.00–SQE.03.02, and for other clinical staff they are identified in SQE.04.00–SQE.04.02. For the medical staff who practice independently (that is, they do not practice under job descriptions), the evaluation process is described in SQE.07.00 and SQE.07.01.

An ongoing evaluation ensures that training occurs when needed and that the staff member can assume new or changed responsibilities. Although such evaluations are best carried out in an ongoing manner, there is at least one documented evaluation of each staff member working under a job description completed each year or more frequently as defined by hospital policy or consistent with laws and regulations.

Measurable Elements of SQE.01.03

1. The hospital uses a defined process to ensure that staff qualifications are consistent with the care, treatment, and services it provides. (*See also* ASC.02.01, MEs 1 and 2)
2. The hospital evaluates staff based on performance expectations that reflect their job responsibilities. (*See also* HRP.02.01, ME 2)
3. New staff are evaluated before or at the time they begin their work responsibilities.
4. The department or service to which the individual is assigned conducts the evaluation.
5. An individual with the educational background, experience, or knowledge related to the skills being reviewed conducts or co-leads the evaluation.
6. ⑩ Clinical staff evaluations are completed and documented annually or more frequently as defined by hospital policy or consistent with laws and regulations.

Standard SQE.01.04

There is documented personnel information for each staff member.

Intent of SQE.01.04

An accurate personnel record provides documentation of staff knowledge, skill, competency, and training required for carrying out job responsibilities. A staff member’s personnel record shows evidence of staff performance and whether they are meeting job expectations. As a result, personnel records may contain sensitive information and must be kept confidential.

Each staff member in the hospital, including those permitted by law and the hospital to work independently, has a personnel record(s) with the following information:

- Their qualifications
- Required health information, such as immunizations and/or evidence of immunity
- Evidence of participation in orientation, ongoing in-services, and continuing education
- Results of evaluations, including individual performance of job responsibilities and competencies
- Work history

The records are standardized and kept current consistent with hospital policy.