

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 self-assessment questionnaire for 2016. (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.

The audit questions are oriented around the main elements of the University's People Strategy. Over the past year your responses from 2015 have been analysed and reviewed by colleagues in Personnel Services, the Learning Institute and the Equality and Diversity team. Most of the questions in this year's survey are similar to those asked in previous years, but they have been reviewed and revised to ensure they remain relevant. Your answers will provide valuable background for a number of projects under development.

As previously, responses must be made via the online questionnaire which can be accessed via the link below. This PDF version of the questionnaire is provided to enable you to consider and collate information before going to the online survey. It 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 2016 self-assessment questionnaire

Once you are ready to complete the online questionnaire, please go to <https://oxford.onlinesurveys.ac.uk/psaudit2016> and follow the instructions.

Please contact Kate Butler (kate.butler@admin.ox.ac.uk tel: 89925) if you have any questions about the questionnaire, or if you would like a copy of your department's submission last year, for reference.

Please complete the questionnaire by close of play on Friday 3 February 2016.

Many thanks for your co-operation.

Julian Duxfield

OPERATIONAL COMPLIANCE WITH CENTRAL HR POLICIES AND PROCEDURES POSITIVE ASSURANCE FORM 2016

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) Do you use the e-recruitment system for all recruitments (other than direct appointments)?		
7(b) Where applications are not made through e-recruitment do you always ensure that form M1 is sent out?		
7(c) Do selection panels always have a gender balance as required by the University guidelines?		
7(d) Do you ensure that all selection panel chairs undergo recruitment training , at least once every 4 years		
7(e) Do you ensure that consideration is always given to whether additional pre-employment screening (such as DBS disclosures) are required, before the role is advertised, and that this requirement is included in the job details for candidates?		
7(f) Are the minimum vacancy statuses (Applied, Shortlisted, and Offer Accepted Personnel) updated in the e-recruitment system? (essential to enable Athena SWAN and equality reporting) See: QRG: REC00		
7(g) Are the University pre-employment health questionnaires produced via CoreHR?		

	Yes/No	If No, please say why not
7(h) Do you ensure that the pre-employment questionnaire as emailed to the candidate is customized so that it does not contain questions which are not relevant to the duties of the job?		
7(i) Is guidance on selecting the appropriate options in the pre-employment health questionnaire (ie to help you identify relevant workplace hazards?) sufficient for you?		
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 at least 2 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 all the pre-employment checks recorded in CoreHR (QRG: PANS0)?		

8. Job descriptions

	Yes/No	Comments
8(a) Do you ensure you are using use the latest job description template when drafting a job description and that any locally-saved templates are updated every time changes to the standard template are published?		
8(b) Do you customize the template for each new recruitment, following the template prompts?		
8(c) Do you use the hazards checklist to identify any specific hazards in the job when writing the job description?		
8(d) Are you aware that there are now 45 generic job descriptions which are available on the Reward website to speed up/simplify the gradings process?		
8(e) Where a generic job description exists for the role you are recruiting to, do you/would you use it?		If yes, indicate the templates you have used

		most frequently
8(f) Based on the currently available generics, are there any additional jobs for which you would like a generic job description to be developed?		

9. Right to work- immigration

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

	Yes/No	Comments
9(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?		
9(b) Have all staff who process Right to Work and immigration matters attended training provided by the Staff Immigration Team?		
9(c) Are you confident that all relevant staff in your department are aware of and are following the University's Right to Work guidance?		
9(d) Are you aware of the rules concerning the Right to Work checks required for examiners (if applicable)?		
9(e) Is the Right to Work data maintained on Core in accordance with QRG: PA10?		

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

Yes/No

10 (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 undergraduates this includes a copy of university term dates and for postgraduates a print-out of the web page stating they are a student year round, and/or a letter from their supervisor stating they are on holiday.]

Yes/No

10 (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

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

12. Visitors: 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

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

Yes/No

12(b) 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?

Yes/No

13. 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].

Yes/No

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

Yes/No/Other (please specify)

14. Recruitment difficulties

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

Yes/No

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

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

Yes/No

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

- | | |
|--|--|
| <input type="checkbox"/> Lack of relevant skills | <input type="checkbox"/> Lack of relevant experience |
| <input type="checkbox"/> Insufficient applicants | <input type="checkbox"/> Other, please describe |

16. Have you used a recruitment agency in the past year to fill a role?

Yes/No

If Yes, please give details (grade, role type, etc)

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

- | | |
|--|--|
| <input type="checkbox"/> N/A (no offers turned down this year) | <input type="checkbox"/> Better offer elsewhere |
| <input type="checkbox"/> Travel difficulties | <input type="checkbox"/> Salary level |
| <input type="checkbox"/> Availability/cost of housing | <input type="checkbox"/> Childcare |
| <input type="checkbox"/> Cost of Visas and/or NHS surcharge | <input type="checkbox"/> The existence of the EJRA at Oxford |

Other, please describe

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

Yes/No

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

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

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

Comments:

20. **Agency Workers:** Does your department keep records of external (ie non-TSS) agency workers as new starters and as leavers and record changes to their pay on CoreHR? (This is required so the University can fulfil its legal obligation to disclose information to the recognised trades unions) For full information see guidance on [agency workers](#).

Yes/No

People strategy element: retention of talent

21. Retention

Over the past year have any staff who you would have wished to retain left the University (don't include those who have moved to another role within the University)?

Yes/No

If Yes, give grade and job type.

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

- | | |
|---|--|
| <input type="checkbox"/> Salary level | <input type="checkbox"/> Travel difficulties |
| <input type="checkbox"/> Availability of housing | <input type="checkbox"/> Childcare |
| <input type="checkbox"/> Workload | <input type="checkbox"/> Lack of development opportunity |
| <input type="checkbox"/> Current immigration rules & visa renewal costs | <input type="checkbox"/> The existence of the EJRA at Oxford |
| <input type="checkbox"/> Other, please describe | |

22. Work-life balance

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

Over the past 12 months how many formal and informal requests for flexible working have you received?

	<i>Please enter a numerical value only, e.g. '6'</i>				
Flexible working applications	No. approved (whole or part)	Of which, no. from women?	No. rejected	Of which, no. from women?	If any requests were NOT for family/ caring reasons, describe reason
22(a) formal requests from <u>support staff</u>?					
22(b) informal requests from <u>support staff</u>? (estimate).					
22(c) formal requests from <u>Academic-related staff</u>?					
22(d) informal requests from <u>Academic-related staff</u>? (estimate)					

23. 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

24. 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
24(a) Support staff: Does the department write to members of support staff to inform them of retirement options, in accordance with the guidance outlined in the procedure (ie every five years from approx. age 55)?				

	Yes	No	N/A this year	Comments
24(b) EJRA procedure: is the department following the revised EJRA procedures , including ensuring employment is not offered to applicants who are already over the EJRA (grades 6 + only)?				
24(c) Do you remind all academic-related staff of their EJRA two years before it is reached?				
24(d) Can you confirm that you have had EJRA approval for any current academic or academic-related employees who are over the ERJA and still employed?				
24(e) Have you entered details of applications to work beyond the EJRA in CoreHR as per QRG CH27?				
24(f) Do you always set up (approved) extensions, as new fixed-term appointments, as per QRG CH25?				

25. 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?	how were	Comments
25(a) Support staff				
25(b) Academic-related staff				
25(c) Academic staff				

26. Disability

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

<p>YES/NO</p> <p>If Yes, please give number:</p> <p>If Yes, please give details:</p>
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People strategy element: people development

27. Induction : 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. conflict of interest, harassment, 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	
Information about the recognised trades unions	
Facilities (tour)	
Any visa restrictions/reporting requirements	
Encouragement to use the OLI online induction programme	
Encouragement to use the online E&D briefing	
<i>(if appropriate)</i> Policy on staff student relationships	
<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 the termly welcome event 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	

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

Yes/No/Not applicable

29. Probation

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

Yes/No

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

Yes/No

If Yes, give details (number and grades)

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

Yes/No

If Yes, give details (number and grades)

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

YES/NO

Comments

33. 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
33(a) support staff				
33(b) research staff				
33(c) non-research academic-related staff				
33(d) the departmental administrator (or equivalent)				
33(e) academic staff				

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

Comments

Training and development

35. 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?

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

Yes/No

37. 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 detail

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

- Grades 4-5?
- Grades 6 to 9?
- Grades 10 and above

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

39. 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

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

Comments:

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

Comments:

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

Comments:

People strategy element: delivering effective HR support across the University

41. 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

42. If you answered YES to question 41, 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 (UK residents)?		
Staff who work and are permanently based overseas (Non-UK residents)?		

43. Do you follow the [guidance on overseas workers](#)?

Yes/No

44. Are you aware of the potential tax and NI (and/or social security) implications for staff who work abroad for extended periods?

Yes/No

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

Yes/No

Comments

45. Is a risk assessment always completed when a member of staff goes overseas for a work purpose?

Yes/No

Bullying and Harassment

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

46. Please provide the names of the harassment advisor(s) in your department and indicate which staff group they belong to and whether they have attended training provided by the Equality and Diversity Unit (NB online form includes space for details of up to 10 advisors)

46(a) Name:

Academic/ac-related/support staff

Trained? YES/NO

44(b) Name:

Academic/ac-related/support staff

Trained? YES/NO

47. How does your department communicate your expectations of staff conduct and that bullying and harassment will not be tolerated?

Comments

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

Yes/No

48(a) If Yes, state number of cases dealt with through **informal** means?

48(b) If Yes, state number of cases dealt with through **formal** means?

49. 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

If Yes, comments

Contracts of employment

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

Yes/No

If No, please explain why

Comments:

51. Contract expiry and redundancy payments

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

Yes/No/No fixed-term contracts

Comments

51(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

52 Recording absence

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

53. For which groups do you monitor sickness absence?:

- Support
- Academic-related
- Academic
- Research

54. Discipline and grievance

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

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

55(a) As required by [Council Regulation 5 of 2004](#), does your department gather information regarding work outside the University from all academic and academic-related employees except Associate Professors who have colleges as their main employer?

Yes/No

55(b) If Yes, are you aware of the requirement to record the information in CoreHR, and the new UDF?

Yes/No

55(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

55(d) Will your department ask Associate Professors who have colleges as their main employer to declare any outside appointments, in order to provide a complete record of external consultancies provided by Oxford academics?

Yes/No/No APs with college main employer

56. Safeguarding children and 'at risk' adults. 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

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

Comments

56(b) If **Yes**, have you made those running such activities aware of the Code of Practice on Safeguarding and requirements regarding risk assessment, etc?

Yes/No

57. 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

58. 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**

59. Any other comments (*Optional*)

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