Each year HR carry out a 2 part exercise for departments to review their compliance with HR policies and procedures:

* Part 1 is this self-assessment exercise, completed offline;
* Part 2 is a data collection exercise carried out through an online survey tool [(find out more](https://hr.admin.ox.ac.uk/hr-news))

# How to use the self-assessment checklist

The purpose of the checklist is to enable you to review whether your department is completing essential, regular HR activities.

This is a departmental, rather than personal, ‘self-assessment’ exercise and should be completed by the HR lead for the department, in conjunction with any HR colleagues. In response to each question think about your current HR activities (or activities over the last year as appropriate) and consider whether your department is complying with University policy and procedures and/or needs to take action, as well as identify any priorities for action for the coming year.

Links are provided to relevant guidance for reference.

Once you have completed this self-assessment you should move onto the data collection exercise [(find out more](https://hr.admin.ox.ac.uk/hr-news) and download the questionnaires)

## Who should complete the checklist?

The self-assessment and data collection exercise is sent out via DAs/HAFs in order that they can determine how they wish their department to run the exercise and who should lead the review and complete the documentation.

## What do we do with the completed the checklist?

You are not required to submit the completed self-assessment checklist to University HR; it is provided for you to complete and retain for your own departmental use.

Once you have completed the self-assessment you should move to the data collection exercise where you will have the opportunity to note any areas in the self-assessment checklist where you are not fully compliant and where you would value additional support or guidance.

## What should we do if we find gaps in our current practice?

The areas identified in the checklist are base-line requirements for departments. If completing this exercise identifies gaps in local departmental practice, please consult the extensive on-line guidance on the [HR Support website](https://hr.admin.ox.ac.uk/home), in [HRIS guides](https://hrsystems.admin.ox.ac.uk/user-support-and-guides), or on the [Equality and Diversity](https://edu.admin.ox.ac.uk/home), [Staff Immigration Team](https://staffimmigration.admin.ox.ac.uk/) or [People and Organisational Development](https://pod.admin.ox.ac.uk/) webpages, or contact your HRBP who will be able to support you in updating your departmental arrangements.

# 1. Recruitment and management of new staff

|  |
| --- |
| 1(i) Recruitment and selection: See [recruitment and selection guidance](https://hr.web.ox.ac.uk/recruitment)  |
| Questions  | Y/N | If No, note action required  |
| 1. Do you use the e-recruitment system for all recruitments (other than direct appointments), including apprenticeships?
 |  |  |
| 1. Where applications are not made through e-recruitment, do you always ensure that form M1 (equality monitoring form for off-system recruitment exercises) is sent out?
 |  |  |
| 1. *If appropriate: Do* you follow the guidance on [virtual recruitment?](https://hr.admin.ox.ac.uk/virtual-recruitment)
 |  |  |
| 1. Do you monitor the diversity of selection panels and in particular have a gender balance wherever possible?
 |  |  |
| 1. Do you ensure that all selection panel chairs undergo [recruitment and selection training](https://hr.admin.ox.ac.uk/planning-a-recruitment#collapse1617176) at least once every 4 years?
 |  |  |
| 1. Do you strongly recommend that all members of recruitment panels undertake recruitment and selection and implicit bias training, in line with the [guidance](https://hr.admin.ox.ac.uk/planning-a-recruitment#collapse1617176)?
 |  |  |
| 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:* [*How-To Guide*](https://hrsystems.admin.ox.ac.uk/files/how-toguide-managerecruitmentstatusesandeventspdf)*)*
 |  |  |
| 1. Are you aware of the need to give special consideration to priority candidate applications?
 |  |  |
| 1. Are you aware of the [Priority Candidate Support Scheme](https://hr.admin.ox.ac.uk/priority-candidates-support-scheme) for professional services staff?
 |  |  |
| 1. Do you follow the guidance on [giving feedback](https://hr.web.ox.ac.uk/offering-employment)?
 |  |  |
| 1(ii) Job descriptions and setting up posts? |
| Questions  | Y/N | If No, note action required  |
| 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. When writing the job description do you customize the template, 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 (and ensure that these are incorporated so that candidates are aware of all potential hazards before applying?)
 |  |  |
| 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? (It is an offence for barred individuals to apply for jobs involving regulated activity so this must be included in job details).
 |  |  |
| 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) Pre-employment checks: see <https://hr.web.ox.ac.uk/pre-employment-checks>  |
| Questions  | Y/N | If No, note action required  |
| 1. Are job offers always made ‘subject to receipt of satisfactory references’ where [references](https://hr.web.ox.ac.uk/references) have not yet been received?
 |  |  |
| 1. Where the job involves [regulated activity](https://hr.web.ox.ac.uk/dbs-checks#collapse1511141) with children/at risk adults do you ensure that a satisfactory enhanced DBS with barred list check has been received before the employee starts work and/or carries out the regulated activities?
 |  |  |
| 1. Are all the pre-employment checks recorded in PeopleXD [(How-To: Manage a successful applicant)](https://hrsystems.admin.ox.ac.uk/files/how-toguide-manageasuccessfulapplicantpdf)?
 |  |  |
| 1. Do you ensure that CVs are closely read and all gaps in employment are identified and appropriately explored at interview with candidates?
 |  |  |
| 1. Do you review and act on all information in the ‘additional questions’ section of applications: including any declarations of conflict of interest (eg relationship with a member of the selection panel), entitlement to return, declaration of unspent criminal convictions, etc
 |  |  |
| 1(iv) 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 PeopleXD [People Management report: PERDEP41\_Immigration and Right to Work](https://hrsystems.admin.ox.ac.uk/personnel-reports-tracking-reports) 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. 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. For further information see the [Staff Immigration website](https://staffimmigration.admin.ox.ac.uk/compliance) |
| Questions  | Y/N | If No, note action required  |
| 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 RTW checks required for **examiners**?
 |  |  |
| 1. Is the RTW data maintained on PeopleXD in accordance with the [Scenario Factsheet: Right to Work?](https://hrsystems.admin.ox.ac.uk/files/righttowork-scenariofactsheetpdf)
 |  |  |
| 1. Have you employed any staff on **Student/Tier 4** 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 including Skilled Worker, Global Talent, Tiers 1, 2, 4, and 5 and dependant visa holders)

*If Yes, answer questions i) to p), below**If No, go to question 1 (v) 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 Employer 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 PeopleXD?
4. Does the department make use of the [PERDEP41\_Immigration and right to work report](https://hrsystems.admin.ox.ac.uk/personnel-reports-tracking-reports) in PeopleXD?
5. Does the department make use of the [HRINFO01 Data quality validation report](https://hrsystems.admin.ox.ac.uk/hrinfo01-data-validation-quals) to identify records with missing PeopleXD data?
6. Does the department have a mechanism to record annual and sick leave of Skilled Worker, Tier 2 or 5 visa holders?
7. Does the department have a mechanism to report any unauthorised absence of Skilled Worker, 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(v) Casual workers see: <https://hr.admin.ox.ac.uk/casual-workers-and-casual-teachers> |
| Questions  | Y/N | If No, note action required  |
| 1. Do you ensure that casual workers are engaged for no more than 12 weeks (and with a minimum 6 week gap before re-engagement) 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. Are you aware that casual workers should not have their appointments ended and be re-hired within the same pay period?
 |  |  |
| 1. Do you ensure that a RTW check is obtained before a casual worker starts?
 |  |  |
| 1. For Student/Tier 4 visa holders undertaking casual work, do you ensure that the RTW check also includes a [Student Employment declaration form](https://staffimmigration.admin.ox.ac.uk/forms-guidance?filter-6191-category-1466316=40496&page-1466316=0) and evidence of term dates?
 |  |  |
| 1. When a PGR Student/Tier 4 visa holder 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(vi) Visitors (visiting fellows/academic visitors, etc).  |
| Questions  | Y/N | If No, note action required  |
| 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) have an appropriate entitlement to work in the UK?
 |  |  |
| 1(vii) Agency workers*This is required so the University can fulfil its legal obligation to disclose information to the recognised trade unions. ‘Agency Workers’ here means external agencies, and not TSS.* |
| Questions  | Y/N  | If No, note action required  |
| 1. Are you aware of the [Agency Workers guidance](https://hr.admin.ox.ac.uk/agency-workers), which is that agency workers who have accrued 12 weeks’ qualifying service are entitled to the same basic terms and conditions as would apply to a staff member employed directly by the University to do the same job?
 |  |  |
| 1. Does your department keep records of external (ie non-TSS) agency workers as new starters and as leavers on PeopleXD to enable University-wide tracking of their qualifying service? (If you do not currently use agency workers, are you aware of this requirement?)
 |  |  |
| 1(viii) Interns*An intern is someone undertaking paid work and developmental activities for no more than 3 months (not school age work experience students).*  |
| Questions  | Y/N | If No, note action required  |
| Do you comply with the University [policy on interns](https://hr.admin.ox.ac.uk/internships) which requires that ALL 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(ix) Induction |
| Questions | Y/N | If No, note action required  |
| 1. 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) )
 |  |  |
| 1. For new Managers, do you signpost staff to the [new managers' toolkit](https://pod.admin.ox.ac.uk/new-managers-toolkit) provided by POD?
 |  |  |
| 1. If you employ research staff does your induction include information about:
	1. [termly welcome event run by POD](https://cosy.ox.ac.uk/accessplan/LMSPortal/UI/Page/Courses/book.aspx?courseid=TOLIWRWERS)
	2. information about training and development opportunities and other [support for researchers](https://www.ox.ac.uk/research/support-researchers?wssl=1)
	3. outline of the agreed programme of research (such as the project description in the funding application) and any milestones/reports
	4. 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
 |  |  |
| 1(x) Probation |
| Questions  | Y/N or N/A | If No, note action required  |
| 1. Are [probationary procedures](https://hr.web.ox.ac.uk/probation) operated in line with University HR guidance including a structured programme from induction, with regular reviews, and formal mid and end of probation review meetings?
 |  |  |
| 1. Are probation review dates and outcomes recorded in PeopleXD in line with the [How-To Guide – Set up and manage probation](https://hrsystems.admin.ox.ac.uk/files/how-toguide-setupandmanageprobationpdf)?
 |  |  |
| 1. For departments with academic staff: are you aware of the arrangements for formal [Initial Period of Office](https://hr.admin.ox.ac.uk/reappointment-procedure-for-associate-professors) reviews for Associate Professors?
 |  |  |

# 2. During employment

|  |
| --- |
| 2(i) Work life balance  |
| Questions  | Y/N  | If No, note action required  |
| 1. Are you aware of, and actively engaging with, the [New Ways of Working framework](https://hr.admin.ox.ac.uk/new-ways-of-working)?
 |  |  |
| 1. Are requests for [flexible working](https://hr.web.ox.ac.uk/flexible-working) (outside of the NWW framework) managed in line with University HR guidance, including processing requests within the required timescale? (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 University’s maternity, adoption, paternity, shared parental and unpaid parental leave schemes?)
 |  |  |
| 1. Do you make staff aware of the options for flexible working to [support carers](https://hr.admin.ox.ac.uk/support-for-carers) such as carers leave, career break, temporary flexible working?
 |  |  |
| 1. [Day 1 family leave scheme](https://hr.admin.ox.ac.uk/the-day-one-family-leave-scheme): are you aware that employees no longer need to have 26 weeks service at the qualifying week to be eligible for the University’s enhanced contractual family leave/pay schemes (with the exception of Shared Parental Leave, which cannot be offered in all cases as a Day 1 entitlement)?
 |  |  |
| 1. Are you aware of the arrangements for [leave for academic staff](https://hr.admin.ox.ac.uk/guidelines-for-leave-for-academic-staff) such as sabbatical?
 |  |  |
| 1. Do you offer, or have you considered, the [Additional Annual Leave](https://hr.admin.ox.ac.uk/additional-annual-leave) scheme, which allows up to 10 days leave to be requested through a salary sacrifice scheme?
 |  |  |
| 1. Is all family leave recorded in PeopleXD in line with the [relevant process guide](https://hrsystems.admin.ox.ac.uk/during-employment#collapse2323406)? (If you have not had any cases are you aware of the requirement?)
 |  |  |
| 1. Are those taking extended periods of family or other caring leave made aware of the University’s [returning carers’ fund](https://edu.admin.ox.ac.uk/returning-carers-fund), where appropriate?
 |  |  |
| 1. Are you aware of the entitlement to [Parental Bereavement Leave](https://hr.admin.ox.ac.uk/parental-bereavement-leave)?
 |  |  |
| 1. Are you aware that the adoption leave can now apply to those in ‘[early permanence’](https://hr.admin.ox.ac.uk/universitys-contractual-adoption-pay-scheme#collapse2546396)(fostering to adoption) arrangements
 |  |  |
| 2(ii) Sickness management |  |
| Questions | Y/N | If no, note action required |  |
| 1. Do you have a departmental mechanism to record all sickness absence which includes reviewing and actively managing cases of frequent short-term, or long-term absence?
 |  |  |
| 2(iii) Wellbeing |  |
| Questions | Y/N | If no, note action required |  |
| 1. Do you actively manage annual leave to ensure that, wherever possible staff book and take all their entitlement within the holiday year.
 |  |  |  |
| 1. Where approval is given for untaken holiday entitlement to be carried over from one year to the next, do you ensure it is taken within 3 months? (except [COVID-related carry over under the special rules)](https://hr.admin.ox.ac.uk/holiday-entitlement#collapse1930626)
 |  |  |  |
| 1. Where staff are transferring from one department to another, do you ensure that holiday entitlement is either taken before the transfer date, or that the new department will agreed to absorb the entitlement? (Please note that it is not possible to pay for untaken holiday except where the individual is leaving the University completely)
 |  |  |  |
| 1. Do you ensure that staff in your department are aware of services to support wellbeing such as:
2. [Counselling through Carefirst](https://occupationalhealth.admin.ox.ac.uk/employee-counselling-service)
3. [Togetherall](https://occupationalhealth.admin.ox.ac.uk/mental-health#/)
4. [Work+Family Space](https://hr.admin.ox.ac.uk/my-family-care)
5. [University Sports facilities](https://occupationalhealth.admin.ox.ac.uk/employee-wellbeing)
6. [The Staff Top-up fund](https://hr.admin.ox.ac.uk/staff-top-up-fund)
 |  |  |  |
| 2(iv) Reward  |  |
| Questions | Y/N | If no, note action required |  |
| 1. Are you aware of the range of [allowances and premiums](https://hr.admin.ox.ac.uk/allowances-and-premiums) in addition to basic pay, and the [guidance](https://hr.admin.ox.ac.uk/allowances-and-premiums) on how these can be used?
 |  |  |  |
| 1. Do you know which [allowances](https://hr.admin.ox.ac.uk/allowances-and-premiums) require departmental approval and which require central approval?
 |  |  |  |
| 1. Are you aware of the approval process for the [setting and review of senior pa](https://hr.admin.ox.ac.uk/senior-staff-pay#tab-1698081)y? Including setting up [RSIV](https://hr.admin.ox.ac.uk/senior-appointments-panel#tab-1710181) and [ALC6](https://hr.admin.ox.ac.uk/senior-appointments-panel#tab-1710176) posts, and the arrangements for salary setting for Statutory Professors and supplements for Associate Professors?
 |  |  |  |
| 1. Do you regularly flag the wider [benefits](https://hr.admin.ox.ac.uk/staff-benefits) of working for the University to staff to assist with recruitment and retention?
 |  |  |  |
| 2(v) Personal and Professional Development |  |
| Questions | Y/N | If no, note action required |  |
| 1. Are you aware of POD’s guidance on [PDR and CDR](https://pod.admin.ox.ac.uk/pdr) ?
 |  |  |  |
| 1. Are you aware of [professional services mentoring pilot](https://pod.web.ox.ac.uk/professional-services-mentoring-pilot)
 |  |  |  |
| 2(vi) Overseas workers |  |
| Questions | Y/N | If no, note action required |  |
| 1. Do you have any staff who work overseas?

*If Yes, complete questions b – e below)* *If No, go to next section* |  |  |  |
| 1. Do you follow the [guidance on overseas workers?](https://finance.admin.ox.ac.uk/overseas-working) Including ensuring that all overseas working is approved by the HoD?
 |  |  |  |
| 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(vii) 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 | Y/N | If no, note action required  |  |
| 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?
 |  |  |  |
| 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 on bullying and harassment](https://edu.admin.ox.ac.uk/university-policy-on-harassment), and the support available to those who experience it?
 |  |  |  |
| 1. If you hold external research funding, are you aware of any funder requirements relating to reporting bullying and harassment, such as those set out in circular [PERS(19)03](https://hr.admin.ox.ac.uk/files/pers1903bullyingandharassmentpdf) in particular for Wellcome Trust, BHF, NIH and CRUK awards?
 |  |  |  |
| 2(viii) Equality Policy |
| Questions | Y/N | If no, note action required  |
| 1. Are you aware of the University’s [Equality Policy](https://edu.admin.ox.ac.uk/equality-policy) (updated March 2020) and your department’s responsibilities?
 |  |  |
| 1. Do you ensure that all members of the department, including visitors and contractors, are aware of this policy?
 |  |  |
| 1. Do you encourage new members of staff to complete the online [Equality and Diversity briefing](https://edu.admin.ox.ac.uk/training#collapse1182876) during their induction?
 |  |  |
| 2(ix) Social media policy  |  |
| Questions | Y/N | If no, note action required  |  |
| Are you aware of the University’s policy on the [use of social media](https://hr.admin.ox.ac.uk/using-social-media) (including in recruitment) |  |  |  |
| 2(x) Discipline and grievance |  |
| Questions | Y/N | If no, note action required  |  |
| 1. Are you aware of the [guidance on mediation?](https://hr.admin.ox.ac.uk/guidance-on-mediation)
 |  |  |  |
| 1. 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?
 |  |  |  |
| 1. Is the HR team aware of the [Public Interest Disclosure (whistleblowing)](https://hr.admin.ox.ac.uk/public-interest-disclosure-whistle-blowing-code-of-practice) rules?
 |  |  |  |
| 2(xi) Monitoring of the regulations on holding outside appointments  |  |
| Questions | Y/N | If no, note action required  |  |
| 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. 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. Do you record the information in PeopleXD (see [Scenario Factsheet: Outside appointments](https://hrsystems.admin.ox.ac.uk/files/scenariofactsheet-outsideappointmentspdf))?
 |  |  |  |
| 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(xii) HR data quality see <https://hrsystems.admin.ox.ac.uk/data-quality-0>  |  |
| Questions | Y/N | If no, note action required  |  |
| 1. Do you routinely encourage new casual workers to provide their E&D information via either HR self-service or the E&D data collection form?
 |  |  |  |
| 1. Do you have arrangements in place to regularly review records to ensure you are complying with the [agreed retention periods](https://hr.admin.ox.ac.uk/retention-periods-for-university-personnel-records)?
 |  |  |  |
| 1. Do you routinely run the following [reports](https://hrsystems.admin.ox.ac.uk/reports-library), and ensure all data errors are cleared:
* HRINFO01\_Data Quality Validation – employee data quality checks;
* HRINFO20\_Casual Worker Data Quality Validation – casual worker data quality checks;
* HRINFO21 Vacancy and applicant data quality – recruitment data quality checks
 |  |  |  |
| 2(xiii) Staff-student relationships |  |
| Questions  | Y/N | If No, note action required  |
| Are you aware of the [staff-student relationship policy](https://hr.admin.ox.ac.uk/staff-student-relationships) and do you bring this to the attention of staff with teaching or any other responsibility for students? |  |  |
| 2(xiv) Safeguarding children and at risk adults see <https://hr.web.ox.ac.uk/safeguarding-at-risk-adults-and-children>  |  |
| Questions  | Y/N | If No, note action required  |
| a) Does your department run any activities, whether in person or on-line, involving children and 'at risk' adults (ie outreach, open days, research participants, work experience students under 16 years old, etc. NOT including apprenticeships, or work experience for 16-18 year olds, or circumstances where children are present, but not participating in a University-run activity)?If Yes, have you made all 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?  |  |  |  |
| b) Are you aware that any allegation of abuse of a child by a member of the University must be immediately reported to the Safeguarding officer (HR Director for staff, Director of SWSS for students) as this needs to be reported to the Oxfordshire Safeguarding Children’s Board within 24 hours? |  |  |  |

|  |  |
| --- | --- |
| 2(xv) Remote working  |  |
| Questions  | Y/N  | If No, note action required  |
| 1. Are you aware of the guidance on [homeworking and wellbeing](https://hr.admin.ox.ac.uk/covid-19-resources) and the guidance for managers on managing teams remotely?
 |  |  |
| 2(xvi) Return to on-site working  |  |
| Questions  | Y/N  | If No, note action required  |
| 1. Are you aware of the [return to on-site working guidance](https://hr.admin.ox.ac.uk/return-to-on-site-working), including [guidance on those who have concerns about returning](https://hr.admin.ox.ac.uk/guidance-on-supporting-staff-with-concerns-about-on-site-working)?
 |  |  |

# 3. Ending employment

|  |
| --- |
| 3(i) Retirement  |
| Questions  | Y/N | If No, note action required  |
| 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 [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 PeopleXD ([Scenario Factsheet: EJRA](https://hrsystems.admin.ox.ac.uk/files/scenariofactsheet-ejrapdf))?
 |  |  |
| 1. Do you always set up approved EJRA extensions as new fixed-term appointments?
 |  |  |
| 3(ii) Fixed-term contracts |
| Questions | Y/N | If no, note action required  |
| 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 (the standard cover letter explains the justification for the contract being fixed-term by reference to one or more of the standard terms)
 |  |  |
| 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. **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? 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?
 |  |  |
| 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)

1-3 use ‘all department’ mailing lists. Find out more on the [HR Support Website](https://hr.admin.ox.ac.uk/hr-communications#collapse1328981)

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 – PeopleXD users are automatically added to the mailing list, but you can contact hris@admin.ox.ac.uk if you have any questions
6. HR Analytics newsletter – to be added to the mailing list email hris.dataquality@admin.ox.ac.uk

# This completes the self-assessment checklist

Please now go to the online survey to complete the data collection exercise: <https://oxford.onlinesurveys.ac.uk/hr-data-collection-exercise-2021>.

A hard copy version of the data collection questions has been emailed to the HAF/lead departmental administrator for each department so that you can review the questions and collate any data before going to the online survey if you wish.