**Section one: HR Self-Assessment Exercise**

Name of Department:

Name and role of person completing self-assessment:

Date of completion:

**People strategy element: recruitment of the best people**

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| 1. **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/) | **Self-assessment checklist**  **Yes/No/Comments** |
| 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 forms for non-Core recruitment exercises) is sent out? |  |
| 1. Do you consider the diversity of selection panels in particular have a gender balance wherever possible, as required by the University guidelines (recognising that gender balance in departments does not always allow this in all cases)?   [Note that Council has agreed an aim of 1/3 female representation on selection panels, but it is recognised that in some areas female representatives outnumber male] |  |
| 1. Do you ensure that all selection panel chairs undergo [recruitment training](http://www.learning.ox.ac.uk/seminar_desc.php?cat=az&ls=&cc=PER/REC/ONLI&page=3&id=) at least once every 4 years? |  |
| 1. Do you ensure that consideration is always given to whether additional pre-employment screening (such as DBS disclosures) are required before the role is advertised, and that this requirement is included in the job details for candidates? |  |
| 1. Are the minimum vacancy statuses (Applied, Shortlisted, and Offer Accepted Personnel) updated in the e-recruitment system? (essential to enable Athena SWAN and equality reporting) See: [QRG: REC00](http://www.admin.ox.ac.uk/media/global/wwwadminoxacuk/localsites/personnel/documents/corehr/processesuserguides/recruitingstaff/REC00_v1.0.pdf) |  |
| 1. Are the University pre-employment health declaration, and health questionnaire where needed, produced via CoreHR? |  |
| 1. Do you ensure that, where used, the pre-employment questionnaire as emailed to the candidate is customized so that it does not contain questions that are not relevant to the duties of the job? |  |
| 1. Do you ensure that, where the health questionnaire is required, University Occupational Health Service 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 ‘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))? |  |

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| 1. **Job descriptions** | **Self-assessment checklist**  **Yes/No/Comments** |
| 1. Do you ensure you are using the latest job description template when drafting a job description and that any locally-saved templates are updated every time changes to the [standard template](http://www.admin.ox.ac.uk/personnel/templates/#d.en.53598) are published? |  |
| 1. If applicable, do you ensure you are using the latest template when drafting further particulars for an Associate Professor and that any locally-saved templates are updated every time changes to the [standard template](http://www.admin.ox.ac.uk/personnel/staffinfo/academic/appreapp/) 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. 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? |  |

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| 1. **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) | **Self-assessment checklist**  **Yes/No/Comments** |
| Please note that all divisions, departments and faculties have a responsibility to ensure that every employee, 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. | |
| 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. Are you aware of the rules concerning the Right to Work checks required for examiners (if applicable)? |  |
| 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)? |  |
| If you have employed any staff on Tier 4 student visas in the last 12 months, in recording the Right to Work for Tier 4 students, are you;   1. recording evidence of how many hours the student is permitted to work   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.  And   1. monitoring how many hours the student is working and ensuring the student completes a Tier 4 Student Employment Declaration form? |  |
| 1. Does the department maintain a list of all employees with time-limited Right to Work (List B category Right to Work visa holders) and a system to regularly review visa expiry dates? |  |
| 1. For all employees with time-limited Right to Work in the UK (i.e. List B category Right to Work visa holders) does the department carry out repeat checks of the evidence before the visa is due to expire? |  |
| 1. Has the department included the RTW data for all list B employees in CoreHR? |  |
| 1. Does the department make use of the [PERDEP41\_work permit](http://www.admin.ox.ac.uk/personnel/usinghris/reporting/personnel/perdep41workpermitsreport/) report in CoreHR? |  |
| 1. Does the department fulfill the Home Office’s record-keeping and reporting requirements for Tier 2 and Tier 5 visa holders as detailed at [www.admin.ox.ac.uk/personnel/permits/employresp/](http://www.admin.ox.ac.uk/personnel/permits/employresp/) |  |
| 1. Does the department have a mechanism to record annual leave and sick leave of Tier 2 and Tier 5 visa holders? |  |
| 1. 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? |  |
| 1. Does the department keep recruitment records for all Tier 2 visa holders? |  |

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| 1. **Visitors**   Complete this section if your department hosts visitors (i.e. visiting fellows/academic visitors, etc) | **Self-assessment checklist**  **Yes/No/Comments** |
| 1. Are all visitors required to sign a [visitor agreement](http://www.admin.ox.ac.uk/personnel/recruit/background/employstatus/non-emp/)? |  |
| 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? |  |

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| 1. **Interns**   An intern is someone undertaking work and developmental activities in the department, and who should be engaged for a period of no more than 3 months and should not be engaged on an unpaid basis: do not include work experience. | **Self-assessment checklist**  **Yes/No/Comments** |
| 1. If yourdepartment hosts interns, does it pay by reference to the University’s pay and grading structure, in accordance with University [policy](http://www.admin.ox.ac.uk/personnel/recruit/background/employstatus/intern/)? |  |

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| 1. **Agency Workers:** | **Self-assessment checklist**  **Yes/No/Comments** |
| 1. 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? (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/). |  |

**People strategy element: retention of talent**

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| 1. **Work life balance**   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/) | **Self-assessment checklist**  **Yes/No/Comments** |
| 1. Are requests for flexible working or family leave managed in line with Personnel Services 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? |  |

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| 1. **Work-related stress**   See: [Policy on the prevention and management of work-related stress](http://www.admin.ox.ac.uk/personnel/during/stress/) | **Self-assessment checklist**  **Yes/No/Comments** |
| 1. Where they arise, does the department manage work-related stress cases in line with Personnel Services guidance? |  |

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| 1. **Retirement**   See: Guidance on retirement at <http://www.admin.ox.ac.uk/personnel/end/retirement/> | **Self-assessment checklist**  **Yes/No/Comments** |
| 1. Support staff and academic-related staff in grades 6 and 7: Does the department write to members of staff to whom the EJRA does not apply to inform them of retirement options, in accordance with Personnel Services guidance (eg every five years from approx. age 55)? |  |
| 1. EJRA procedure: the EJRA procedures were revised in 2017; is the department following the new EJRA arrangements, including ensuring employment is not offered to applicants who are already over the EJRA (only for roles at grades 8 and above or equivalent)? |  |
| 1. Do you remind all academic-related staff in grades 8 and above of their EJRA at least **2.5** years before it is reached? |  |
| 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 find EJRA UDF useful in managing an EJRA case in your department? |  |
| 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)? |  |

**People strategy element: people development**

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| 1. **Induction** | **Self-assessment checklist**  **Yes/No/Comments** |
| **Does your departmental induction cover the following?** | |
| 1. Information about health and safety |  |
| 1. Departmental policies (e.g. out of hours/lone working) |  |
| 1. Key [University policies](http://www.admin.ox.ac.uk/personnel/staffinfo/handbook_acrel/codes/) (e.g. conflict of interest, bribery, fraud, harassment, computer use, approval to hold outside appointments, smoking, etc) |  |
| 1. Sickness and other absence reporting procedure |  |
| 1. Working arrangements (hours, breaks, etc) |  |
| 1. Arrangements for taking annual leave |  |
| 1. Copy of the job description/performance expectations |  |
| 1. Information about how the probation period will be reviewed |  |
| 1. Information about training/career development activities |  |
| 1. Information about family leave/flexible working/etc |  |
| 1. 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 |  |
| 1. Information about the recognised trades unions |  |
| 1. Facilities (tour) |  |
| 1. Any visa restrictions/reporting requirements |  |
| 1. Encouragement to use the [OLI online induction programme](https://learningrp.nsms.ox.ac.uk/public_html/seminar_desc.php?cat=az&ls=&cc=IND/ONLI&page=3&id=) |  |
| 1. Encouragement to use the [online E&D briefing](https://learningrp.nsms.ox.ac.uk/public_html/seminar_desc.php?cat=az&ls=&cc=MAN/EQU/ONLI&page=3&id=) |  |
| 1. (*if appropriate*) Policy on [staff-student relationships](http://www.admin.ox.ac.uk/personnel/during/relationship/) |  |
| 1. Information about support for [disabled staff](http://www.admin.ox.ac.uk/eop/disab/) /Access to work scheme |  |
| 1. Compulsory information security awareness [training](https://www.infosec.ox.ac.uk/training-and-awareness) for staff |  |
| 1. Encouragement to consult the University’s [webpages on data privacy](https://www.ox.ac.uk/about/organisation/governance/dataprivacy?wssl=1) to better understand the new General Data Protection Regulation (GDPR) |  |
| 1. 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 |  |
| 1. For research staff: Encouragement to attend the [termly welcome event](http://www.learning.ox.ac.uk/seminar_desc.php?cat=az&ls=&cc=IND/CRS&page=3&id=1992) run by OLI |  |
| 1. For research staff: information about training and development opportunities and [support](http://www.ox.ac.uk/research/support-researchers) available |  |
| 1. 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 |  |
| 1. 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)? |  |

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| 1. **Probation** | **Self-assessment checklist**  **Yes/No/Comments** |
| 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)? |  |

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| 1. **Personal Development Review (PDR)**   See guidance at <http://www.admin.ox.ac.uk/personnel/during/trainingandpdr/> | **Self-assessment checklist**  **Yes/No/Comments** |
| 1. Does the department carry out PDR in line with the available Personnel Services guidance? (further questions are included in the data collection survey) |  |

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| 1. **Training and development** | **Self-assessment checklist**  **Yes/No/Comments** |
| 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? |  |

**People strategy element: delivering effective HR support across the University**

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| 1. **Overseas working** | **Self-assessment checklist**  **Yes/No/Comments** |
| 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? If Yes, 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? |  |

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| 1. **Bullying and Harassment** | **Self-assessment checklist**  **Yes/No/Comments** |
| 1. Are you aware of the guidance on 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 Personnel Services guidance? |  |

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| 1. **Contracts of employment** | **Self-assessment checklist**  **Yes/No/Comments** |
| 1. Do you generate all contracts and other associated documents via CoreHR? |  |
| 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? |  |

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| 1. **Discipline and grievance** | **Self-assessment checklist**  **Yes/No/Comments** |
| 1. 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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| 1. **Monitoring of the regulations on Holding outside appointments (30 day rule)** | **Self-assessment checklist**  **Yes/No/Comments** |
| 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? 2. Do you ensure to record the information in CoreHR? |  |
| 1. Are requests for more than 30 days outside work submitted in advance for approval by the Head of department or division, as appropriate? |  |
| 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? |  |