

Message from Julian Duxfield, Director of Human Resources

Each year departments and divisional offices are asked to complete an HR compliance audit and the Personnel Committee is grateful for the co-operation of departments, faculties, and divisions in this annual exercise.

Departments and faculties are now asked to complete the on-line self-assessment questionnaire for 2015.

Divisional offices will be circulated separately for a response in relation to the personnel areas for which they have lead responsibility.

This audit serves two key functions:

- it forms part of the University's risk management framework as a means of ensuring departments/faculties are complying with the policies and procedures set on behalf of Council by the Personnel Committee and Personnel Services.
- the feedback you provide is used to guide the setting of priorities for the work of Personnel Services and to inform work we do throughout the year.

We also hope that departments, especially where administrators have been appointed recently, will find this a useful reminder of good practice.

Over the past year your responses from 2014 have been analysed and reviewed by colleagues in Personnel Services, the Learning Institute and the Equality and Diversity team to inform in a variety of areas of work. The questions in this year's survey are similar to those asked in previous years, but they have been revised and will provide valuable background for a number of projects under development. The questions are oriented around the main elements of the University's People Strategy.

As previously, responses must be made through the Bristol Online Survey Tool via the link below. However, to enable you to consider and collate information before going to the online survey, this PDF version of the questionnaire also includes hyperlinks to policy or background reference material. *(NB Please do not complete the PDF document, it is for reference only)*

Instructions for completing the 2015 self-assessment questionnaire

Once you are ready to complete the online questionnaire, please go to <https://oxford.onlinesurveys.ac.uk/psaudit2015> and follow the instructions.

Please contact Kate Butler (kate.butler@admin.ox.ac.uk tel: 89925) if you have any questions about the questionnaire.

Please complete the questionnaire by close of play on Friday 15 January 2016.

Many thanks for your co-operation.

Julian Duxfield

OPERATIONAL COMPLIANCE WITH CENTRAL HR POLICIES AND PROCEDURES POSITIVE ASSURANCE FORM 2015

1. Division
2. Name of Department
3. Name of Head of Department (or equivalent)
4. Name of Departmental Administrator (or equivalent)
5. Name of HR manager (if different from administrator)
6. Who else in your department deals with personnel administration? (please give names and grades, or state no-one)

People strategy element: recruitment of the best people

7. Recruitment and selection: See [recruitment and selection guidance](#) and [HRIS QRGs](#)

	Yes/No	If No, please say why not
7(a) Is the e-recruitment system used in all recruitment to support staff and academic-related vacancies?		
7(b) Do selection panels always have a gender balance as required in the guidance ?		
7(c) Have all selection panel chairs undergone recruitment training , (or do you ensure that there is at least one trained panel member who is able to advise the chair)?		
7(d) do you ensure that consideration is always given to whether additional pre-employment screening (such as DBS disclosures) are required, and that this requirement is included in the job details to candidates?		
7(e) Are the minimum vacancy statuses (Applied, Shortlisted, and Offer Accepted/Offer Accepted Personnel) updated in the e-recruitment system?		
7(f) Are the University pre-employment health questionnaires produced via CoreHR?		
7(g) Do you ensure that the questionnaire as sent to the candidate is customized so that it does not contain questions which are not relevant to the duties of the job ?		

7(h) Do you need more guidance on selecting the appropriate options in the pre-employment health questionnaire (ie to help you identify relevant workplace hazards?)		
7(i) Do you always email the pre-employment health questionnaire to the prospective employee, as per the new guidance?		
7(j) Do you ensure that University Occupational Health Service clearance is always received before an individual starts work?		
7(k) Do you always take up references for successful job applicants?		
7(l) Where the preferred candidate has previously worked for the University, is a reference always taken up from the most recently employing University department?		
7(m) Where references have not been received before a job offer is made, are job offers always 'subject to receipt of satisfactory references'?		
7(n) Are pre-employment checks recorded in CoreHR?		

8. Right to work- immigration

See: guidance on [Right to work/immigration](#), [requirements for all migrants sponsored under Tier 2 and Tier 5](#), and Personnel Module report [PERDEP41 Work Permit](#)

	Yes/No	Comments
8(a) 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?		
8(b) Are you confident that all relevant staff in your department are aware of and are following the University's Right to Work guidance?		
8(c) Are you aware of the new rules concerning the Right to Work checks required for examiners (if applicable)?		

9. Tier 4 students: Have you employed any staff on Tier 4 student visas in the last 12 months?

Yes/No

9 (a) If Yes, in recording the Right to Work for Tier 4 students are you recording evidence of how many hours the student is permitted to work? [For undergraduate 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.]

Yes/No

9 (b) If Yes, in recording the Right to Work of Tier 4 students are you monitoring how many hours the student is working and ensuring the student completes a Tier 4 Student Employment Declaration form?

Yes/No

10. Right to work - immigration	Yes / No	No current migrants/ staff with limited leave to remain	Comments
10(a) 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?			
10(b) 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?			
10(c) Does the department record all list B employees in CoreHR?			
10(d) Does the department make use of the PERDEP41_work permit report in CoreHR?			
10(e) Does the department fulfill the Home Office's record-keeping and reporting requirements for all migrants sponsored under Tier 2 and Tier 5 of the points based migration system as detailed at http://www.admin.ox.ac.uk/personnel/permits/employresp/			
10(f) Does the department have a mechanism to record annual leave and sick leave of Tier 2 and Tier 5 sponsored migrants?			
10(g) Does the department have a mechanism to report any unauthorised absence of Tier 2 and Tier 5 sponsored migrants of more than 10 days to the Home Office?			

11. Visitors

11. Does your department host **visitors** (i.e. visiting fellows/academic visitors who are independently funded, and are hosted for extended periods of up to a year)?

Yes/No

11(a) If Yes, and you have a formal/published scheme for applications to be submitted for consideration by a departmental panel, please state where information is currently published.

11(b) If Yes, are all visitors required to sign a [visitor agreement](#)?

11(c) If Yes, 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?

12. Interns

Does your department host 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: do not include work experience].

If **Yes**, does the department pay interns by reference to the University's pay and grading structure, in accordance with University [policy](#)?

13. Recruitment difficulties

Are you currently experiencing any problems **recruiting** particular kinds of staff?

13(a) If Yes, please state e.g. grade, types of role, contract term, possible reason

14. Have you had to re-advertise any vacancies over the last 12 months due to lack of suitable applicants?

14(a) If Yes, in what way were applicants unsuitable? (select all that apply):

- Lack of relevant skills
- Lack of relevant experience
- Insufficient applicants
- Other, please describe

15. If candidates have turned down offers, please indicate any known reasons (select all that apply):

- Not applicable (no offers turned down this year)
- Better offer elsewhere
- Travel difficulties
- Salary level
- Availability of housing
- Childcare
- Cost of Visas and/or NHS surcharge

Other, please describe

16. Have you been unable to fill any vacancies this year?

Yes/No

16(a) if Yes, what do you intend to do to fill the vacancy, or otherwise meet this resourcing requirement

17. Are there elements of the recruitment process which cause particular difficulties or put pressure on your resources?

Comments:

18. Agency workers

The University has a legal obligation to disclose to recognised trade unions the same information on agency workers as it does on direct employees, and departments should therefore maintain records of *external* agency workers (i.e. any who have NOT been supplied through the University's own Temporary Staffing Service) in CoreHR. For full information see guidance on [agency workers](#).

Does your department keep records of external agency workers as new starters and as leavers and record changes to their pay on CoreHR?

Yes/No

People strategy element: retention of talent

19. Retention

Over the past year have any staff resigned who you would have wished to retain?

Yes/No

19(a) If Yes, what reasons were given for not wanting to continue working at Oxford (select all that apply)

- Salary level
- Travel difficulties
- Availability of housing
- Childcare
- Workload
- Lack of development opportunity
- Current visa/immigration rules
- Other, please describe

20. Work-life balance

See guidance on [flexible working](#) and [family leave](#) and HRIS QRGs for '[during employment and reward](#)'

Flexible working applications	Number approved (whole or part)	Of which how many were from women?	Number rejected	Of which, how many were from women?	Describe any requests which were NOT for family/ caring reasons
20(a) Support staff: How many formal requests for flexible working have your received in the past 12 months from Support staff? Please enter a numerical value only, e.g. '6'.					
20(b) Support staff: Estimate how many informal requests for flexible working you have received in the past 12 months from Support staff? Please enter a numerical value only, e.g. '6'.					

<p>20(c) Academic-related staff: How many formal requests for flexible working have you received in the past 12 months from Academic-related staff? <i>Please enter a numerical value only, e.g. '6'.</i></p>					
<p>20(d) Academic-related staff: Estimate how many informal requests for flexible working you have received in the past 12 months from Academic-related staff? <i>Please enter a numerical value only, e.g. '6'.</i></p>					

21. Family leave record-keeping: Is all family leave (maternity/paternity/shared-parental/adoption/parental) and flexible working recorded in the CoreHR in line with the relevant process guide?

Yes/No/Not applicable this year

22. Retirement

See: notes and model letters regarding retirement for [support staff](#); guidance and model letters regarding the [EJRA](#).

	Yes	No	N/A this year	Comments
<p>22(a) Support staff: Since the abolition of the retirement age for support staff, is the department writing to members of support staff in good time to inform them of retirement options, as outlined in the procedure?</p>				
<p>22(b) Revised EJRA procedure: is the department following the revised EJRA procedures, including ensuring employment is not offered to applicants who are already over the EJRA?</p>				
<p>22(c) Have you used the revised EJRA procedure pro-formas to notify staff with a 2017 retirement date?</p>				
<p>22(d) Academic-related staff: can you confirm that you have had EJRA approval for any current academic or academic-related employees who</p>				

are over the ERJA?				
22(e) Academic-related staff: are you reminding academic-related staff no later than 2 years before the EJRA is due to be reached.				
22(f) Divisional offices: are you acting in good time to advise academic staff of their Employer Justified Retirement Age (normally no later than 2 years before the EJRA is due to be reached				
22(g) Have you entered details of applications to work beyond the EJRA in CoreHR as per QRG CH27?				
22(h) Do you always set up (approved) extensions as per QRG CH25?				

23. Work-related stress

See: [Policy on the prevention and management of work-related stress](#)

If your department has had to manage any cases of work-related stress in the last 12 months please give details below.

Number of cases involving	Number	Of which how many women?	Comments
23(a) Support staff			
23(b) Academic-related staff			
23(c) Academic staff			

24. Disability

Over the past 12 months have you made any “reasonable adjustments” for disabled staff

YES/NO

If Yes,

Please give number:

Please give details:

People strategy element: people development

Induction

25. Which of the following are covered as part of the departmental induction

Information about health and safety	
Departmental policies (e.g. out of hours/lone working)	
Key University policies (e.g. harassment and bullying, conflict of interest, bribery, computer use, approval to hold outside appointments, smoking, etc)	
Sickness reporting procedure	
Working arrangements (hours, breaks, etc)	
Arrangements for taking annual leave	
Copy of the job description/performance expectations	
Information about how the probation period will be reviewed	
Information about training/career development activities	
Information about family leave/flexible working/etc	
Information about employee benefits and discounts	
Facilities (tour)	
Any visa restrictions/reporting requirements	
Encouragement to use the OLI online induction programme	
Encouragement to use the online E&D training module	
<i>(if appropriate)</i> Encouragement to attend the UAS staff conference	
Information about support for disabled staff /Access to work scheme	
For research staff: Key research-related policies such as academic integrity in research, IP, employment and career development of research staff, etc	
For research staff: Encouragement to attend one of the termly welcome events run by OLI	
For research staff: information about training and development opportunities and support available	
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	
Other (comment)	

26. Is induction recorded in CoreHR in line with the relevant [HRIS quick reference guide](#)?

Yes/No/Not applicable

27. Probation

Are [probationary procedures](#) operated in line with Personnel Services guidance?

Yes/No
Comments

28. In the last 12 months, have any staff had their probation periods extended?

Yes/No
If Yes, give details (number and grades)

29. In the last 12 months, have any contracts have been ended during the probation period?

Yes/No
If Yes, give details (number and grades)

30. Are probation review dates and outcomes recorded in CoreHR in line with the relevant [HRIS quick reference guide](#)?

YES/NO
Comments

31. Personal Development Review (PDR)

See guidance at <http://www.admin.ox.ac.uk/personnel/during/trainingandpdr/>

Are Personal Development Reviews carried out regularly for:	Yes, annually	Yes, but not annually	Not yet introduced	If optional, state% who opt in
31(a) support staff				
31(b) research staff				
31(c) non-research academic-related staff				
31(d) the departmental administrator (or equivalent)				
31(e) academic staff				

32. Please note any general comments about the PDR process (*Optional*)

Comments

Training and development

33. 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?

Yes/No

If No, what support do you need to do so?

34. Does your department keep records of the training received by staff?

Yes/No

Comments

35. Where are the broad training and development priorities for administrative and support staff in your department (please select up to **3** themes)?

- Leadership and management development
- Confidence in communication
- Influencing
- Personal organisation
- Effective PDR
- Equality and diversity issues (including unconscious bias)
- Technical or skills specific to a professional development
- Awareness of University structures, processes or system
- Other (please specify)

If you have any other comments or information that you wish to offer please give details

36. If you have identified leadership and management development as a priority theme for your department, please indicate the staff level(s) involved

- Grades 4-6?
- Grades 6 to 9?
- Grades 10 and above

Comments: if there are specific capabilities that are priorities for development, please indicate here

37. Current training and development.

To what extent (on a scale of 1-5, where 1 signifies 'does not meet' and 5 'meets completely') does the training and development offered within the University meet your department's priorities?

1	2	3	4	5

38. Current training and development (cont'd)

38(a) What, if any, current training provision would you change?

Comments:

38(b) What, if any, current training provision would you stop?

Comments:

38(c) In what areas would additional training provision be most useful?

Comments:

39. Overseas working

Do you have any staff who work (or have worked) overseas for more than 6 months of the year whilst on a current University contract?

Yes/No

40. If, YES please indicate numbers against each of the categories given below? (*Do not include field trips where the total time spent overseas is less than 6 months a year, or attendance at international conferences, or foreign nationals who have been recruited overseas to serve in local research or development centres.*)

	Number	Comments
Staff who work overseas for 6-12 months but who are permanently based in the UK?		
Staff who work overseas for more than 1 year but who are permanently based in the UK?		
Staff who work and are permanently based overseas (Non-UK residents)?		

41. Are you aware of the [new guidance on overseas workers](#)

Yes/No

42. Are you aware of the potential tax and NI implications for staff who work abroad for extended periods [link to new guidance]?

Yes/No

42(a) If Yes, Do you have any mechanisms in place to monitor this?

Yes/No

Comments

43. Is a risk assessment always completed when a member of staff goes overseas for a work purpose [link to new guidance]?

Yes/No

People strategy element: delivering effective HR support across the University

Bullying and Harassment

See: [harassment advice](#) and information about the [harassment advisors' network](#)

44. Please provide the names of the harassment advisor(s) in your department and indicate which staff group they belong to and whether they have been trained:

44(a) Name:	44(b) Name:
Academic/ac-related/support staff	Academic/ac-related/support staff
Trained? YES/NO	Trained? YES/NO

45. Is the University's anti-harassment poster displayed in the department and do you draw the attention of staff and students to the sources of support available?

Yes/No

Comments

46. Has your department managed any cases of alleged bullying and/or harassment **within the department** in the last 12 months?

Yes/No

If Yes,

46(a) State number of cases dealt with through informal means?	
46(b) State number of cases dealt with through formal means?	

47. Have you noticed any trends or issues in relation to harassment that you would like to draw to the attention of Personnel Services and the Equality and Diversity Unit?

Yes/No

Comments

Contracts of employment

48. Do you generate all contracts and other associated documents via CoreHR?

Yes/No

If **No**, please explain why (ie previously not possible as department is HRIS Data Services user)

Comments:

49. Contract expiry and redundancy payments

49(a) Are you following the procedures for [managing and ending fixed term contracts](#)?

Yes/No/No fixed-term contracts
Comments

49(b) Are statutory [redundancy payments](#) always made on expiry of a fixed-term contract to postholders with at least two years' continuous university service?

Yes/No/No fixed-term contracts
Comments

Sickness and other absence

50. Recording absence

	CoreHR	Excel, or similar	Database	Paper form filed on central absence file	Paper form held on individual's file	Other, please describe
50(a) How do you record/monitor sickness absence?						
50(b) How do you record/monitor other absence (i.e. parental, emergency leave, jury service, etc)						

51. Discipline and grievance

	Yes	No	N/A this year	Comments
51(a) Are all departmental disciplinary and grievance cases pursued in line with Personnel Services guidance?				
51(b) Are all cases of poor performance, conduct and capability managed in line with Personnel Services guidance?				
51(c) Have you noted any trends in relation to disciplinary and grievance cases?				

52. Regulations on holding outside appointments (30 day rule)

52(a) As required by [Council Regulation 5 of 2004](#), does your department gather information regarding work outside the University from all employees except those on a CUF contract?

Yes/No/No outside appointments held at present

52(b) If Yes, do you record the information in CoreHR?

Yes/No

52(c) Are requests for more than 30 days outside work submitted in advance for approval by the Head of Division?

Yes/No/No cases to date but we are aware of the requirement

53. Safeguarding children and 'at risk' adults. The University launched a new Safeguarding Code of Practice on 1 October. Does your department run any **activities** involving children and 'at risk' adults (do NOT include apprenticeships, or work experience arrangements for students who are 16-18, or circumstances where children are present, but not participating in a University-run activity of some kind)

Yes/No

53(a) If Yes, please describe (ie outreach, open days, research participants, work experience students under 16 years old, etc)

Comments

53(b) If Yes, have you made those running such activities aware of the new Code of Practice and requirements regarding risk assessment and training?

Yes/No

54. Staff-student relationship policy. Since the University's policy on staff-student relationships was introduced in July 2014, have all relevant staff been made aware of the policy?

Yes/No

55. Policies and demands on departments (Optional)

We are constantly working to review and improve the University’s personnel policies, practices, and support mechanisms to facilitate the resolution of problems, individual cases, and/or the achievement of departmental objectives. Please highlight any areas you currently find problematic, or gaps in our current support and guidance.

Comments

56. Communications

We use a variety of methods to communicate with departmental colleagues about new and changed processes, HRIS deadlines and downtimes, and other events such as briefings. Does at least one key person in your department receive the following (and disseminate relevant information within your department) *tick all that apply*:

- Personnel Services circulars and update emails**
- Staff Immigration team email updates**
- Personnel Services termly newsletters**
- Information about Personnel Services briefing sessions**
- HRIS Bulletin**

57. Any other comments (Optional)

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