

## TEMPLATE 3 – OTM-R Checklist

Case number: 2019SE444623

Name Organisation under review: Umeå University

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### OTM-R Checklist

A specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment (OTM-R). Please report on the status of achievement, also detail on the indicators and the form of measurement used.

<b>OTM-R checklist for organisations</b>					
	<b>Open</b>	<b>Trans- parent</b>	<b>Merit- based</b>	<b>Answer: ++ Yes, <i>completely</i> +/-Yes, <i>substantially</i> -/+ Yes, <i>partially</i> -- No</b>	<b>*Suggested indicators (or form of measurement)</b>
<b>OTM-R system</b>					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	++	Umeå University follows the national legislation governing the recruitment process. The overall OTM-R policies are included in several published documents, including the Umeå University Vision document, the Umeå University Equal Access Policy, rules pertaining to the recruitment process when appointing teachers, and in particular, the Appointments Procedure for Teachers at Umeå

					<p>University. These documents are available on the website, for internal as well as for external applicants.</p> <p>English version of the Appointments procedure: <a href="https://www.aurora.umu.se/globalassets/dokument/universitetsforvaltningen/personalheten/regler-och-riktlinjer/vid-anstallning/appointments-procedure-for-teachers-at-umea-university-reg-no-1.1-1672-18-from-1-july-2019.pdf">https://www.aurora.umu.se/globalassets/dokument/universitetsforvaltningen/personalheten/regler-och-riktlinjer/vid-anstallning/appointments-procedure-for-teachers-at-umea-university-reg-no-1.1-1672-18-from-1-july-2019.pdf</a></p> <p>Swedish version of the Appointments procedure: <a href="https://www.umu.se/globalassets/fristaende-webbar/regelverk/personal-lika-villkor-och-arbetsmiljo/anstallningsordning-dnr-fs-1.1-1672--18-fran-2019-07-01.pdf">https://www.umu.se/globalassets/fristaende-webbar/regelverk/personal-lika-villkor-och-arbetsmiljo/anstallningsordning-dnr-fs-1.1-1672--18-fran-2019-07-01.pdf</a></p> <p>Admission regulations for doctoral students: <a href="https://www.umu.se/globalassets/fristaende-webbar/regelverk/engelska/doctoral-educationthird-cycle-education/e6--admission-regulations-for-doctoral-education-at-umea-university-fs-1.1-243-18_190611.pdf">https://www.umu.se/globalassets/fristaende-webbar/regelverk/engelska/doctoral-educationthird-cycle-education/e6--admission-regulations-for-doctoral-education-at-umea-university-fs-1.1-243-18_190611.pdf</a></p>
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	++	<p>The Appointments procedure valid from July 1, 2019 (see above) contains provisions in combination with the UmU rules for the recruitment process for teachers (<a href="https://www.umu.se/globalassets/fristaende-webbar/regelverk/personal-lika-villkor-och-arbetsmiljo/129---regel---rekryteringsprocess-vid-anstallning-av-larare-fs-1.1-230-18.pdf">https://www.umu.se/globalassets/fristaende-webbar/regelverk/personal-lika-villkor-och-arbetsmiljo/129---regel---rekryteringsprocess-vid-anstallning-av-larare-fs-1.1-230-18.pdf</a>). Each faculty specifies recruitment procedures for different positions. These procedures are available on the intranet* of each faculty and are regularly updated.</p> <p>Faculty of Arts: <a href="https://www.aurora.umu.se/enheter/humfak/personalfragor/">https://www.aurora.umu.se/enheter/humfak/personalfragor/</a></p>

					<p>Faculty of Medicine:  <a href="https://www.aurora.umu.se/en/units/faculty-of-medicine/human-resources/academic-positions-and-docentship/">https://www.aurora.umu.se/en/units/faculty-of-medicine/human-resources/academic-positions-and-docentship/</a></p> <p>Faculty of Social Sciences:  <a href="https://www.aurora.umu.se/enheter/samfak/personalinstallning/lararinstallningar/handlaggningsordning-for-lararinstallningar/">https://www.aurora.umu.se/enheter/samfak/personalinstallning/lararinstallningar/handlaggningsordning-for-lararinstallningar/</a></p> <p>Faculty of Science and Technology:  <a href="https://www.aurora.umu.se/en/units/scitech/staff-issues/">https://www.aurora.umu.se/en/units/scitech/staff-issues/</a></p> <p>*Intranet pages providing general instructions and policies are accessible to the public.</p>
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	+/-	<p>The four faculty level selection / appointment panels all conduct relevant training activities, but these could be more systematic (see principle 14 in the gap-analysis). Programmes on leadership and on research leadership contain recruitment training, for instance relevant for department level recruitment of doctoral students and postdoctoral fellows.</p> <p>Measurements: the existence and timing of compulsory training programmes (when new faculty appointment panels commence their work), the existence of training activities for individuals participating in recruitment processes at department level; and, participation in training activities.</p>
4. Do we make (sufficient) use of e-recruitment tools?	x	x		++	<p>A web-based tool (presently Varbi) is used for all the stages of the recruitment process.</p>

5. Do we have a quality control system for OTM-R in place?	x	x	x	++	<p>Yes, via checkpoints, reporting and follow-ups. Checkpoints: all recruitment processes follows a set procedure, and contain checkpoints (varying depending on the position with the most strict procedures for positions as professor) relating to the decision to announce a position, formulating the advertisement, selection and formal appointment decision. Recruitment should also be in line with the department's competence provision plan.</p> <p>Reporting: the Umeå University annual report includes follow-ups on competence provision targets.</p> <p>Follow-up: the Umeå University Internal Audit Office.</p>
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	+/-	<p>Measurement used: the trend in the share of international applicants and the trend in the share of applicants from outside the organisation. International applicants = applicants with a postal address abroad at the time of applying. The share of international applicants has been and will continue to be included in the annual report. The measurement trend in the share of applicants from outside the organisation will be reintroduced in the annual report for 2020. Career positions such as postdoctoral fellow and assistant professor will be included in the annual report for 2020.</p>
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	+/-	<p>Measurement used: the trend in the share of international applicants is included in the annual report. International applications for the position as professor and associate professor showed an increase in the period 2017-2020. Career positions such as postdoctoral fellow and assistant professor will be included in the annual report for 2020.</p>

8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	+/-	Measurement used: the trend in the share of applicants (and appointments) from underrepresented groups (women) for different positions is included in the annual report. Career positions such as postdoctoral fellow and assistant professor will be included in the annual report for 2020.
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	+/-	Measurement used: the trend in the share of international applicants is included in the annual report. The measurement trend in the share of applicants from outside the organisation will be reintroduced in the annual report for 2020. Career positions such as postdoctoral fellow and assistant professor will be included in the annual report for 2020.
10. Do we have means to monitor whether the most suitable researchers apply?				+/-	A coherent approach to follow-up needs to be developed (see also item 23). In three out of four faculties, a statement on the potential to recruit eligible applicants is required, as part of the process to allow the advertisement of an open-ended position.
<b>Advertising and application phase</b>					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		++	There are guidelines for how to advertise positions.
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit?	x	x		+/-	Links are typically available, with the exception of career opportunities. Information on career opportunities is under development.
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		+/-	The use of EURAXESS differs between faculties and disciplines, and improvements are possible. Indicators used: the trend in the share of international applicants is included in the annual report; the number of advertisements submitted to EURAXESS (followed up every six months); and, the number of EURAXESS training activities conducted.

14. Do we make use of other job advertising tools?	x	x		++	We use a number of international and national job advertising tools, often discipline-specific, to target the relevant applicants for the position.
15. Do we keep the administrative burden to a minimum for the candidate?	x			++	All applicants will be reviewed, and we ask for the material needed to make the eligibility assessment and to make a ranking of eligible applicants based on the assessment criteria. All material can be uploaded electronically (with the exception of some books and book chapters).
<b>Selection and evaluation phase</b>					
16. Do we have clear rules governing the appointment of selection committees?		x	x	++	<p>The appointment of selection committees (appointment panels) at the faculty level is regulated, among other things stating that the gender balance should be equal (Umeå University rules for the recruitment process for teachers: <a href="https://www.umu.se/globalassets/fristaende-webbar/regelverk/personal-lika-villkor-och-arbetsmiljo/129---regel---rekryteringsprocess-vid-anstallning-av-larare-fs-1.1-230-18.pdf">https://www.umu.se/globalassets/fristaende-webbar/regelverk/personal-lika-villkor-och-arbetsmiljo/129---regel---rekryteringsprocess-vid-anstallning-av-larare-fs-1.1-230-18.pdf</a>). The panels are chosen for a four-year period and the faculty board decides their composition. In addition, students have the right to appoint a representative. The present composition of a committee/panel is available on the external website or the intranet of each faculty.</p> <p>The selection of recruitment committees/panels (providing supporting activities in the process) at department level is also regulated through the Umeå University rules for the recruitment process for teachers. Such committees/panels are generally assembled for each individual recruitment, and shall whenever possible have equal representation of men and women.</p> <p>Appointment/selection committees/panels at the department level (applicable for postdoctoral</p>

					fellows and doctoral students) should also have equal representation of men and women.
17. Do we have clear rules concerning the composition of selection committees?		x	x	++	Written guidelines, see item 16 above.
18. Are the committees sufficiently gender-balanced?		x	x	++	There is always a gender-balance in the appointment panels at faculty level (hence statistics are not kept), when feasible at departmental level. (There are no statistics regarding departmental level panels.)
19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected?			x	++	Written guidelines are available at each faculty and these guidelines are submitted to any external evaluators appointed.
<b>Appointment phase</b>					
20. Do we inform all applicants at the end of the selection process?		x		++	Yes. (An exception may occur in very prolonged processes where the rules for deleting applications after a given period take precedence).
21. Do we provide adequate feedback to interviewees?		x		++	Applicants receive a decision and can ask for their full external review for the positions where such reviews are available. Applicants who have been called to an interview typically receive oral feedback or feedback via e-mail/Varbi.
22. Do we have an appropriate complaints mechanism in place?		x		++	There is a complaints process where appeals are sent to the higher education institution responsible, which may revise the decision. If the decision is not revised, the higher education institution submits it to the national <a href="https://www.onh.se/in-english.html">Higher Education Appeals Board (https://www.onh.se/in-english.html)</a> . Applicants receive information about the possibility to appeal with the appointment decision. Information about the appeals process is also available on the Umeå University website ( <a href="https://www.umu.se/en/work-with-us/appeals/">https://www.umu.se/en/work-with-us/appeals/</a> ). The grounds for appeal are listed in the Higher Education Ordinance (SFS 1993:100), Ch. 12, section 2.

Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				+/-	<p>Assessment is made through:</p> <ul style="list-style-type: none"> <li>- Reporting: the Umeå University annual report includes follow-ups on competence provision targets based on data provided by the Human Resources Office.</li> <li>- Follow-up: the Umeå University Internal Audit Office.</li> <li>- Follow-up: recurring reflection on experiences of recruitment processes can be included in the work description of appointment panels. Similar follow-up can be completed at department level.</li> </ul>