Owing to current circumstances, and as a way of reducing additional workload pressure on departments and faculties, the 2020 HR self-assessment and data collection survey will **not** take place.

However, feedback in previous years suggests that colleagues have found the self-assessment checklist to be a useful tool in reviewing and reflecting on their HR practice.

We have therefore updated and expanded the checklist, and provided links to key guidance. The purpose of the checklist is to enable you to check whether your department is completing all essential, regular HR activities. You can use the checklist to identify and think about any areas where your department is currently non-compliant and/or needs to take action, as well as identify any priorities for action for the coming year.

It is **not** mandatory to complete this year’s checklist; it is provided as an optional resource for those departments that wish to use it.

# How to use the self-assessment checklist

In reviewing the questions you should consider your current HR activities (or activities over the last year as appropriate). Links are provided to relevant guidance for reference.

## Who should complete the checklist?

There is no right or wrong way to use this checklist: it is for each department to determine who is the appropriate person or team to complete this, and how to run the exercise within the department. Some HAFs/DAs may wish to lead the review, in other departments the HR team, or officer, may wish to review this on their own.

## How should we complete the checklist?

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

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

If completing this exercise raises any concerns about current 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.

# 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 wef January 2021? |  |  |
| 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. Are you aware of the COVID-19 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?   [*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 and selection training](https://hr.admin.ox.ac.uk/planning-a-recruitment#collapse1617176) at least once every 4 years?   [*It is recommended that all members of the panel* [*undertake recruitment and selection and implicit bias*](https://hr.admin.ox.ac.uk/planning-a-recruitment#collapse1617176) *training]* |  |  |
| 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:* [*User Guide*](https://hrsystems.admin.ox.ac.uk/files/how-toguide-managerecruitmentstatusesandeventspdf)*)* |  |  |
| 1. Are you aware of the [Priority Candidate Support Scheme](https://hr.admin.ox.ac.uk/priority-candidates-support-scheme) and the need to give special consideration to priority candidate applications? |  |  |
| 1. Are you aware of 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. Where [references](https://hr.web.ox.ac.uk/references) have not been received before a job offer is made, are job offers always made ‘subject to receipt of satisfactory references’? |  |  |
| 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 CoreHR [(How-To: Manage a successful applicant)](https://hrsystems.admin.ox.ac.uk/files/how-toguide-manageasuccessfulapplicantpdf)? |  |  |
| 1. Do you ensure that all ‘gaps in employment’ are appropriately explored at interview with candidates? |  |  |
| 1. Do you review and act on all information supplied in the ‘additional questions’ in applications such as 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 CoreHR People Management report: [PERDEP41\_Work Permit](https://hrsystems.admin.ox.ac.uk/personnel-reports-tracking-reports#collapse1486801)  All divisions, departments and faculties have a responsibility to ensure that every employee, casual worker, and visitor (however brief the visit) is properly entitled to work in, and/or participate in the activities of, the University (see <https://staffimmigration.admin.ox.ac.uk/compliance>).  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 | 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 CoreHR 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 (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\_Immigration and right to work 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 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, 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 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](mailto: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* | | |
| 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 CoreHR 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: 2. [termly welcome event run by POD](https://pod.admin.ox.ac.uk/course-listing) 3. information about training and development opportunities and other [support for researchers](https://www.ox.ac.uk/research/support-researchers?wssl=1) 4. outline of the agreed programme of research (such as the project description in the funding application) and any milestones/reports 5. 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 | Yes, No 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? (ie including a structured programme from induction, through regular reviews, and formal mid and end of probation review meetings?] |  |  |
| 1. Are probation review dates and outcomes recorded in CoreHR 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 | Yes, No | If No, note action required |
| 1. Are requests for [flexible working](https://hr.web.ox.ac.uk/flexible-working) managed in line with University HR guidance, including informal requests and formal requests processed 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 guidance on maternity, adoption, paternity, shared parental and unpaid parental leave?) |  |  |
| 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 One family leave scheme](https://hr.admin.ox.ac.uk/the-day-one-family-leave-scheme): are you aware that wef 1 January 2020 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? |  |  |
| 1. Are you aware of the arrangements 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 CoreHR 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 new 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) 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(iii) 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) including special guidance on running PDR and CDR during the COVID-19 pandemic |  |  | |  |
| 1. Are you aware of the [Focus on People](https://pod.web.ox.ac.uk/focus-on-people) programme and the initiatives which aim to support and develop colleagues in professional services roles? For example, the [professional services mentoring pilot](https://pod.web.ox.ac.uk/professional-services-mentoring-pilot) |  |  | |  |
| 2(iv) 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(v) 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 (vi) Equality Policy | | | |
| Questions | Y/N | If no, note action required | |
| 1. Are you aware of the revised [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(vii) 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(viii) 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. Are you aware of the changes which have been made to the [Grievance Procedure](https://hr.admin.ox.ac.uk/files/grievance-procedure-academic-and-academic-related-staff) for academic/academic–related staff? |  |  | |  |
| 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(ix) 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. Do you record the information in CoreHR (see [Scenario Factsheet: Outside appointments](https://hrsystems.admin.ox.ac.uk/files/scenariofactsheet-outsideappointmentspdf))? |  |  | |  |
| 1. Are requests for **up to 30 days** outside work submitted **in advance** for approval by the head of **department**? And over |  |  | |  |
| 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(x) 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 capture the weekly hours worked for casual workers on the [casual payment submission spreadsheet](https://hrsystems.admin.ox.ac.uk/casual-payment-spreadsheet-online-guide)? |  |  | |  |
| 1. Do you routinely provide the Equality & Diversity data collection forms to new casual workers? |  |  | |  |
| 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(xi) Variation of Duties | | | |  |
| Questions | Y/N | If No, note action required |
| a) Do you ensure that Associate Professors are aware of the [Variation of Duties Scheme?](https://hr.admin.ox.ac.uk/variation-of-duties)  Are you recording buy-outs agreed for Associate Professors, whether under the scheme or not, so that data can be collected for the next three-yearly review of the scheme planned for summer 2021? |  |  |
| 2(xii) 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 teaching staff? |  |  |
| 2(xiii) 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 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 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? |  |  | |  |

# 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 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 ([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 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? |  |  |
| 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. COVID-19

|  |  |  |
| --- | --- | --- |
| Questions | Y/N | If no, note action required |
| 1. If you have [furloughed](https://hr.admin.ox.ac.uk/the-job-retention-scheme) staff, have you ensured that you have a record of the employee/worker’s agreement to be furloughed and that the file will be retained (in case of HMRC audit) for 5 years? |  |  |
| 1. Have you regularly reminded line managers to remain in regular contact with any furloughed staff, as per the [guidance](https://hr.admin.ox.ac.uk/the-job-retention-scheme#collapse1958521)? |  |  |
| 1. Have you ensured that the dates of all periods of furlough have been recorded accurately in Core, as per the [Scenario Factsheet: furloughed employees](https://hrsystems.web.ox.ac.uk/files/scenariofactsheet-furloughemployeespdf)? |  |  |
| 1. Have you made your staff aware of support that is available to them, such as:  * [The Home working and wellbeing website](https://hr.admin.ox.ac.uk/covid-19-resources) * [Employee counselling through Carefirst](https://occupationalhealth.admin.ox.ac.uk/employee-counselling-service) * [Togetherall](https://hr.admin.ox.ac.uk/covid-19-resources#collapse2115586) * [The COVID-19 staff hardship fund](https://hr.admin.ox.ac.uk/staff-covid-19-hardship-fund) |  |  |
| 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)? |  |  |

# 5. 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)

University HR circulars and update emails

Find out more about the mailing list on the [HR Support Website](https://hr.admin.ox.ac.uk/hr-communications#collapse1328981)

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

# This completes the self-assessment checklist

This checklist is for your departmental records, only.