Departments and faculties are asked to complete a HR self-assessment checklist, and data collection survey for 2018.

The data provided should be for the period 1 January to 31 December 2018.

# Instructions

As for last year’s exercise, there are two elements to this exercise:

**Part one – a self-assessment checklist**. The purpose of this section is to allow you to review your HR practice within the department, ensure you are up to date with current requirements and identify any areas where you are currently non-compliant and need to take action.

* You will be asked to give only summary information in the online questionnaire, highlighting areas of non-compliance.
* For ease of reference this is structured around the employee life-cycle (rather than people strategy elements as in previous years).
* This Word document is provided so that you can *complete and* *retain a record of the self-assessment exercise* within your department and use it to plan any actions required to deal with areas of non-compliance.

**Part two – a data collection exercise**. The purpose of this section is for Personnel Services to collect data for a range of reporting requirements, policy development or other processes.

* You will be asked to give detailed answers to these questions in the online questionnaire.
* This Word version of the data collection questions is provided *for reference only* and to help you to prepare any information you may need to collate in order to complete the online form. However, if you prefer you can go straight to the online survey.

Once you are ready, please complete the online exercise at <https://oxford.onlinesurveys.ac.uk/hr2018/> (you can also find this link via the Latest News Section of the website <http://www.admin.ox.ac.uk/personnel/news/> )

Each department should make only one submission and the survey has been sent to the lead Departmental Administrator/Head of Administration and Finance so that they can consider the most appropriate route for this submission to be made for their department.

**The deadline for submission is Friday 1 March 2019.**

If you think you will be unable to meet this deadline please contact Kate Butler (89925, [kate.butler@admin.ox.ac.uk](mailto:kate.butler@admin.ox.ac.uk)) as soon as possible.

# HR self-assessment checklist

# 1. Recruitment and management of new staff

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **1(i) Recruitment and selection: See** [**recruitment and selection guidance**](http://www.admin.ox.ac.uk/personnel/recruit/recruitproc/) **and** [**HRIS QRGs**](https://www1.admin.ox.ac.uk/personnel/usinghris/user_support/recruiting/) | | | | | |
| The University has an obligation to ensure fair and consistent recruitment processes and to monitor our performance. | | | | | |
| **Questions** | **Yes/No**  **or**  **N/A** | | | *If no, note action required or reason why compliance is not possible – this will be required in the online form* | |
| 1. Do you use the e-recruitment system for all recruitments (other than direct appointments)? |  | | |  | |
| 1. Where applications are not made through e-recruitment, do you always ensure that form [M1](http://www.admin.ox.ac.uk/eop/inpractice/recruitment/recruitmentmonitoring/) (equality monitoring form for non-Core recruitment exercises) is sent out? |  | | |  | |
| 1. Do you monitor the diversity of selection panels and in particular have a gender balance wherever possible?   [*Council has agreed a* [*target of at least 1/3 female representation on selection panels*](http://www.admin.ox.ac.uk/eop/policy/equalityobjectives/)*]* |  | | |  | |
| 1. Do you ensure that all selection panel chairs undergo [recruitment training](http://www.admin.ox.ac.uk/personnel/recruit/plan/) at least once every 4 years? |  | | |  | |
| 1. Do you always ensure that the minimum vacancy statuses (Applied, Shortlisted, and Offer Accepted) are updated in the e-recruitment system? (this is essential to enable accurate equality monitoring and reporting. See: [QRG: REC00](http://www.admin.ox.ac.uk/media/global/wwwadminoxacuk/localsites/personnel/documents/corehr/processesuserguides/recruitingstaff/REC00_v1.0.pdf)) |  | | |  | |
| 1. Do you produce the University pre-employment health declaration (and health questionnaire where needed) via CoreHR? |  | | |  | |
| 1. Do you ensure that, where used, the pre-employment health questionnaire as emailed to the candidate is customized according to the duties of the job? |  | | |  | |
| 1. Where the pre-employment health questionnaire is required, do you ensure that Occupational Health clearance is always received ***before*** an individual starts work? |  | | |  | |
| 1. Do you always take up at least 2 references for successful job applicants including one from the current employer? |  | | |  | |
| 1. Where the preferred candidate has previously worked for the University, is a reference **always** taken up from the most recently employing University department? |  | | |  | |
| 1. Where references have not been received before a job offer is made, are job offers always made ‘subject to receipt of satisfactory references’? |  | | |  | |
| 1. Are all the pre-employment checks recorded in CoreHR ([QRG: PANS0](http://www.admin.ox.ac.uk/media/global/wwwadminoxacuk/localsites/personnel/documents/corehr/processesuserguides/newstarter/PANS0_Pre_arrival_and_new_starter_guide_v1.7.pdf))? |  | | |  | |
| 1. Do you generate all contracts and other associated documents via CoreHR? |  | | |  | |
| **1(ii) Job descriptions** | | | | | |
| **Questions** | **Yes/No**  N/A | | *If no, note action required or reason why compliance is not possible – this will be required in the online form* | | |
| 1. Do you ensure that all recruiting managers are using the [latest job description template](http://www.admin.ox.ac.uk/personnel/templates/#d.en.53598) when drafting a job description and that any locally-saved templates are updated and disseminated every time changes are published? |  | |  | | |
| 1. *If applicable*, do you ensure that recruiting managers are using the [latest template](http://www.admin.ox.ac.uk/personnel/staffinfo/academic/appreapp/) when drafting further particulars for an Associate Professor and that any locally-saved templates are updated every time changes are published? |  | |  | | |
| 1. Do you customize the template for each new recruitment, following the template prompts? |  | |  | | |
| 1. Do you use the [hazards checklist](http://www.admin.ox.ac.uk/personnel/recruit/preempcheck/compulsorychecks/medical/) to identify any specific hazards in the job when writing the job description? |  | |  | | |
| 1. Do you always assess whether additional pre-employment screening (eg DBS disclosures) will be required, before the role is advertised, and ensure that this requirement is included in the job details for candidates? |  | |  | | |
| 1. There are 52 generic job descriptions available on the Reward [website](http://www.admin.ox.ac.uk/personnel/reward/jobeval/generic/) to speed up/simplify the gradings process: where a generic exists for the role you are recruiting to, do you use it? |  | |  | | |
| **1(iii) Right to work – immigration**  See: guidance on [Right to work/immigration](http://www.admin.ox.ac.uk/personnel/recruit/preempcheck/compulsorychecks/righttowork/), [requirements for all sponsored visa holders under Tier 2 and Tier 5](http://www.admin.ox.ac.uk/personnel/permits/employresp/), and Personnel Module report [PERDEP41\_Work Permit](https://www1.admin.ox.ac.uk/personnel/corehr/reporting/#d.en.94466) | | | | | |
| All divisions, departments and faculties have a responsibility to ensure that every employee, casual worker, and visitor (however brief the visit) is properly entitled to work in, and/or participate in the activities of, the University (see [Employers’ responsibilities](https://www.admin.ox.ac.uk/personnel/permits/employresp/)).  It is essential that the University complies with the legislation of the Immigration, Asylum and Nationality Act 2006, and with the policies and regulations of the Home Office. The University’s compliance with the law **will** be checked, probably in unannounced visits direct to the employing institutions, by the Home Office. | | | | | |
| **Questions** | **Yes/No** | *If no, note action required or reason why compliance is not possible – this will be required in the online form* | | | |
| 1. Does the department ensure that Right to Work checks are always carried out (and signed and dated) on or **before the first day of work**? |  |  | | | |
| 1. Have all staff who process Right to Work and immigration matters attended **training** provided by the Staff Immigration Team? |  |  | | | |
| 1. Are you confident that all relevant staff in your department are aware of and are following the University’s **Right to Work guidance**? |  |  | | | |
| 1. (*if applicable*) Are you aware of the rules concerning the Right to Work checks required for **examiners** ? |  |  | | | |
| 1. Is the Right to Work data maintained on CoreHR in accordance with [QRG: PA10](http://www.admin.ox.ac.uk/media/global/wwwadminoxacuk/localsites/personnel/documents/corehr/processesuserguides/newstarter/PA10_Maintaining_Right_to_Work_Data.pdf)? |  |  | | | |
| 1. Have you employed any staff on **Tier 4 student** visas in the last 12 months?   *If Yes, answer questions g) and h, below)*  *If No, go to question i) below)*   1. Are you recording evidence\* of how many hours the student is permitted to work? 2. Are you monitoring how many hours the student is working and ensuring the student completes a Tier 4 Student Employment Declaration form?   *(\*For undergraduates this includes a copy of University term dates and for postgraduates a print-out of the web page stating they are a student year round, and/or a letter from their supervisor stating they are on holiday.)* |  |  | | | |
| 1. Does the department employ anyone **with time-limited Right to Work** (List B category Right to Work visa holders including Tier 1, Tier 2, Tier 4, Tier 5 and dependant visa holders)   *If Yes, answer questions j) to q), below*  *If No, go to question 1 (iv) Casual Workers, below*   1. Do you have a system to regularly review visa expiry dates? 2. Do you carry out repeat checks of the evidence before the visa is due to expire? 3. Has the department included the RTW data for all list B employees in CoreHR? 4. Does the department make use of the [PERDEP41\_work permit](http://www.admin.ox.ac.uk/personnel/usinghris/reporting/personnel/perdep41workpermitsreport/) report in CoreHR? 5. Does the department fulfill the Home Office’s [record-keeping and reporting requirements](http://www.admin.ox.ac.uk/personnel/permits/employresp/) for Tier 2 and Tier 5 visa holders ? 6. Does the department have a mechanism to record annual leave and sick leave of Tier 2 and Tier 5 visa holders? 7. Does the department have a mechanism to report any unauthorised absence of Tier 2 and Tier 5 visa holders of more than 10 days to the Home Office? 8. Does the department keep recruitment records for all Tier 2 visa holders? |  |  | | | |
| **1(iv) Casual workers** | | | | | |
| **Questions** | **Yes/No** | *If no, note action required or reason why compliance is not possible – this will be required in the online form* | | | |
| 1. Do you ensure that casual workers are engaged for no more than 12 weeks, in line with the [guidance](http://www.admin.ox.ac.uk/personnel/recruit/non_empl/casual/)? |  |  | | | |
| 1. Do you ensure that all casual workers are paid by reference to the pay spine, in line with the [guidance](http://www.admin.ox.ac.uk/personnel/recruit/non_empl/casual/)? |  |  | | | |
| 1. Are all casual workers issued with the standard [letter of engagement](http://www.admin.ox.ac.uk/personnel/recruit/non_empl/casual/)? |  |  | | | |
| **1(v) Visitors** (ie visiting fellows/academic visitors, etc). | | | | | |
| **Questions** | **Yes/No** | *If no, note action required or reason why compliance is not possible – this will be required in the online form* | | | |
| 1. Are all visitors required to sign a [visitor agreement](http://www.admin.ox.ac.uk/personnel/recruit/background/employstatus/non-emp/)? (or, if you do not currently host visitors, are you aware of the visitor agreement?) |  |  | | | |
| 1. Do you ensure that all visitors who come from outside the EEA have an appropriate visa to allow them to undertake any activities they have come to do? (or, if you do not currently have visitors from outside the EEA, are you aware of the requirement?) |  |  | | | |
| **1(vi) Agency Workers** | | | | | |
| This is required so the University can fulfil its legal obligation to disclose information to the recognised trades unions. For full information, see guidance on [agency workers](http://www.admin.ox.ac.uk/personnel/recruit/background/employstatus/non-emp/agency/). | | | | | |
| **Questions** | **Yes/No** | *If no, note action required or reason why compliance is not possible – this will be required in the online form* | | | |
| Does your department keep records of external (ie non-TSS) agency workers as new starters and as leavers and record changes to their pay on CoreHR? Or, if you do not currently use agency workers, are you aware of this requirement? |  |  | | | |
| **1(vii) Interns:** an intern is someone undertaking short term (no more than 3 months) paid work and developmental activities in the department. | | | | |
| **Questions** | **Yes/No** | *If no, note action required or reason why compliance is not possible – this will be required in the online form* | | |
| The University [policy](http://www.admin.ox.ac.uk/personnel/recruit/background/employstatus/intern/) on engagement of interns requires that they are paid, by reference to the University’s pay and grading structure. Do you comply with this requirement? Or, if you have not yet hosted an intern, are you aware of this requirement? [*do not include work experience, school age students]* |  |  | | |
| **1(viii) Induction** | | | | |
| **Questions** | **Yes/No** | *Note any departmental action* | | |
| Do you have a comprehensive departmental induction for new starters? |  |  | | |
| Is induction recorded in CoreHR in line with the relevant [HRIS quick reference guide](https://www1.admin.ox.ac.uk/media/global/wwwadminoxacuk/localsites/personnel/documents/corehr/processesuserguides/newstarter/IP1_Record_Induction_v2.1.pdf)? |  |  | | |
| Does the induction scheme include these suggested elements? | | *Note any departmental action required* | | |
| Information about health and safety | |  | | |
| Departmental policies (e.g. out of hours/lone working) | |  | | |
| Sickness and other absence reporting procedure | |  | | |
| Working arrangements (hours, breaks, etc) | |  | | |
| Arrangements for taking annual leave | |  | | |
| Copy of the job description/performance expectations | |  | | |
| Information about how the probation period will be reviewed | |  | | |
| Information about training/career development activities | |  | | |
| Information about family leave/flexible working/etc | |  | | |
| Information about employee [benefits](http://www.admin.ox.ac.uk/personnel/staffinfo/benefits/) and [discounts](http://www.admin.ox.ac.uk/personnel/staffinfo/discountsforstaff/), including eligibility to register for My Family Care | |  | | |
| Information about the recognised trades unions | |  | | |
| Facilities (tour) | |  | | |
| Any visa restrictions/reporting requirements | |  | | |
| Encouragement to complete [the OLI online induction programme](https://www.learning.ox.ac.uk/courses/) | |  | | |
| Encouragement to complete the [online E&D briefing](https://www.learning.ox.ac.uk/courses/) | |  | | |
| Information about support for [disabled staff](http://www.admin.ox.ac.uk/eop/disab/) /Access to work | |  | | |
| Compulsory information security awareness [training](https://www.infosec.ox.ac.uk/training-and-awareness) for staff | |  | | |
| Encouragement to consult the University’s [webpages on data privacy](https://www.ox.ac.uk/about/organisation/governance/dataprivacy?wssl=1) to understand the General Data Protection Regulation | |  | | |
| Key [University policies](http://www.admin.ox.ac.uk/personnel/staffinfo/handbook_acrel/codes/) eg  conflict of interest  anti-bribery  anti-fraud  harassment  computer use  information security  approval to hold outside appointments  smoking/vaping  (if appropriate) staff-student relationships | |  | | |
| ***For research staff***: Key research-related [policies](http://www.admin.ox.ac.uk/personnel/staffinfo/handbook_acrel/codes/) such as academic integrity in research, IP, employment and career development of research staff, etc | |  | | |
| ***For research staff:*** Encouragement to attend the [termly welcome event](https://www.learning.ox.ac.uk/seminar_desc.php?cat=az&ls=&cc=IND/CRS&page=3&id=2366) run by OLI | |  | | |
| ***For research staff***: information about training and development opportunities and [support](http://www.ox.ac.uk/research/support-researchers) available | |  | | |
| ***For research staff:*** Outline of the agreed programme of research (e.g. copy of the project description in the funding application) and any milestones/reports | |  | | |
| ***For associate professors****:* clear guidance on what is required for reappointment to the retiring age | |  | | |
| ***For associate professors:*** appointment of a suitable subject mentor who meets regularly with the AP | |  | | |

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| **1(ix) Probation** | | |
| **Questions** | **Yes/No** | *If no, note action required or reason why compliance is not possible – this will be required in the online form* |
| 1. Are [probationary procedures](http://www.admin.ox.ac.uk/personnel/recruit/probation/) operated in line with Personnel Services guidance? |  |  |
| 1. Are probation review dates and outcomes recorded in CoreHR in line with the relevant [HRIS quick reference guide](https://www1.admin.ox.ac.uk/media/global/wwwadminoxacuk/localsites/personnel/documents/corehr/processesuserguides/newstarter/IP2_Manage_Probation_v2.1.pdf)? |  |  |

# 2. Managing staff in post

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| **2(i) Work life balance**  See [flexible working](http://www.admin.ox.ac.uk/personnel/during/flexible/) and [family leave](http://www.admin.ox.ac.uk/personnel/during/family/) and QRGs for ‘[during employment and reward’](https://www1.admin.ox.ac.uk/personnel/usinghris/user_support/employment_reward/) | | | |
| **Questions** | | **Yes/No** | *If no, note action required or reason why compliance is not possible – this will be required in the online form* |
| 1. Are requests for flexible working managed in line with Personnel Services guidance? Or, if you have not received any requests over the last year, are you aware of the guidance? | |  |  |
| 1. Are requests for family leave managed in line with Personnel Services guidance? Or, if you have not received any requests over the last year, are you aware of the guidance? | |  |  |
| 1. Is all family leave (maternity/paternity/shared-parental/ adoption/parental) and flexible working recorded in CoreHR in line with the relevant process guide? Or, if you have not received any requests over the last year, are you aware of the requirement? | |  |  |
| 1. Are staff going on maternity leave made aware of the University’s [returning carers’ fund](http://www.admin.ox.ac.uk/eop/gender/carers-fund/), where appropriate? | |  |  |
| **2(ii) Work-related stress (**[Policy on the prevention and management of work-related stress](http://www.admin.ox.ac.uk/personnel/during/stress/)) | | | |
| **Questions** | **Yes/No** | | *If no, note action required or reason why compliance is not possible – this will be required in the online form* |
| Where they arise, does the department manage work-related stress cases in line with Personnel Services guidance? |  | |  |

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| **2(iii) Training and development** | | |
| **Questions** | **Yes/No** | *If no, note action required or reason why compliance is not possible – this will be required in the online form* |
| 1. Does your department ensure that line-managers receive adequate induction and training in personnel management issues to be able to comply with the University’s personnel policies and procedures? |  |  |
| 1. Does your department keep records of the training received by staff? |  |  |
| 1. Do you ensure that all your staff undertake the annual refresh of [Information Security awareness training](https://www.infosec.ox.ac.uk/training-and-awareness) |  |  |
| **2(iv) Overseas working** | | |
| **Questions** | **Yes/No** | *If no, note action required or reason why compliance is not possible – this will be required in the online form* |
| 1. Do you have any staff who work overseas?   *If Yes, complete questions b – e below)*  *If No, go to 2(v) Bullying and Harassment)* |  |  |
| 1. Do you follow the [guidance on overseas workers](http://www.admin.ox.ac.uk/personnel/during/overseas/)? |  |  |
| 1. Are you aware of the potential tax and NI (and/or social security) implications for staff who work abroad for extended periods? |  |  |
| 1. Do you have any mechanisms in place to monitor this? |  |  |
| 1. Is a risk assessment always completed when a member of staff goes overseas for a work purpose? |  |  |
| **2(v) Bullying and Harassment** | | |
| The University has an obligation to eliminate unlawful discrimination, harassment and victimisation. | | |
| **Questions** | **Yes/No** | *If no, note action required or reason why compliance is not possible – this will be required in the online form* |
| 1. Are you familiar with the University’s policy and procedures on bullying and harassment? |  |  |
| 1. Are you aware of the bullying and [harassment advice](http://www.admin.ox.ac.uk/eop/harassmentadvice/) and information about the [harassment advisors’ network?](http://www.admin.ox.ac.uk/eop/harassmentadvice/advisornetwork/) |  |  |
| 1. Are all departmental bullying and harassment cases pursued in line with University guidance? |  |  |
| 1. Do you ensure that the department has trained harassment advisors in place? (you will be asked to list these in the data collection exercise) |  |  |
| 1. Do you require managers/other members of staff to complete training on bullying and harassment? |  |  |
| 1. Do you ensure that all staff are aware of the University’s policy and procedures, and the support available to those who experience bullying and harassment? |  |  |
| **2(vi) Discipline and grievance** | | |
| **Questions** | **Yes/No** | *If no, note action required or reason why compliance is not possible – this will be required in the online form* |
| Are all departmental [disciplinary](http://www.admin.ox.ac.uk/personnel/during/disciplinary/) and [grievance](http://www.admin.ox.ac.uk/personnel/during/grievance/) cases pursued in line with Personnel Services guidance? |  |  |

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| **2(vii) Monitoring of the regulations on holding outside appointments (**[**30 day rule**](https://www.admin.ox.ac.uk/personnel/staffinfo/academic/approvaltoholdoutsideappointments/)**)** | | |
| **Questions** | **Yes/No** | *If no, note action required or reason why compliance is not possible – this will be required in the online form* |
| 1. As required by [Council Regulation 5 of 2004](http://www.admin.ox.ac.uk/statutes/regulations/198-094.shtml), does your department gather information (using the OA1 form) regarding work outside the University from all academic and academic-related employees except Associate Professors who have colleges as their main employer? |  |  |
| 1. Do you record the information in CoreHR ([IP5 Capturing Outside Appointments](https://www.admin.ox.ac.uk/media/global/wwwadminoxacuk/localsites/personnel/documents/corehr/processesuserguides/duringemploymentreward/IP5_Capturing_outside_appointments_v2.2.pdf))? |  |  |
| 1. Are requests for **up to 30 days** outside work submitted in advance for approval by the Head of department? |  |  |
| 1. Are requests for **more than 30 days** outside work submitted in advance for approval by the Head of division? |  |  |
| 1. Does your department ask Associate Professors who have colleges as their main employer to declare any outside appointments, in the OA2 form, in order to provide a complete record of external consultancies provided by Oxford academics? |  |  |
| **2(viii) HR Data quality** | | |
| **Questions** | **Yes/No** | *If no, note action required or reason why compliance is not possible – this will be required in the online form* |
| 1. Do you routinely capture the weekly hours worked for casual workers on the casual payment submission spreadsheet? |  |  |
| 1. Do you routinely provide the Equality & Diversity data collection forms to new casual workers |  |  |
| 1. Did you complete the UDF for the Awards for Excellence Scheme, including all nominations? |  |  |
| 1. Did you run the Reward and Recognition scheme and complete the UDF? |  |  |
| 1. Do you routinely run the following reports:  * HRINFO01\_Data Quality Validation 2018-19 – employee data quality checks; * HRINFO20\_Casual Worker Data Quality Validation 2018-19 – casual worker data quality checks; * HRINFO21 Vacancy and applicant data quality 2018-19 – recruitment data quality checks |  |  |

# 3. Ending employment

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| **3(i) Retirement** See [Guidance on retirement](http://www.admin.ox.ac.uk/personnel/end/retirement/) | | |
| **Questions** | **Yes/No**  **or N/A** | *If no, note action required or reason why compliance is not possible – this will be required in the online form* |
| 1. Does the department write to members of staff to whom the EJRA does not apply (ie support staff and academic-related staff in grades 6 and 7) to inform them of retirement options, in accordance with Personnel Services guidance (eg every five years from approx. age 55)? |  |  |
| 1. **EJRA procedure** (as amended in 2017): is the department following the revised EJRA procedure, including ensuring employment is not offered to applicants for roles at grades 8 and above (or equivalent) who are already over the EJRA? |  |  |
| 1. Does the department write to all academic and academic-related staff in grades 8 and above at least 2.5 years in advance of their EJRA to remind them of their retirement date? |  |  |
| 1. Can you confirm that you have had EJRA approval for any current academic or academic-related employees who are over the EJRA (and subject to the EJRA) and still employed? |  |  |
| 1. Have you entered details of applications to work beyond the EJRA in the EJRA UDF in CoreHR ([QRG CH27](http://www.admin.ox.ac.uk/media/global/wwwadminoxacuk/localsites/personnel/documents/corehr/processesuserguides/duringemploymentreward/CH27_Recording_and_maintaining_EJRA_data_v1.3.pdf))? |  |  |
| 1. Do you always set up approved EJRA extensions as new fixed-term appointments, as per [QRG CH25](http://www.admin.ox.ac.uk/media/global/wwwadminoxacuk/localsites/personnel/documents/corehr/processesuserguides/duringemploymentreward/CH25_Extending_Employment_Beyond_EJRA_v1.3.pdf)? |  |  |
| **3(ii) Fixed-term contracts** | | |
| **Questions** | **Yes/No** | *If no, note action required or reason why compliance is not possible – this will be required in the online form* |
| 1. Are you following the procedures for [managing and ending fixed term contracts](http://www.admin.ox.ac.uk/personnel/end/red/endftc/)? |  |  |
| 1. Are statutory [redundancy payments](http://www.admin.ox.ac.uk/personnel/end/red/redproc/5/#d.en.60233) always made on expiry of a fixed-term contract to postholders with at least two years’ continuous university service? |  |  |

# 4. Communications

We use a variety of methods to communicate with departmental colleagues.  Please check that at least one key person in your department receives the following (and disseminates relevant information within your department)

To be added to the mailing list for 1-3, email the HRIS data services team who will send you a form to complete

1. **Personnel Services circulars and update emails**
2. **Personnel Services termly newsletters**
3. **Information about Personnel Services briefing sessions**
4. **Staff Immigration team email updates –** to be added to the mailing list email [sit-administration@admin.ox.ac.uk](mailto:sit-administration@admin.ox.ac.uk)
5. **HRIS Bulletin** – CoreHR users are automatically added to the mailing list, but you can contact [hris@admin.ox.ac.uk](mailto:hris@admin.ox.ac.uk) if you have any questions

This completes the self-assessment checklist

When you are ready to go to the online questionnaire you will be asked to enter summary responses to these questions, in particular noting any areas of non-compliance. <https://oxford.onlinesurveys.ac.uk/hr2018/>

This Word version is for your departmental records, only.

Data Collection Exercise

**This Word version of the data collection exercise is provided for reference only and to help you to prepare to complete the online form**. If you prefer, you can go straight to the online survey <https://oxford.onlinesurveys.ac.uk/hr2018/>

The data collection exercise covers the period January to December 2018.

The deadline for completion is Friday 1 March 2019.

Please contact Kate Butler (89925 or [kate.butler@admin.ox.ac.uk](mailto:kate.butler@admin.ox.ac.uk)) if you have any questions.

# Department/Division details

1. Name of Division
2. Name of Department
3. Name of the Head of Department (or equivalent)

3(a) email address

1. Name of the lead Departmental Administrator (or equivalent)

4(a) email address

1. Name of HR manager (if different from administrator)
2. Who else in your department deals with personnel administration? (please give names and grades, or state no-one)

# Self-assessment exercise outcomes

1. Are you compliant with all the requirements set out in **section 1 of the self-assessment checklist: Recruiting and managing new staff**

Yes/No *If No*, *note any areas of non-compliance: the online survey gives space to list these.*

1. Are you compliant with all the requirements set out in **section 2 of the self-assessment checklist: Managing staff in post**

Yes/No *If No*, *note any areas of non-compliance: the online survey gives space to list these*

1. Are you compliant with all the requirements set out in **section 3 of the self-assessment checklist: Ending employment**

Yes/No *If No*, *note any areas of non-compliance: the online survey gives space to list these*

# Recruitment and management of new staff

1. **Generic job descriptions**. There are currently 52 generic job descriptions: are there any additional jobs for which you would like a generic job description to be developed?

Yes/No *(if Yes, give details)*

1. **Recruitment difficulties**: Over the past year, have you experienced problems recruiting particular kinds of staff?

Yes/No *(if Yes, indicate grade, type of role, contract term, possible reason and outcome (e.g. readvertised, post remains empty, job rescoped, other)*

1. Over the past year have you made any **job offers** which have been **turned down**?

Yes/No *(if Yes,**indicate any known reasons (select all that apply):*

€ N/A (no offers turned down this year) € Better offer elsewhere

€ Travel difficulties € Salary level

€ Availability/cost of housing € Childcare

€ Cost of Visas and/or NHS surcharge € The existence of the EJRA at Oxford

Other, describe

1. **Probation periods**: In the last 12 months, have any staff had their probation periods extended?

Yes/No *If Yes, give anonymised details (number and grades)*

1. In the last 12 months, have any **contracts** been **ended during the probation** period?

Yes/No *If Yes,* give anonymised details (number and grades)

# Managing staff in post

1. **Work-life balance**: Over the past 12 months, how many formal and informal requests for flexible working have you received?

See guidance on [flexible working](http://www.admin.ox.ac.uk/personnel/during/flexible/) and [family leave](http://www.admin.ox.ac.uk/personnel/during/family/) and HRIS QRGs for ‘[during employment and reward’](https://www1.admin.ox.ac.uk/personnel/usinghris/user_support/employment_reward/)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | *Please enter a numerical value only, e.g. ‘6’* | | | |  |
| **Flexible working applications** | **No. approved** (whole or part) | **Of which, no. from women?** | **No. rejected** | **Of which, no. from women?** | Describe any requests NOT for family/ other caring reasons |
| **formal** requests from **support staff**? |  |  |  |  |  |
| **informal** requests from **support staff**? (*estimate*) |  |  |  |  |  |
| **formal** requests from **Academic-related staff**? |  |  |  |  |  |
| **informal** requests from **Academic-related staff**? (*estimate)* |  |  |  |  |  |

1. **Workload allocation:** Do you have a workload allocation model or other formal mechanism to ensure the fair and transparent allocation of workload in your department?

Yes/No

*If Yes, please describe this briefly.*

1. Which staff does it cover?

* Academic
* Research
* Professional and support

1. Which of the following does it include (select all that apply)

* administrative duties
* committee membership
* undergraduate teaching for department/faculty
* graduate teaching for department/faculty
* research time
* college teaching
* other college duties
* Other (describe)

1. How is the data generated by the mechanism you use and/or shared within the department?
2. Is the mechanism used to monitor and address any differences in workload by gender?
3. **Work-related stress**: if your department has had to manage any cases of work-related stress in the last 12 months, please give details below. See: [Policy on the prevention and management of work-related stress](http://www.admin.ox.ac.uk/personnel/during/stress/)

|  |  |  |  |
| --- | --- | --- | --- |
| **No. of cases involving** | **Total no.** | **Of which, no. of women?** | **Comments** |
| Support staff |  |  |  |
| Academic-related staff |  |  |  |
| Academic staff |  |  |  |

1. **Disability**: over the past 12 months have you made any "reasonable adjustments" for staff with a disability or long-term health condition?

Yes/No *If Yes:*

1. Give number
2. Please describe the adjustment(s)
3. Estimate the total number of staff in your department who have reasonable adjustments in place.
4. **Personal Development Review (PDR):** See guidance at <https://www.learning.ox.ac.uk/>

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Are PDRscarried out regularly for: | N/A (no staff of this type) | Yes, annually | Yes, but not annually | Not yet introduced | *if optional*, % who opt in |
| Support staff |  |  |  |  |  |
| Research staff |  |  |  |  |  |
| Non-research academic-related staff |  |  |  |  |  |
| The departmental administrator (or equivalent) |  |  |  |  |  |
| Academic staff |  |  |  |  |  |
| Clinical staff |  |  |  |  |  |

1. How do you carry out your PDRs and record monitor completion rates?

|  |  |
| --- | --- |
| PDR form completed manually |  |
| PDR form completed electronically |  |
| Online system (give details) |  |
| Other (give details |  |

1. **Sharing good PDR practice:** We are looking for examples of good practice in PDR. If you have a scheme that has been successful/effective, please describe what has made it successful, and which staff groups it covers (comments)
2. Do you provide **training/guidance for PDR reviewers?**
3. Do you provide **training/guidance for PDR reviewees?**
4. If you employ Research Staff do you offer them a separate Career Development Review with the option of a different reviewer (ie who is not their line manager)?
5. How do you **communicate/launch** each round of PDR?
6. **Training and development:** respondents in previous years have ranked priorities for training and development as follows (where 1 is most important).

|  |  |
| --- | --- |
| 1 | Leadership and management development |
| 2 | Technical or skills specific to a professional development |
| 3 | Awareness of University structures, processes or systems |
| 4 | Equality and diversity issues (including implicit bias) |
| 5 | Confidence in communication |
| 6 | Effective PDR |
| 7 | Personal organisation |
| 8 | Influencing |

1. Do you agree with this prioritisation? Yes/No *If No, please explain why* (comments)
2. Does your department make any training mandatory for staff? Yes/No *If Yes, please describe and explain which staff groups it is mandated for.*
3. On a scale of 1 to 5, where 1 signifies ‘does not meet’ and 5 ‘meets completely', to what extent does the training and development offered within the University meet your department’s priorities?

Please comment, if wished, on current training provision

1. **Overseas working:** Do you have any staff who work (or have worked) overseas for more than 6 months of the year whilst on a current University contract?

Yes/No *If Yes, please indicate numbers against each of the categories below:*

|  |  |  |
| --- | --- | --- |
|  | **Number** | **Comments** |
| Staff who work overseas for 6-12 months but who are permanently based in the UK? |  |  |
| Staff who work overseas for more than 1 year but who are permanently based in the UK? |  |  |
| Staff who work and are permanently based overseas (UK residents)? |  |  |
| Staff who work and are permanently based overseas (Non-UK residents)? |  |  |
| (*Do* ***not*** *include field trips where the total time spent overseas is less than 6 months per year, or attendance at international conferences, or foreign nationals who have been recruited overseas to serve in local research or development centres*.) | | |

1. **Bullying and Harassment:** Please provide the following details for all the harassment advisor(s) in your department the (*the online form includes space for details of up to 10 advisors*)

* Name
* Staff group (Academic/Academic-related/Support)
* Whether they have attended training provided by the Equality and Diversity Unit

1. How does your department communicate your expectations of staff conduct and that bullying and harassment will not be tolerated? (Comments)
2. Describe any other actions your department takes to minimise the incidence of bullying and harassment?
3. Has your department managed any **cases** of alleged **bullying and/or harassment** within the department in the last 12 months?

Yes/No

|  |  |
| --- | --- |
| If Yes, state number of cases dealt with through **informal** means? |  |
| If Yes, state number of cases dealt with through **formal** means? |  |

1. Have you noticed any **trends or issues in relation to harassment** that you would like to draw to the attention of Personnel Services and the Equality and Diversity Unit?

Yes/No *If Yes, comments*

1. **Sickness and other absence**: For which groups do you monitor sickness and other absence?

* Support
* Academic-related
* Academic
* Research

1. How do you **record absence**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | **CoreHR** | **Excel, or similar** | **Database** | **Paper form on central absence file** | **Paper form held on individual file** | **TeamSeer** | **Other please specify** |
| a) How do you record/monitor sickness absence? |  |  |  |  |  |  |  |
| b) How do you record/ monitor other absence (ie parental, emergency) |  |  |  |  |  |  |  |

1. **Discipline and grievance**

Have you noted any trends in relation to disciplinary and grievance cases?

Yes/No *If Yes, describe*

**Personnel Record Keeping:** We are currently working on a project to improve and streamline guidance on personnel record keeping. Please provide information on the management of personnel records/ files in your department (apart from CoreHR records)

1. Does your department follow the current guidance on [retention periods](https://www.admin.ox.ac.uk/personnel/recruit/rec_recs/retention/) for personnel records?

Yes/No *If No*, *please explain why*

1. How do you make sure that line managers in your department are aware of [record-keeping requirements](https://www.admin.ox.ac.uk/councilsec/compliance/gdpr/)?

*Describe:*

1. Does the department have any regularly scheduled ‘clean-up’ activities for data/records or reminders to line managers about the requirements concerning sensitive data?

Yes/No

1. If an employee in your department moves to another post in the University, what do you do with their hard copy personnel file?
   * + 1. Send it on to the new department
       2. Retain it in your department and destroy it after the required retention period.
       3. Other, describe
2. Is there any additional guidance you would find helpful in the management of personnel records (both electronic and hardcopy**)**

Yes/No *If Yes, give details*

1. **Safeguarding children and 'at risk' adults**: Does your department run any activities involving children and 'at risk' adults (do NOT include apprenticeships, or work experience for 16-18 year olds, or circumstances where children are present, but not participating in a University-run activity

Yes/No *If Yes,*

1. please describe (ie outreach, open days, research participants, work experience students under 16 years old, etc)
2. have you made those running such activities aware of the Code of Practice on Safeguarding and associated requirements regarding risk assessment, training etc?

Yes/No

# 3. Ending employment

1. **Retention**: Over the past year, have any staff who you would have wished to retain left the University (don’t include those who have moved to another role within the University)?

Yes/No *If Yes,*

1. give grade and type of role
2. what reasons were given for not wanting to continue working at Oxford (select all that apply)

€ Salary level € Lack of development opportunities

€ Lack of opportunities to progress € Travel difficulties

€ Workload € Availability/cost of housing

€ Childcare € Current immigration rules &   
€ The existence of the EJRA at Oxford visa renewal costs

€ Other, give details

1. **Exit interviews**: Do you hold exit interviews with staff leaving the department?

Yes/No? *If Yes, which staff groups do you hold interviews for*:

* All staff € Academic
* Research € Academic-related professional
* Support

# 4. Other comments

1. **Policies and demands on departments (Optional)**

We are constantly working to review and improve the University’s personnel policies, practices, and support mechanisms to facilitate the resolution of problems, individual cases, and/or the achievement of departmental objectives. Please highlight any areas you currently find problematic, or gaps in our current support and guidance.

Comments

**36. Any other comments (Optional)**

Thank you