TEMPLATE 3 – OTM-R Checklist

Case number: 2021SE601702

Name Organisation under review: SLU (Swedish University of Agricultural Sciences), Sweden

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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.

OTM-R checklist for organisations					
	Open	**Trans-parent**	**Merit-based**	**Answer:** **++ Yes, *completely*** ***+/-Yes,*** ***substantially*** ***-/+ Yes, partially*** ***-- No***	***Suggested indicators (or form of measurement)**
OTM-R system					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	+/-	The below mentioned documents follow the principles of OTM-R, but are not explicitly named "OTM-R-policy". A revision of the Appointment procedures for teachers at SLU is ongoing and a new version, clearly stating OTM-R principles compliant with Charter & Code, will be valid from 2022-01-01.

					Appointment procedures for teachers at SLU: https://internt.slu.se/en/support-services/administrative-support/human-resources/anstallningar/lararanstallningar-mm/appointment-procedures-for-slu/ General assessment criteria for the appointment of teachers: https://internt.slu.se/stod-service/admin-stod/hr/anstallningar/lararanstallningar-mm/anstallning-av-larare1/ Admission regulations for doctoral education: https://internt.slu.se/globalassets/mw/utb/forskarutbildningdocent/riktlinjer/antagningsordning-forskarutbildning-en-publicerad-17-maj.pdf Vacancies: https://www.slu.se/om-slu/jobba-pa-slu/lediga-tjanster/
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	+/-		[Date of latest update; ensure that it is sent to all staff] Appointment procedures for teachers at SLU (Appendix to the decision by the SLU Board on 19 February 2018). A revision will be finalized autumn/winter 2021 and the aim is to have a new version valid from 2022-01-01. General assessment criteria for the appointment of teachers [Version 2018-04-17] Gender mainstreaming action plan [Version 2020-12-21] Information about the recruitment process for other staff categories than teachers is found at the staff web: https://internt.slu.se/stod-service/admin-stod/hr/anstallningar/rekrytering-och-annonsering/ (In Swedish only). [Information is regularly updated]. See **Action Plan, actions 5 and 6**.

3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	+/-	- Existence of training programs for OTM-R - Number of staff following training in OTM-R As mentioned above, the documents guiding managers/Heads of Departments, HR-specialists and members of the Academic Appointments Board in the recruitment process follow OTM-R principles. Managers/Heads of Departments and members of Academic Appointments Boards are introduced to relevant documents at the beginning of their term of office and thus can be considered sufficiently trained. Competency based recruitment is about to be established as the mean of recruiting. This will mark a shift from conducting a replacement recruitment to thoroughly investigating the long-term competency needed. This focus on competence will hopefully lead to hiring increased share of underrepresented groups. Training in competence based recruitment will be mandatory for e.g. Academic Appointments Board members and Heads of departments (see **Action Plan, actions 4.1-4.4)**. Web-based information for managers regarding the recruitment of technical/administrative staff is available on the staff web (in Swedish only).
4. Do we make (sufficient) use of e-recruitment tools?	x	x			++	Web-based tool for (all) the stages in the recruitment process Yes, the e-recruitment tool ReachMee is used for all recruitment processes, since 2017 (see **Action Plan, actions 7-8)**.
5. Do we have a quality control system for OTM-R in place?	x	x	x	+/-	Yes, sufficiently. Control points are embedded in the recruitment processes for teachers ensuring their quality. These include recruitment groups, requirement profiles, external experts, appointment and promotion committees, as well

					as an appeal system. However, for the recruitment of post docs and researchers, a quality control system would be desirable.
					In order to ensure that the decision of employment is based on a fair and objective assessment of the applicants and that the university follows its determined recruitment process, decisions on employment can be appealed to the Higher Education Appeals Board.
					Another example of quality control is the Internal Audit unit that conducts inquiries and assists in development of processes. In 2019, a report on strategic competence supply was requested by the University Board. Consequently, the Division of Human Resources is currently working on a template for competency maintenance plans.
					The Swedish Higher Education Authority (UKÄ) evaluates the quality of higher education and research, and reviews quality control systems. UKÄ guidelines state: HEIs ensure that development and renewal of research are supported by legally secure, transparent processes of recruitment and promotion. Employees have access to skills development and career support. Equal opportunities and gender equality are integral to these processes. UKÄ examines that the HEIs ensure that the research meets the quality requirements contained in the Higher Education Act and the Higher Education Ordinance. The reviews are based on the international guidelines for research formulated in the European Charter for Researchers and Guidelines for the recruitment of researchers as well as the national framework for quality assurance of research prepared by the Swedish

					Association of Universities and University Colleges (SUHF). SLU has the ambition to use competency maintenance plans (developed at the level of department and aggregated at faculty level), as part of the quality control system.
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	+/-	*Trend in the share of applicants from outside the organization* SLU encourages external candidates to apply by publishing vacant positions on SLU's website in both Swedish and English. SLU does not collect data on the share of external applicants. Such statistics could offer valuable information on whether actions should be taken to increase the effort.
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	+/-	*Trend in the share of applicants from abroad* SLU's strategy 2021-2025 states that "research, education and environmental monitoring and assessment shall be characterised by high quality, a clear international dimension and strong links between the various activities". The SLU language policy from 2016 states that parallel language use is a prerequisite for internationalisation. English is needed to make SLU attractive to potential foreign employees and students. Swedish employees and students need good English skills in order to be attractive on the labour market. Information must be available to all who need it. All who are active at SLU must have access to the information they need to perform their tasks. This means that information must be available in Swedish and English. However, SLU is a Swedish-speaking university, and Swedish is the primary language in administrative work (see **Action Plan, action 1**).

					Language courses in Swedish are offered for employed international staff through the university. SLU does not collect data on the nationality of employees. However, such statistics could offer valuable information on whether actions should be taken to increase the effort.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	++	Trend in the share of applicants among underrepresented groups (frequently women) Gender mainstreaming action plan As part of SLU's strategic and long-term work with equal opportunities and gender equality perspective, a new administrative organization (Coordination group for gender equality and equal opportunities at SLU) was established in 2019 aiming to include a gender equality perspective in all regular processes at the university. SLU's strategy 2021-2025 strives for "One SLU" that collaborates internally, with equivalent and equal opportunities for students and employees, to support conditions where work can be performed more efficiently and with unified strength. This means: Active and systematic work to promote a good working environment, gender equality and equal opportunities is carried out, wherein proactivity and internal learning are guiding principles. A work and study environment that is free from discrimination and which is characterised by inclusion is a fundamental prerequisite for sustainable professional and student life. Gender equality means that everyone has the same opportunity to shape society and their lives, regardless of gender. At SLU, important elements for achieving this objective include

					gender-equal career paths and funding opportunities, as well as the integration of a gender equality perspective in our degree programmes. SLU shall be more proactive in its systematic work aimed at preventing ill health and accidents, combatting discrimination, and promoting equal opportunities for students and employees. In these efforts, it is essential that SLU opposes restrictive norms and power systems linked to the grounds of discrimination. It is also important to provide internal learning opportunities that allow members of the organisation to share good examples, learn from each other and work together as "One SLU". The work to promote gender equality and equal terms helps to increase SLU's attractiveness as a university. It contributes to the quality of teaching and research by making use of everyone's skills.

SLU: Current gender balance (from annual report 2020):
All staff: 55 % female, 45 % male
Researchers and teaching staff, R1-R4: 49 % female, 51 % male
Doctoral student positions: 43 % female, 57 % male
Professors: 32 % female, 68 % male
Administrative and technical staff: 63 % female, 37 % male
Management, all levels: 44 % female, 56 % male.

For the above mentioned categories, except professor, the gender balance is stable within the 40-60% interval (over years 2015-2020).

Competency based recruitment is about to be established as the means of recruiting. This will mark a shift from conducting a replacement recruitment to thoroughly investigating the long-

					term competency needed. This focus on competence will hopefully lead to recruitment of an increased share of underrepresented groups. Training in competence based recruitment will be mandatory for e.g. Academic Appointments Board members and Heads of Departments (see **Action Plan, actions 4.1-4.4**).
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	++	Trend in the share of applicants from outside the organization As a whole, Sweden offers attractive working and living conditions and so does SLU. SLU's strategy 2021-2025 states that "SLU shall be an attractive university for both current and future employees and students. Both the free search for knowledge and needs-driven research have a natural place at SLU. Research, education and environmental monitoring and assessment shall be characterised by high quality, a clear international dimension and strong links between the various activities. The university also works to ensure that scientific results and data are disseminated and used in society, in both the short and long term. SLU's students shall be able to establish a good foundation for a changeable professional life. Important components include active collaboration with other HEIs, strong international engagement and cooperation with our sectors and other stakeholders in society. Gender equality, equal opportunities and an environmentally oriented mindset shall permeate the entire organisation. Furthermore, SLU shall seek to ensure good leadership, an ethical approach and efficient use of resources. SLU shall provide a good work and study environment in which equivalent terms apply, regardless of the activity and place of business. Individuals shall be offered good opportunities for development."

						SLU aims at leading the way by conducting ambitious internal sustainability work that includes all sustainability perspectives as stated in the strategy 2021-2025. SLU does note collect data on the share of applicants from outside the organization. However, such statistics could offer valuable information on whether actions should be taken to provide even more attractive working conditions and promote competitive advantage. See **Action Plan, actions 13-17**.
10. Do we have means to monitor whether the most suitable researchers apply?					+/-	SLU ranks well internationally within its subject areas and utilizes its strong and excellent research to attract the most suitable candidates. Regulations, procedures and the ability to appeal decisions ensure that the suitability of researchers is at the centre of the recruitment process. Furthermore the subject area in the advertisement of each position is as broad and open as possible in order to attract the most suitable researchers. The applications are evaluated comprehensively based on the applicants' merits in research and teaching. Other means to measure suitability are e.g. interviews and teaching demonstrations.
Advertising and application phase						
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x			+/-	Templates for advertising positions are available and adequately used in ReachMee, the e-recruitment tool used by SLU. The routine for using templates in non-permanent positions should be improved by developing templates following OTM-R guidelines (see **Action Plan, actions 7-10**).

Question					Comments
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit?	x	x		++	The majority of the elements foreseen in the relevant section of the toolkit are included in the job advertisement, only a few references/links to relevant information should be added. Information regarding equal opportunity as well as entitlements and other benefits can be improved (see **Action Plan, action 10**).
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		++	- The share of job adverts posted on EURAXESS; - Trend in the share of applicants recruited from outside the organisation/abroad SLU is a member of Euraxess since 2020. Since 2021 SLU has made efforts to advertise all researcher positions on Euraxess (see **Action Plan, actions 7-10**).
14. Do we make use of other job advertising tools?	x	x		-/+	Vacant positions are advertised at Platsbanken, the Swedish equivalent to Eures. Other job advertising tools are used upon request from Heads of Departments. There are other channels that SLU would like to explore, for example LinkedIn, ResearchGate or Twitter (see item 13).
15. Do we keep the administrative burden to a minimum for the candidate?	x			++	The process of applying for a position at SLU has become much easier, transparent and legal-certain since SLU started to use the e-recruitment tool ReachMee.
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees?		x	x	++	Statistics on the composition of panels The appointment of selection committees is regulated through SLU's delegation of authority documents. SLU's delegation of authority documents. The SLU Boards delegation of authority Vice-chancellor's delegation of authority Delegation of authority at S-faculty Delegation of authority at NJ-faculty Delegation of authority at VH-faculty Delegation of authority at LTV-faculty A gender equality perspective is applied.

17. Do we have clear rules concerning the composition of selection committees?		x	x	++	Written guidelines Yes, The Appointment Procedures for teachers at SLU describe the composition of selection committees.
18. Are the committees sufficiently gender-balanced?		x	x	++	Yes, the selection committees are sufficiently gender-balanced.
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 Yes, General assessment criteria for the appointment of teachers. See **Action Plan, actions 11 – 12**.
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		++	Candidates continuously receive information about the recruitment process. All applicants are informed about the decision on employment via the e-recruitment tool ReachMee, alternatively via e-mail from faculty administrative officers (teacher positions). The information includes procedures for appeal.
21. Do we provide adequate feedback to interviewees?		x		+/-	In teacher recruitments, strengths and weaknesses are reviewed in the external expert's reports, which are shared with each applicant. Further feedback is provided upon request.
22. Do we have an appropriate complaints mechanism in place?		x		++	Statistics on complaints The recruitment process includes the possibility to appeal against the appointment and selection process, and the appointment per se to the Higher Education Appeals Board. As per Swedish legislation, this does not apply to doctoral student positions. In 2020 the decision on seven employments was appealed against.
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				+/-	The Internal Audit unit of the university must examine and suggest improvements to the institution's processes for risk-management, management, monitoring and leadership. Internal

					auditing is carried out by mandate of the University Board.
					Additionally, the Division of Human Resources is responsible to secure the process according to OTM-R.