

HR

HR processes relevant to all staff

HR SYSTEMS

The University's principal HR Information System (HRIS) is CoreHR, which you will need to use for recruitment exercises as well as to ensure staff are being paid appropriately and from appropriate sources. Information about the Core is available [on the University website](#).

RECRUITMENT

The [recruitment section of the Personnel Services website](#) provides detailed and up-to-date guidance on recruitment and selection. Posts must be advertised using the latest [job description template](#).

Recruitment good practice – including guidance on selection committee composition and training and reviewing and refining further particulars – is covered in the divisional Equality & Diversity Guidance currently being produced (please speak to the [Planning & Projects Team](#)).

DIVISIONAL RECRUITMENT PROTOCOL

If your department is in financial deficit or has been identified as at risk of being so, you will need to complete a recruitment proposal form for all refills, extensions and new posts.

All other departments should complete a recruitment proposal form for any new post, refill or extension that was not included in the divisionally-agreed departmental budget plan at the same grade and FTE.

The University introduced an **FTE control for non-academic, departmentally-funded staff** in 2015/16. More information is provided below.

Key points:

- **An example departmental recruitment proposal is appended**
- **Recruitment proposal forms can be requested from the [Academic Appointments Team](#)**
- **Statutory Professors are excluded from the above process for all departments. Please contact the Academic Appointments Team for advice on the process for follow to refill, extend or create a new Statutory Professorship**

EMPLOYMENT CONTRACTS FOR NEW STARTERS

The University provides standard contract templates which must be used. Information, guidance and the templates themselves are available [here](#) (you will need log in details to access the templates – contact personnel.services@admin.ox.ac.uk).

HR processes relevant to staff in Grades 1-10 (including Researchers & Departmental Lecturers)

GRADING PROCEDURES

University staff in grades 1 to 10 are employed on incremental pay scales. New staff are usually appointed to the bottom of the grade for their role, and progress through the grade by annual increments. Roles that have been graded 1 to 5 are often referred to as support staff roles, while those graded at 6 and above are generally referred to as academic-related posts. Different terms and conditions apply to these two staff groups (see [staff handbooks](#)).

The appropriate grade for a post must be determined before the post is advertised. When you set up a post in the HR system, it will be automatically submitted for grading approval. [Full information about the recruitment process](#) is available, or you may wish to read about the [Grading procedure](#).

The University also provides information on [grade and category descriptions](#), as well as some [generic job descriptions](#).

REGRADING PROCEDURES

The regrading procedure is applicable to staff occupying an existing post. The request to regrade a post may arise either from the department or from an individual where they feel that changes in the role are sufficient to require a review of the grade.

Key points:

- **Regrading applications can be submitted at any time in the year**
- **You need to submit:**
 - (a) an up-to-date job description for the role**
 - (b) an organisational chart for the department**
 - (c) a completed regrading form, which includes sections providing departmental comments and key reasons for the requested regrading**

Applications are normally completed within 10 working days unless additional information is required. Personnel Services provides information on [regrading procedures for staff in post](#) as well as information on [restructuring a team](#): in a restructure, it may be more appropriate for a regrading to be treated as an internal move to a new post rather than a typical regrade. For advice on regrading, contact reward@admin.ox.ac.uk. For advice on regrading staff members as part of a restructure, contact [Sarah Kilgour](#), Reward Manager – though please note you should discuss the principles underpinning the restructure with the division before contacting Sarah.

INDUCTION AND PROBATION

You are expected to oversee and ensure the training and induction of new starters, although in practice it may be another member of the departmental team who does this in person. The University's Oxford Learning Institute has [some useful guidance and resources to help you manage induction](#).

The purpose of the probationary period is to ensure that a new employee is able to gain a full understanding of the requirements of the post and achieve a satisfactory level of performance, within a reasonable period of time. It is also intended to help identify any training and support that is needed for the employee. Probationary periods are specified in contracts when an employee joins the University and should be incorporated into the overall ongoing personal development review process. In order to ensure good record keeping and maintain accuracy of employees' records, it is advisable to record key details, including a written record of any [discussions and reviews](#) that take place. Further guidance on managing probation is available on the [Personnel Services website](#).

PERSONAL DEVELOPMENT REVIEW (PDR)

The University runs a Personal Development Review (PDR) scheme for all support and academic-related staff. ('Academic-related' covers all staff in Grades 6-10, including Researchers and Departmental Lecturers.) [Guidance notes and a handbook for reviewers](#) are available; it is expected that review meetings will take place annually, and, although we recognise that many departments have not fully implemented this scheme for Researchers and Departmental Lecturers, we would fully

encourage you to extend the process to them. We are currently working to provide a PDR template for use across the division; for more information, please contact the [Planning & Projects Team](#).

REWARD AND RECOGNITION SCHEME

This is the process by which staff working in Grades 1-10 and with more than 6 months' service are considered for formal recognition of exceptional contributions during the past year. This includes all academic and research staff appointed on academic-related contracts (usually Departmental Lecturers, Postdoctoral Researchers, and similar posts). The scheme has two elements:

- **Awards for Excellence:** an annual gathered field review at departmental level, which awards incremental payments within a simplified framework. This exercise should be run in Hilary term
- a **Recognition Scheme:** this enables smaller, more timely awards (£200 before tax in all cases) to be made at any time of the year at departmental level to recognise one-off, outstanding contributions.

All departments are expected to run the scheme, which is operated at departmental level. [Full information, template forms and guidance](#) are available.

MANAGING AND ENDING FIXED-TERM CONTRACTS

All departments, and particularly those with significant research portfolios, will have a number of staff on fixed-term contracts. This can include administrative staff, but will particularly be research staff and in some cases academic staff (Departmental Lecturers) who are covering teaching for a member of permanent academic staff whose time is being given to externally-funded research.

Responsibility for managing the employee lifecycle for fixed-term contract academic and research staff falls wholly to the department (notwithstanding that, for departments in financial deficit or which are considered to be financially 'at risk', the same recruitment protocol procedures must be followed as for professional and support staff, as detailed above).

The University has established clear [guidance on the use of fixed-term contracts](#), which must be followed. If you would like further advice or to discuss a particular case in more detail, please contact the HR Business Partner team.

The division is in the process of developing guidance on the annual review of those on fixed-term contracts and the use of career reviews (for example, when a contract extension is requested). For more information, please contact the [Planning & Projects Team](#).

The University has developed a [Code of Practice for the Employment and Development of Research Staff](#), which includes guidance on recruitment and selection; induction and career development support; pay; and conditions of service.

Professional and support staff

STAFF MANAGEMENT

Depending on the size of your department, you may have formal line management responsibility for all or the majority of the administrative team, or you may have formal line management responsibility only for departmental 'team leaders'. Whichever is the case, as Head of Administration, you have overall responsibility for managing the administrative team, including for ensuring that people feel they are treated consistently and equally, and for any HR issues that arise. You are also responsible for keeping right to work documentation on file for all departmental staff (including academic and research staff employed by the department). Information about matters

pertaining to Staff Immigration is available from the Staff Immigration Team:
<https://www.admin.ox.ac.uk/personnel/permits/>.

The division's HR Business Partner team provide support in the area of staff management. They are happy to meet with you on a regular basis, and we would encourage you to contact them at any point when you need advice. (Names of key contacts are provided in the table at the end of this document.)

With varying degrees of involvement from others in the department, you are responsible for drafting job descriptions for grading and advertising, recruitment, appointment, payroll details, induction and training, coaching and advising, review of probationary period and appraisal, holidays, absences, merit review, reviews of grades, health and safety, accidents at work, discipline, complaints, redeployment, etc. For these purposes, you should keep a file for each member of staff. You should maintain the same processes, and basic information on file, for all administrative staff regardless of their line of report.

There should be an organisational chart for your department which should be kept up to date. There are usually two versions of this – one with grades/salaries and one without.

Key points:

- **Contact the HR Business Partner team if you need advice on an HR issue**
- **Keep a file for each member of staff, containing a copy of their contract, any subsequent written correspondence pertaining to their duties or working hours, any training records, records of absence, work-related health matters, or other issues that may arise of relevance to their working life**
- **Ensure there is an organisational chart for your department**

HOLIDAYS AND OTHER FORMS OF LEAVE

It is your responsibility to ensure that accurate records for professional and support staff are kept on personal leave allowances and leave taken; sick leave; parental leave; and other absences. There are, however, few formal reporting requirements to the University. The important few are sick leave (which, beyond the first 4 months, should be reported to Payroll), maternity/paternity leave (which should be reported to Payroll in advance) and accident report forms (which should be managed in accordance with [University Health and Safety guidelines](#)).

Details of [long-service leave](#) and [how to calculate leave for part-time staff](#) are available online.

TRAINING AND CAREER DEVELOPMENT

We would ask you to permit staff time to attend courses to enhance their professional development, even where the course content is not directly related to their areas of responsibility. The University has a new [Guide to Staff Development](#) with information on training and personal development opportunities available to professional and support staff in the University.

FTE CONTROL FOR NON-ACADEMIC STAFF

In 2016, the University introduced an FTE control for non-academic, departmentally-funded staff. This means that all departments agreed a 'budget FTE' for the 2016/17 budget which they are not permitted to exceed without permission from the division.

Please contact the [Divisional Finance Team](#) if you are unable to ascertain your departmental budget FTE for 2016/17. You should raise any issues arising from the budget FTE with the Divisional Secretary.

Permanent academic staff

All holders of permanent academic posts at Oxford undertake both teaching and research, and all have a formal association with a college. Further information about [the collegiate system at Oxford](#) is available.

ASSOCIATE PROFESSORSHIPS

This is the main academic grade at Oxford, roughly equivalent to an Associate Professorship in the US or a Senior Lectureship at other UK HEIs.

Associate Professors (APs) are appointed for an initial period of up to five years, at the end of which a review takes place with a view to reappointment to the retiring age. This is known as the Initial Period of Office (IPO). APs are divisional appointments, and the division and department work together – and alongside the colleges – in appointing candidates and managing their IPO.

Appointments are formally approved by the division, which also issues contracts of employment, and approves the satisfactory completion of the IPO and reappointment to the retirement age.

There are three basic types of Associate Professorship:

1. Associate Professorships with a Tutorial Fellowship – University: [Grade 10a \(30S\)](#)

- undertakes (Undergraduate) tutorial teaching for the college as well as departmental teaching
- receives a salary from the department and from the college
- the department pays the greater proportion of salary (around 84%).

2. Associate Professorship with Tutorial Fellowship – College: [Grade 10a \(39S\)](#)

- undertakes (Undergraduate) tutorial teaching for the college as well as departmental teaching
- receives a salary from the department and from the college
- the college pays the greater proportion of salary (around 60%).

3. Associate Professorship with Non-Tutorial Fellowship: [Grade 10a \(36S\)](#)

- undertakes departmental teaching but is not in addition required to undertake tutorial teaching, either because the college does not admit Undergraduates or because there is no Undergraduate teaching in their particular subject
- receives a salary from the department only.

Detailed information on recruitment and appointment of Associate Professors is available [on SharePoint](#) (Single Sign-On is required; for access, please contact the [Academic Appointments Team](#))

INITIAL PERIOD OF OFFICE (IPO)

All Associate Professors are appointed for an initial period of five years. An interim review must be held towards the end of the second year of the appointment at which an assessment of the individual's performance must be made and considered by the department; warnings about unsatisfactory progress should be given where appropriate and remedial action taken if necessary. The individual's college should be consulted as part of this process. In exceptional cases, a Head of Department may make a case to the division for a shorter IPO, either at the appointment stage or at any subsequent point during the IPO. The criteria to be satisfied at the end of a shorter IPO are the

same as for a 5-year IPO. Where the achievements of an AP in the IPO have been affected by maternity leave, sickness absence, a period of special leave, etc., the department and AP should discuss whether it is in the best interests of the AP for a decision on reappointment to be made on the normal timescale or whether the IPO should be extended.

The details of the review procedure and the criteria to be satisfied for reappointment to the retiring age are set out in each department's *Notes of Guidance for New Associate Professors*. APs must be assessed against the version of the Guidance Notes issued to them by the department on appointment.

At the start of the final year of the IPO, a full review of performance during the whole period should also be undertaken (this should not be based wholly or even mainly on the initial-stage review). For this purpose, the below process is followed:

1. The division will ask the individual to produce a formal report on their IPO.
2. Either the division or the department (contact the divisional Academic Appointments team for advice) will arrange for one or more academic colleagues personally to witness and report in writing on the teaching competence of the individual.
3. The department must identify a small number of assessors to consider and make a recommendation on the question of reappointment to the retiring age. The department makes the individual's report available to the assessors for consideration as part of this process. The assessors may also request further information from the individual beyond that contained in his or her report (e.g. evidence of unpublished work).
4. References from at least three external and independent referees should be sought. Referees should be sent details of the AP's research publications together with the relevant extract from the Notes of Guidance.
5. The assessors should meet with the individual to discuss his or her progress and experience during the IPO, and must also consult with the relevant college.
6. The Head of Department will arrange for the report of the assessors and all supporting documentation to be considered by the relevant departmental committee.
7. The department must submit a written report, incorporating the written testimony on teaching competence, for transmission to the Divisional Board along with the individual's report. This report should:
 - be evaluative/qualitative
 - refer explicitly to the definition of research achievement, teaching competence and any other criteria, as set out in the department's Notes of Guidance for New Associate Professors
 - compare the individual's progress in advanced study or research, and publications, with what might normally be expected from someone in the IPO in the subject area, and for whom reappointment is appropriate
 - contain a report on departmental duties from the Head of Department, where applicable

- include a specific recommendation about whether the AP has reached an appropriate standard for reappointment to the retiring age.

Evidence of substantial progress in research and of lecturing competence are prerequisites for reappointment to the retiring age. **Each department has its own guidelines on what constitutes adequate progress in research to justify reappointment to the retiring age, and these should be made clear to individuals on appointment, to those conducting the initial-stage review, and to review committees/assessors.**

Full [information about the IPO](#) is available.

STATUTORY PROFESSORSHIPS

This is the most senior academic grade at Oxford, equivalent to full Professor in the US. Professors (also known as 'Chairs') are expected to take an academic leadership role within their department as well as more widely in the University and beyond. They usually concentrate on teaching graduate students but may give undergraduate lectures as well. They are always associated with a college but do not hold a tutorial fellowship, and 100% of their salary is paid by the department. The majority of professorships are statutory, meaning that they are established in the [University Regulations](#).

To request a new Statutory Professorship (SP) or a refill of an existing SP, you will need to complete a Professorial recruitment form and complete a business case. Please contact the [Academic Appointments Team](#) for advice on the process and a copy of the forms, and the [Divisional Financial Controller](#) for advice on the business case.

Statutory professors are eligible to apply in the Professorial Distinction Awards exercises which are run periodically (see below).

SENIOR APPOINTMENTS PANEL (SAP)

The Senior Appointments Panel is chaired by the VC, and advises on:

- the *ad hoc* conferment of titles of distinction
- super-scale payments to Associate Professors for recruitment and retention purposes
- additional payments to substantive Readers¹ and Professors for retention purposes
- the creation, grading and salaries for senior administrative posts (ALC6) and senior research posts (RSIV) and the appointment of individuals to such posts without advertisement.

Cases to SAP must be submitted via the division and should include all the information set out in the template SAP case appended to this Handbook. Full information about [the SAP and its procedures](#) is available online.

Permanent research staff

RSIV

RSIVs are senior and often very distinguished researchers, many of whom have the title of Professor. Appointments to the grade, as noted above, can only be approved by the University's Senior Appointments Panel.

RSIV appointments are academic-related and the standard academic-related contract template should be used. The only difference is that none of the standard salary paragraphs apply since there

¹ Some academic staff hold readership posts at an intermediate level between that of full professor and associate professor. No new appointments are being made to readerships. In addition, some staff hold the *title* of reader but this title is no longer available for new conferrals.

is no incremental scale but instead a personal salary is applied. More information is provided on the [University's website](#).

Career development for permanent academic and research staff

There is no 'career ladder' as such for these staff at Oxford, but there are a number of exercises – some of the annual and others periodic – through which excellence can be recognised and through which, in some cases, an additional financial allowance can be granted. In addition, workload considerations are increasingly important to career development and progression for academic staff in particular, and a number of departments are in the process of developing academic workload models. For more information, please contact the [Assistant Registrar \(Strategic Planning & Resources\)](#).

PROFESSORIAL DISTINCTION AWARDS (PDA)

- held periodically to determine pay awards to Statutory Professors, Associate Professors with the title of Professor and Readers
- academic distinction in terms of research record is the primary criterion
- applications are submitted directly to the division (via CoreHR)
- there is a range of award levels, from c. £3.5k to c. £78k, as detailed on the [Personnel Services website](#).

RECOGNITION OF DISTINCTION EXERCISE

- an annual exercise through which full Professor title is awarded
- all those employed by the University in academic or senior research roles are eligible to apply, as are others who are making a significant and sustained academic contribution to the University
- criteria in research, teaching and citizenship apply, and research distinction must be at least equal to that expected of those appointed to full professorships at other leading international research universities
- applications are submitted directly to the division (via CoreHR)
- the Division holds a briefing event for potential applicants when the annual round is opening, and this is publicized through departments.

CONFIRMATION OF AP TITLE

- held annually in April
- for those staff on grades 9 and 10 (or equivalent to those grades in the case of individuals who are not university employees) whose role is comparable to an Associate Professor
- applications are submitted directly to the division.

AWARD OF TITLE OF PROFESSOR (OTHER THAN THROUGH ROD EXERCISES)

- periodic exercises are run, but titles can also be awarded by a panel chaired by the Senior Appointments Panel as cases arise on recruitment or on grounds of retention.
- the award of the title does not change the post or duties of the holder, but is a means of recognising academic distinction.

RSIV PERIODIC REVIEW

- co-ordinated by the central University in consultation with Heads of Division.

Employer Justified Retirement Age (EJRA)

The University operates an Employer Justified Retirement Age for all academic and academic-related staff of 30 September before the 68th birthday. The EJRA is intended as a means of supporting a number of aims, including refreshing the workforce to sustain Oxford's position on the international

stage, maintaining opportunities for career progression across the generations, and promoting equality and diversity.

The EJRA has been in place since 2011, and in 2014/15 some revisions to its Aims and Procedure were undertaken in response to issues raised and in light of developing case law. A review of the EJRA is now underway, due to report in 2017.

You should write to departmental academic-related staff two years ahead of their EJRA to remind them of their normal retirement date and of the process for requesting continuation in employment beyond that date. The division is responsible for writing to academic staff (APs and SPs). Guidance on cases for extension beyond the EJRA is available on the [Personnel Services EJRA webpages](#).

If issues related to the EJRA arise in your department, please speak to the HR Business Partner team.

Visiting Professorships

Departments may propose to the division that individuals should be considered to be Visiting Professors for a finite period of time, usually up to three years. Individuals nominated to the appointment of Visiting Professor will usually be outstanding in their field, with an established record and reputation.

Proposals should be put to Divisional Board, which meets in Weeks 2 and 7 of each term, and should comprise a letter of recommendation from the Head of Department, setting out the case for appointment and departmental support, and a copy of the individual's CV. A template Visiting Professorship proposal is appended.

Casual staff

Casual staff will often be paid via casual payroll and will not hold formally-graded posts. [Full information and guidance on engaging casual workers, including a template casual letter of engagement](#), is available.