Departments and faculties are asked to complete a HR self-assessment checklist, and data collection survey for 2019.

# Instructions - data collection exercise

## What period is covered?

The data provided should be for the period 1 January to 31 December 2019.

## Who should complete the online questionnaire?

Each department should make only one submission. 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.

## How should we complete the questionnaire?

This Word version of the data collection questions is provided ***for reference only*** to help you to prepare any information you may need to collate in order to complete the online survey.

However, if you prefer you can go straight to the online survey – there is no requirement to complete this Word questionnaire, if it is for reference and preparation purposes only.

As there are three questions relating to your compliance, as shown by the self-assessment exercise, you will need to have completed the self-assessment checklist before completing the online survey.

## How do we access the online questionnaire?

Once you are ready, go to the online exercise <https://oxford.onlinesurveys.ac.uk/hr2019/>

## What is the deadline?

**The deadline for submission is Friday 28 February 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.

Data collection exercise

# 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*, *the online survey asks you to note any areas of non-compliance.*

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*, *the online survey asks you to note any areas of non-compliance.*

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

Yes/No

*If No*, *the online survey asks you to note any areas of non-compliance.*

# Recruitment and management of new staff

1. **Generic job descriptions**. There are now 55 generic job descriptions and we continue to develop new ones in response to your feedback (most recently new generics for Communications and HR roles). Over the last year have you identified any additional jobs for which you would like a new 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
* outcome (eg post filled after readvertising, post filled after job rescoped, post remains empty, other)

1. **Recruitment difficulties**: 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. Which aspects of the University’s **benefits package** do you think have assisted in the attraction and retention of staff over the last year (*select all that apply*):

€ Pay € Pensions

€ Holiday € Family leave schemes

€ Transport schemes € Training/career development   
 opportunities

Other, describe

1. Is there anything missing from the current **benefits package** which you believe would have helped secure appointments/retain staff?
2. Aside from pay, what do consider to be the key benefits of working for the University which should be highlighted to applicants?
3. **Probation**: In the last 12 months, have any staff had their probation periods extended?

Yes/No

If Yes, give anonymised details (number of cases and grades)

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

Yes/No

If Yes, give anonymised details (number of cases and grades)

1. **Fixed-term contracts:** Do you follow the guidance on use of [fixed-term contracts](https://hr.web.ox.ac.uk/contract-type), including issuing a [contract cover letter](https://hr.web.ox.ac.uk/contract-templates#collapse1586686) in all cases which explains the justification for the contract being fixed-term by reference to one or more of the standard terms set out in the template letter?

Yes/No

If No, why not?

1. **Open-ended externally funded contracts:** do you follow the guidance on use of [open-ended externally funded](https://hr.web.ox.ac.uk/contract-type)  contracts for academic-related staff?

Yes/No

If No, why not?

If Yes, do you always consider the possible use of an open-ended externally funded contract when a fixed-term contract is being renewed/extended and the employee has more than 4 years continuous service?

Yes/No

If Yes, where you have considered using an open-ended externally funded contract but decided it is not appropriate, what are the key reasons why it cannot be offered?

If No, why not?

# Managing staff in post

1. **Work-life balance: flexible working**:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | *Please enter a numerical value only, e.g. ‘6’* | | | |
| **Formal requests approved** (whole or part) | **Formal requests rejected** | **Informal requests approved** (estimate) | **Informal requests rejected** (estimate) |
| **Support staff (all)**? |  |  |  |  |
| **Support staff (women)**? |  |  |  |  |
| **Academic-related staff (all)**? |  |  |  |  |
| **Academic-related staff (women)**? |  |  |  |  |

20 a) The list below summarises the most common reasons for flexible working applications as given in previous data collection exercises. If you have had flexible working applications please select the reasons given by applicants (*select all that apply)*

€ Caring for children € Caring for other dependants

€ Work-life balance € Phased return from sickness or other absence

€ Disability related reasons € Travel difficulties

€ Flexible retirement € Study

Other, describe

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 give the following details:

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. How do you use the data to monitor fairness across all staff?
3. Has your analysis of workload data revealed any gender based differences ?

Yes/No

If Yes, please specify and comment on what actions, if any, are planned to address these?

1. If you have had a workload allocation model for more than a year, have you made any changes and if so what and why?
2. **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.

|  |  |  |  |
| --- | --- | --- | --- |
| **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. **Mental Ill-health:** has your department put in place any activities or initiatives to support staff who may be experiencing mental ill-health?

Yes/No

If Yes, please give details

1. Is this an area where central University support and/or guidance would be helpful?

Yes/No

If Yes, please give details

1. **Wellbeing** - have you undertaken any activities or initiatives to positively promote staff health and wellbeing such as ‘Wellbeing days’, healthy lifestyle opportunities such as help with giving up smoking, etc?

Yes/No

If Yes, please give details of any initiatives, activities or events

1. Does your department offer an **Employee Assistance Programme**?

Yes/No

If Yes, please give details

1. **Personal Development Review (PDR):**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| 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 DA/HAF (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. Does your department/faculty prepare a people/organisational development plan?

Yes/No

If Yes, is this part of:

1. your regular planning cycle
2. your Athena SWAN planning cycle
3. for some other reason (give details)
4. Would your department or faculty be interested in support on people development planning from POD?
5. Professional skills and career development - We are currently developing some professional skills and career development initiatives for staff in Professional Services roles (e.g. HR, IT, Finance, Research support, others). By reference to your departmental priorities please rank the importance of the suggested initiatives listed below where **1 is the most** important and **10 the least** important

|  |  |
| --- | --- |
| **Initiative** | **Rank 1-10, where 1 is MOST important** |
| Talent management |  |
| Mentoring and/or coaching schemes |  |
| Behavioural/competency frameworks |  |
| Staff mobility (eg secondments, shadowing etc) |  |
| Training frameworks/structured CPD activities |  |
| Support with professional qualifications (including apprenticeships) |  |
| Professional networks and peer-learning communities |  |
| Membership of professional bodies (including payment of professional fees such as CIPD, AUA, etc) |  |
| Individual time and/or budget alloction for professional development |  |
| Mapped career pathways and career planning support |  |

1. Does your department offer staff any of the following Professional skills and career development initiatives?

|  |  |  |
| --- | --- | --- |
| **Initiative** | **Yes/No** | **If Yes, give details** |
| Talent management |  |  |
| Mentoring and/or coaching schemes |  |  |
| Behavioural/competency frameworks |  |  |
| Staff mobility (eg second-ments, shadowing etc) |  |  |
| Training frameworks/structured CPD activities |  |  |
| Support with professional qualifications (including apprenticeships) |  |  |
| Professional networks and peer-learning communities |  |  |
| Membership of professional bodies (inc payment of professional fees eg CIPD, AUA etc) |  |  |
| Individual time and/or budget allocation for professional development |  |  |
| Mapped career pathways and career planning support |  |  |

1. HR training: Have you/your HR team undertaken any training in the below areas (outside of the CIPD Level 3/5/7 qualifications):

|  |  |  |  |
| --- | --- | --- | --- |
| **HR process** | **Yes/No** | **If Yes,** | |
| **who provided the training?** | **How would you rate the training?** (excellent, good, poor) |
| Disciplinary processes |  |  |  |
| Grievance processes |  |  |  |
| Performance Management |  |  |  |
| Tackling difficult conversations |  |  |  |
| Employment Law |  |  |  |
| Recruitment & Selection |  |  |  |

1. Do you feel that the University offers sufficient training/guidance/support/coaching on how to implement the University’s policies and procedures?

Yes/No

If No: What training/guidance/support would you ideally like to be provided?

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? [See Overseas working](https://hr.web.ox.ac.uk/overseas-working)

*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*.)

Yes/No

|  |  |  |
| --- | --- | --- |
| If Yes, please indicate numbers against each of the categories below: | **Number** | **Comments** (please state countries if known) |
| Staff who work overseas for 3-12 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 |  |  |

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. Are there any areas where you would like further guidance or support from the Central University in managing or minimising incidents of bullying and harassment within the University?

Yes/No

If Yes, give details.

1. 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? |  |
| 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 University HR and the Equality and Diversity Unit?

Yes/No

If Yes, comments

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

|  |  |
| --- | --- |
| * Support | * Academic-related |
| * Research | * Academic |

1. **How do you record absence?**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| How do you… | CoreHR | Excel, or similar | Database | Paper form on | | TeamSeer | Other  (specify |
| central absence file | individual file |
| a) record/monitor sickness absence? |  |  |  |  |  |  |  |
| b) 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

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](https://hr.web.ox.ac.uk/safeguarding-at-risk-adults-and-children) 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 & visa renewal costs

€ The existence of the EJRA at Oxford

€ 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. **New websites:** In 2019 we migrated the Personnel Services website into 3 new sites: [HR Support and Reward](https://hr.web.ox.ac.uk/), [HR Systems](https://hrsystems.admin.ox.ac.uk/) (HRIS and HR Analytics), and [Staff Immigration](https://staffimmigration.admin.ox.ac.uk/). We’d love to hear what you think. If your comments relate to specific website(s) please specify them so we can pass on the feedback to the relevant team.
2. **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

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

Thank you for taking the time to complete this exercise – your responses are extremely valuable and used by colleagues across Central HR teams throughout the year. A summary of responses will be presented at the Trinity term HR briefing