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

# Instructions - self-assessment checklist

## Which period should we be assessing?

You should think about your activities over the past year (ie the period 1 January to 31 December 2019.)

## Who should complete the checklist?

The self-assessment checklist has been sent to the lead Departmental Administrator/Head of Administration and Finance so that they can consider the how the self-assessment exercise should be run. Please bear in mind that the online data collection exercise will ask for a summary of areas of non-compliance, and only one data collection exercise should be submitted for each department.

## How should we complete the checklist?

The self-assessment checklist is structured around the employee life-cycle. It invites you to review your HR practice within the department and ensure you are up to date with current requirements.

You are not required to submit the self-assessment checklist to University HR, it is provided for you to complete and retain for own departmental use in this Word format. However, you are asked to identify and think about any areas where your department is currently non-compliant and needs to take action and you will be asked to note these in the online data collection exercise.

# HR self-assessment checklist

# 1. Recruitment and management of new staff

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| 1(i) Recruitment and selection: See [recruitment](https://hr.web.ox.ac.uk/recruitment) and selection guidance and [HRIS QRGs](https://hrsystems.admin.ox.ac.uk/recruiting-staff) |
| Questions  | Yes, No or N/A | If No, note action required or reason why compliance is not possible  |
| 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 (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]* |  |  |
| 1. Do you ensure that all selection panel chairs undergo recruitment training at least once every 4 years?
 |  |  |
| 1. Do you always ensure that the mandatory vacancy statuses (Applied, Shortlisted, Offer made-Personnel and Offer Accepted-Personnel) are updated in the e-recruitment system? (*this is essential to enable accurate equality monitoring and reporting. See:* [*QRG: REC00*](https://hrsystems.admin.ox.ac.uk/recruiting-staff)*)*
 |  |  |
| 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](https://hrsystems.admin.ox.ac.uk/recruiting-staff))?
 |  |  |
| 1. Do you generate all contracts and other associated documents via CoreHR?
 |  |  |
| 1(ii) Job descriptions  |
| Questions  | Yes, No or N/A | If No, note action required or reason why compliance is not possible  |
| 1. Do you ensure that all recruiting managers are using the latest [job description template](https://hr.web.ox.ac.uk/templates#collapse1696151) (and, where applicable the [latest template for Associate Professors](https://hr.web.ox.ac.uk/academic-staffing-further-particulars-templates)) when drafting a job description and that any locally-saved templates are updated and disseminated every time changes are published?
 |  |  |
| 1. Do you customize the templates for each new recruitment, following the prompts, and use the [hazards checklist](https://hr.admin.ox.ac.uk/new-starter-health-checks) to identify any specific hazards in the job when writing the job description??
 |  |  |
| 1. Do you always assess whether [additional pre-employment screening](https://hr.web.ox.ac.uk/additional-role-related-checks) (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 over [50 generic job descriptions](https://hr.admin.ox.ac.uk/generic-job-descriptions) available to speed up/simplify the gradings process: where a relevant generic exists do you use it?
 |  |  |
| 1(iii) Right to work – immigration |
| See: guidance on [Right to work/immigration](https://staffimmigration.admin.ox.ac.uk/), requirements for all sponsored visa holders under Tier 2 and Tier 5, and CoreHR Personnel Module report PERDEP41\_Work PermitAll 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://staffimmigration.admin.ox.ac.uk/)). 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 or N/A | If No, note action required or reason why compliance is not possible  |
| 1. Does the department ensure that [Right to Work](https://hr.web.ox.ac.uk/rtw) (RTW) checks are always carried out (and signed and dated) on or **before the first day of work**?
 |  |  |
| 1. Have all staff who process RTW and immigration matters attended [training](https://staffimmigration.admin.ox.ac.uk/training) provided by SIT?
 |  |  |
| 1. (*if applicable*) Are you aware of the rules concerning the TRW checks required for **examiners**?
 |  |  |
| 1. Is the RTW data maintained on CoreHR in accordance with QRG: PA10?
 |  |  |
| 1. Have you employed any staff on **Tier 4 student** visas in the last 12 months?

*If Yes, answer questions f) and g) below**If No, go to question h) below*1. Do you ensure that the student completes a Tier 4 Student Employment Declaration form so you are aware of other work the student is undertaking, and are aware of the maximum hours the student is permitted to work for your department?
2. Do you have a process to ensure that you are aware of the hours worked, and that the student is not breaching their visa conditions?
 |  |  |
| 1. Does the department employ anyone **with time-limited RTW** (List B category RTW visa holders inc. Tiers 1, 2, 4, and 5 and dependant visa holders)

*If Yes, answer questions i) to p), 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 when staff obtain a new visa and, if required, use the Employee Checking Service to cover the gap between visa expiry and the individual obtaining the new visa?
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 report in CoreHR?
5. Does the department make use of the HRINF001 Data quality validation report to identify records with missing CoreHR data?
6. Does the department have a mechanism to record annual and sick leave of Tier 2 or 5 visa holders?
7. Does the department have a mechanism to report any unauthorised absence of Tier 2 or 5 visa holders of more than 5 days to the SIT?
8. Does the department keep recruitment records for all Tier 2 visa holders?
 |  |  |
| 1(iv) Casual workers  |
| Questions  | Yes, No or N/A | If No, note action required or reason why compliance is not possible  |
| 1. Do you ensure that casual workers are engaged for no more than 12 weeks, in line with the [guidance](https://hr.admin.ox.ac.uk/casual-workers-and-casual-teachers)?
 |  |  |
| 1. Do you ensure that [all casual workers are paid by reference to the pay spine](https://hr.admin.ox.ac.uk/casual-workers-and-casual-teachers)?
 |  |  |
| 1. Are all casual workers issued with the standard [letter of engagement](https://hr.admin.ox.ac.uk/contract-templates)?
 |  |  |
| 1. Do you ensure that a RTW check is obtained before work starts?
 |  |  |
| 1. For Tier 4 casual working, do you ensure that the RTW check also includes a Student Employment declaration form and evidence of term dates?
 |  |  |
| 1. When a Tier 4 PGR student works more than 20 hour per week, do you always obtain a letter from their supervisor confirming the student is on holiday and send this to tier4casualpayments@admin.ox.ac.uk?
 |  |  |
| 1(v) Visitors (visiting fellows/academic visitors, etc).  |
| Questions  | Yes, No or N/A | If No, note action required or reason why compliance is not possible  |
| 1. Are all visitors required to sign a [visitor agreement](https://hr.admin.ox.ac.uk/templates#collapse1696171)? (or, if you do not currently host visitors, are you aware of the visitor agreement?)
 |  |  |
| 1. Do you ensure that all [visitors](https://staffimmigration.admin.ox.ac.uk/visiting-the-uk) 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](https://hr.admin.ox.ac.uk/agency-workers). |
| Questions  | Yes, No  | If No, note action required or reason why compliance is not possible  |
| 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? (if you do not currently use agency workers, are you aware of this requirement?) |  |  |
| 1(vii) Interns |
| Questions  | Yes, No or N/A | If No, note action required or reason why compliance is not possible  |
| An intern is someone undertaking paid work and developmental activities for no more than 3 months (not *school age work experience students)*. Do you comply with the University [policy on engagement of interns](https://hr.admin.ox.ac.uk/internships) which requires that interns are paid by reference to the University’s pay and grading structure. (If you have not yet hosted an intern, are you aware of this requirement? ) |  |  |
| 1(viii) Induction |
| Questions | Yes/No/N/A | Note any departmental action  |
| a) Do you have a comprehensive departmental induction for new starters? (see the [suggested elements of an induction programme](https://hr.web.ox.ac.uk/example-induction-programme#collapse1769696) )  |  |  |
| b) If you employ research staff does your induction include information about:* [termly welcome event run by POD](https://pod.admin.ox.ac.uk/course-listing)
* information about training and development opportunities and other [support for researchers](https://www.ox.ac.uk/research/support-researchers?wssl=1)
* outline of the agreed programme of research (such as the project description in the funding application) and any milestones/reports
* key research-related [policies](https://legal.admin.ox.ac.uk/statutes) such as academic integrity in research, IP, employment and career development of research staff, etc
 |  |  |
| Is induction recorded in CoreHR in line with the relevant HRIS quick reference guide? |  |  |
| 1(ix) Probation |
| Questions  | Yes, No or N/A | If No, note action required or reason why compliance is not possible  |
| 1. Are [probationary procedures](https://hr.web.ox.ac.uk/probation) operated in line with University HR guidance?
 |  |  |
| 1. Are probation review dates and outcomes recorded in CoreHR in line with the HRIS QRG?
 |  |  |

# 2. Managing staff in post

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| 2(i) Work life balance  |
| Questions  | Yes, No  | If No, note action required or reason why compliance is not possible  |
| 1. Are requests for [flexible working](https://hr.web.ox.ac.uk/flexible-working) managed in line with University HR guidance? (If you have not received any requests are you aware of the guidance?)
 |  |  |
| 1. Are requests for [family leave](https://hr.web.ox.ac.uk/family-leave) managed in line with University HR guidance? (If you have not had any cases are you aware of the guidance?)
 |  |  |
| 1. Are you aware that wef 1 January employees no longer need to have 26 weeks service at the qualifying week to be eligible for the University’s enhanced family leave/pay schemes?
 |  |  |
| 1. Is all family leave and flexible working recorded in CoreHR in line with the relevant process guide? (If you have not had any cases are you aware of the requirement?)
 |  |  |
| 1. Are staff going on maternity leave made aware of the University’s [returning carers’ fund](https://edu.admin.ox.ac.uk/returning-carers-fund), where appropriate?
 |  |  |
| 2(ii) Training and development |
| Questions | Yes/No | *If no, note action required or reason why compliance is not possible*  |
| 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
 |  |  |
| 2(iii) Overseas working |
| Questions | Yes/No | If no, note action required or reason why compliance is not possible  |
| 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?](https://hr.web.ox.ac.uk/overseas-working)
 |  |  |
| 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. When an employee goes overseas for a work purpose is a risk assessment always completed?
 |  |  |
| 2(iv) Bullying and Harassment |
| The University has an obligation to eliminate unlawful discrimination, harassment and victimisation. See the [Equality and Diversity Unit guidance](https://edu.admin.ox.ac.uk/harassment-advice)  |
| Questions | Yes/No | If no, note action required or reason why compliance is not possible  |
| 1. Are you familiar with the University’s policy and procedures on [bullying and harassment](https://edu.admin.ox.ac.uk/policies-and-governance)?
 |  |  |
| 1. Are you aware of the [University’s sources of advice on bullying and harassment](https://edu.admin.ox.ac.uk/harassment-advice) including the harassment advisors’ network?
 |  |  |
| 1. Are all departmental bullying and harassment cases pursued in line with [University guidance](https://edu.admin.ox.ac.uk/harassment-advice)?
 |  |  |
| 1. Do you ensure that the department has trained [harassment advisors](https://edu.admin.ox.ac.uk/harassment-advice) 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](https://edu.admin.ox.ac.uk/harassment-advice) on bullying and harassment? (*This is not a University requirement but is considered good practice)*
 |  |  |
| 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(v) Discipline and grievance |
| Questions | Yes/No | If no, note action required or reason why compliance is not possible  |
| Are all departmental [disciplinary](https://hr.web.ox.ac.uk/disciplinary-procedures) and [grievance](https://hr.web.ox.ac.uk/grievance-procedures) cases pursued in line with University HR guidance? |  |  |
| 2(vi) Monitoring of the regulations on holding outside appointments  |
| Questions | Yes/No  | If no, note action required or reason why compliance is not possible  |
| 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? ([30 day rule](https://hr.admin.ox.ac.uk/holding-outside-appointments))
 |  |  |
| 1. Do you record the information in CoreHR (IP5 Capturing outside appointments)?
 |  |  |
| 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(vii) HR data quality  |
| Questions | Yes/No | If no, note action required or reason why compliance is not possible  |
| 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 run the [Reward & Recognition scheme](https://hr.web.ox.ac.uk/recognition-procedures)?
 |  |  |
| 1. Did you complete the UDF for all awards including all nominations?
 |  |  |
| 1. Do you routinely run the following reports, and ensure all data errors are cleared:
* 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  |
| Questions  | Yes, No or N/A | If No, note action required or reason why compliance is not possible  |
| 1. Does the department write to members of staff in grades 1-7 (to whom the EJRA does **not** apply) every 5 years from age 55 to inform them of retirement options, in line with [HR guidance?](https://hr.web.ox.ac.uk/retirement)
 |  |  |
| 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](https://hr.web.ox.ac.uk/retirement) to remind them of their retirement date?
 |  |  |
| 1. Is the department following the revised [EJRA procedure](https://hr.web.ox.ac.uk/retirement) including not offering employment to applicants for roles at grades 8 and above (or equivalent) who are already over the EJRA?
 |  |  |
| 1. Can you confirm that you have had approval for any current academic or academic-related employees who are over the [EJRA](https://hr.web.ox.ac.uk/retirement) (and subject to the EJRA) and still employed?
 |  |  |
| 1. Have you entered details of applications to work beyond the EJRA in the UDF in CoreHR (CH27)?
 |  |  |
| 1. Do you always set up approved EJRA extensions as new fixed-term appointments (CH25)?
 |  |  |
| 3(ii) Fixed-term contracts |
| Questions | Yes/No | If no, note action required or reason why compliance is not possible  |
| 1. Are you following the procedures for [managing and ending fixed term contracts](https://hr.admin.ox.ac.uk/managing-and-ending-fixed-term-contracts)?
 |  |  |
| 1. Are statutory redundancy payments always made on expiry of a fixed-term contract to postholders with at least 2 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. University HR circulars and update emails
2. University HR termly newsletters
3. Information about University HR briefing sessions
4. Staff Immigration team email updates – to be added to the mailing list email 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 if you have any questions

# This completes the self-assessment checklist

This checklist is for your departmental records, only.

When you are ready, go to the online data collection questionnaire at <https://oxford.onlinesurveys.ac.uk/hr2019/> where you will be asked to enter summary responses about any areas of non-compliance you have identified in completing the checklist.

A Word version of the data collection questionnaire has been sent to your departmental administrator/HAF but is also available to download from <https://hr.admin.ox.ac.uk/hr-news> if you want to review the questions before starting to complete the online questionnaire.