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TEMPLATE 3 – OTM-R Checklist

Case number: 2018SE337053

Name Organisation under review: Södertörn University, Huddinge, 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.

<i>OTM-R checklist for organisations</i>					
	Open	Trans- parent	Merit- based	Answer: ++ Yes, <i>completely</i>	*Suggested indicators (or form of measurement)



				+/-Yes, <i>substantia</i> <i>lly</i> -/+ Yes, <i>partially</i> -- No	
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	++	https://www.sh.se/english/sodertorn-university/meet-sodertorn-university/this-is-sodertorn-university/vacant-positions https://www.sh.se/samverka--mot-sodertorn/det-har-ar-sodertorns-hogskola/lediga-jobb As a state university, SH complies with national legislation governing our recruitments.
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: 20 Dec 2018, valid from 01 Jan 2019 (Reg No.: 4165-1.1.2-2018). It has been internally circulated for comments (referral). There is a new Appointments Procedure and Instructions for Implementation of the Appointments Procedure under development (expected to become effective as of 01 Jan 2020), which provides with a more flexible, but also more detailed internal regulation for OTM-R procedures and practices. These drafts have been widely circulated among staff and discussed in various fora. Both the revised Appointments procedure and the Instructions to the Appointments procedure entered into effect in 2020, and will undergo a follow-up and evaluation process in order to see if there are any necessary further adjustments to implement.
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	+/-	Yes, the overall majority of those involved are sufficiently trained in OTM-R, though there is always room for improvement, meaning that new versions of the Appointments Procedure and Instructions will offer new opportunities for training in OTM-R.



					Some recruitment processes (temporary positions, including post-docs) are decentralized, i.e. handled by Heads of Schools and HR staff at the respective Schools, thus there is room for further quality assurance and standardization among the practices of the Schools. However, there are no major deviations among these practices and the central HR-handled recruitments, due to the use of e-recruitment tools and the legislative framework. There are plans to broaden and increase the number of training occasions for those involved in recruitment processes, generally in the two policies, but also more specifically from a gender equality perspective (capacity building is planned in the new Gender Equality Plan 2021-2023).
4. Do we make (sufficient) use of e-recruitment tools?	x	x	x	++	All stages of the recruitment process are processed in the web-based recruitment system, Reach Mee
5. Do we have a quality control system for OTM-R in place?	x	x	x	++	The fact that most appointment procedures for academic positions are handled in cooperation between the Recruitment Committee (there are two of them: RK HUM – for the humanities, RK SAM – for natural sciences, environmental science, technology and social sciences) and the HR Department (HR specialists assigned to each recruitment) is viewed as the key to quality control. Regarding some of recruitments for some of the temporary positions (which are decentralized, and thus processed by the Head of School and HR staff at the School), the link to quality control is less direct, nevertheless there is a continuous feed-back loop to central HR on any questions arising regarding these recruitment procedures. There is room for further OTM-R trainings, in particular regarding the new Appointment Procedure and the Instructions which are under development (see point 3.).
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	++	It has been the general trend at SH that external applicants to academic positions are in majority.



					By law it is forbidden to register nationality, so it is not possible to follow up on relevant trends.
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	++	It is the University's main objective to attract the best lecturers / researchers for each vacant position. In this regard we do not make any distinction based on where the candidates are coming from. Much of the research funding available at the University is awarded by The Foundation for Baltic and East European Studies , which means that many research projects require researchers / research capacities other than those available in Sweden. The share of applicants from abroad is higher than the share of applicants from Sweden in cases of vacant 'project researcher' positions, compared to cases of vacant 'lecturer' positions. By law it is forbidden to register nationality, so it is not possible to follow up on relevant trends.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	++	SH is striving for a diversity of staff. This objective is emphasized in the various trainings offered to the specialists involved in the recruitment processes. There is a new Appointments Procedure and Instructions for Implementation of the Appointments Procedure under development (expected to become effective as of 01 Jan 2020), which provides with a more flexible, but also more detailed internal regulation for OTM-R procedures and practices. This area has a dedicated attention in the new drafts. By law it is forbidden to register some 'grounds' other than age and gender, so it is difficult to see if there are any specific trends. Women are not necessarily underrepresented among applicants and gender statistics may vary significantly depending on the research position and discipline (scientific field) announced. SH is encouraging applicants living with disabilities to apply.
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	++	Yes, it is. Södertörn University has developed internal policies of its own to provide even more attractive conditions than required by law, for example its Work Environment Policy, which is under renewal currently.



					<p>The current Work Environment Policy (2021-2022) identifies development objectives in line with The <i>Web Accessibility Directive (Directive (EU) 2016/2102)</i>, for example, in order to further improve working conditions. Both the revised Appointments procedure and the Instructions to the Appointments procedure entered into effect in 2020 are in line, and will undergo a follow-up and evaluation process in order to see if there are any necessary further adjustments to implement.</p>
10. Do we have means to monitor whether the most suitable researchers apply?				++	<p>Yes, there are several ways to monitor that our recruitment targets are reached. There is an initial review, the objective of which is to determine which applications should be sent out for review by external experts. The initial review is conducted by the recruitment committee in consultation with HR. Documentation from qualified applicants who fulfil the grounds for assessment is sent to external experts for further assessment. For each individual, the basis of their assessment shall be motivated and recorded in writing (Section 4.1 of the Appointments Procedure currently in effect). In accordance with Section 4.3 of the Appointments Procedure, trial lectures/workshops, interviews and references, as part of a structured recruitment work preceding the proposal of a shortlist of candidates. The University does not use any additional digital tool (applicant tracking system) other than the web-based recruitment system Reach Mee. This system does allow for keyword search, if needed. The University makes often contact with highly suitable potential candidates and inform them about the announcement. This area is in the focus of current development efforts to be reflected in the new Appointments Procedure. Both the revised Appointments procedure and the Instructions to the Appointments procedure entered into effect in 2020, and will undergo a follow-up and evaluation process in order to see if there are any necessary further adjustments to implement.</p>



Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		++	<p>Yes, there are both clear guidelines and templates for advertising positions. The process is clearly described in the Appointments Procedure and in the various internal instruction manuals, as well as via the web-based recruitment tool Reach Mee. There are plans to use EURAXESS more strategically.</p> <p>There is a clear increase in announcements at the EURAXESS portal, and the option to publish the announcement there is integrated in the University's recruitment tool Reach Mee. During 2020, there has been 10 announcements by SH, while in 2021 (until 27/10, there has been 13 announcements by SH published on EURAXESS.</p>
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit?	x	x		++	<p>Yes, we do. Please see more in detail here and here.</p> <p>However, we do not yet use EURAXESS for job advertising regularly. There is a clear increase in announcements at the EURAXESS portal, and the option to publish the announcement there is integrated in the University's recruitment tool Reach Mee. During 2020, there has been 10 announcements by SH, while in 2021 (until 27/10, there has been 13 announcements by SH published on EURAXESS.</p>
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		-/+	<p>No, there are not any advertising guidelines / recommendations regarding platforms which cover all research vacancies.</p> <p>There are plans to use EURAXESS more strategically.</p> <p>The share of applicants from abroad is higher than the share of applicants from Sweden in cases of vacant 'project researcher' positions, compared to cases of vacant 'lecturer' positions.</p> <p>There is a clear increase in announcements at the EURAXESS portal, and the option to publish the announcement there is integrated in the University's recruitment tool Reach Mee. During 2020, there has been 10</p>



					announcements by SH, while in 2021 (until 27/10, there has been 13 announcements by SH published on EURAXESS.
14. Do we make use of other job advertising tools?	x	x		++	Yes, but normally we advertise on our own webpage . Furthermore, we advertise research positions on Academic Position, Platsbanken (Arbetsförmedlingen – Swedish Public Employment Service), LinkedIn and EURAXESS. Other platforms / channels can also be considered. The University makes often contact with highly suitable potential candidates and inform them about the announcement, as well as individual personal contact networks are often made use of.
15. Do we keep the administrative burden to a minimum for the candidate?	x			++	Yes, that is one of the defined priorities. However, since the applicants themselves are responsible for ensuring that the application is complete, and there are many details and documents to be submitted, it is a significant time investment for job applicants. The implementation of the recruitment tool Reach Mee made the process significantly simpler. We use also Skype or other ICT tools if necessary. All matters related to the application can be handled electronically.
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees?	x	x	x	+/- ++	Yes, there are clear rules of the Faculty Board which appoints the members and the substitute members of the recruitment committees. However, this is an identified improvement area for the new Appointments Procedure and Instructions for the Implementation of the Appointments Procedure, currently in draft, expected to be approved before the end of 2019, entering in effect as of 01 Jan 2020. As of 01 July 2019, the composition is the following (the previous 3-yr term committees' compositions were balanced according to similar principles): - RK HUM (Recruitment committee for the humanities): 7 academic members R2-R3-R4, 2 student representatives and 1 union representative



					<p>(also academic), of whom: 5 females, 4 males, 1 vacant (student rep), Chair: male.</p> <p>- RK SAM (Recruitment committee for natural, environmental and social sciences and technology): 8 academic members R2-R3-R4, 3 2 student representatives and 1 union representative (also academic), of whom: 8 females, 3 males, Chair: female.</p> <p>The latest Instructions for Appointments Procedure entered into force 3 November, 2021, includes detailed and clear rules governing the appointment of selection committees (the previous version, valid from 1 March 2020 to 2 November 2021, also included these new rules).</p>
17. Do we have clear rules concerning the composition of selection committees?	x	x	x	+/- ++	<p>Yes, there are clear rules in the form of written guidelines:</p> <p>- Since 2013 until 2019, the Vice-chancellor has appointed the chairs and the delegates of the recruitment committees. In 2016, the Vice-chancellor has already transferred the right to determine the process in which the composition of the recruitment committees is put forward and the nominations delivered.</p> <p>- In his decision 2019/13:5¹, the Vice-chancellor decided to transfer the right to appoint the chairs and the delegates of the recruitment committees (thus to determine the composition of selection committees) to the Faculty Board.</p> <p>- The Faculty Board has a set of internal guidelines² concerning the composition of selection committees, including a 'cross-over delegate' (a delegate which does not belong to the disciplines represented in the respective recruitment committee, as well as, subject, gender and seniority balance (R2-R4, student representatives, union representative). However, this is an identified improvement area for the new Appointments Procedure and Instructions for the Implementation of the Appointments</p>

¹ Reg No.: 1641-1.1.2-2019.

² Reg No.: 2247-1.1.2-2019; Selection and Composition of Recruitment Committees at Södertörn University, Decision of the Vice-chancellor, 2013-07-02.



					<p>Procedure, currently in draft, expected to be approved before the end of 2019, entering in effect as of 01 Jan 2020.</p> <p>The latest Instructions for Appointments Procedure entered into force 3 November, 2021, includes detailed and clear rules governing the appointment of selection committees (the previous version, valid from 1 March 2020 to 2 November 2021, also included these new rules).</p>
18. Are the committees sufficiently gender-balanced?	x	x	x	++	<p>See indicator and description of the composition above at point 16.</p> <p>Yes, they are, this issue is also regulated by law: The Higher Education Ordinance (1993:100), Chapter 4 §5 As well as regulated by the internal Appointments Procedure, Chapter 4.</p>
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	x	x	+/- ++	<p>Yes, the current Appointments Procedure clearly lists both the general grounds as well as the specific grounds for assessment for each categories. However, this is an identified improvement area for the new Appointments Procedure and Instructions for the Implementation of the Appointments Procedure, currently in draft, expected to be approved before the end of 2019, entering in effect as of 01 Jan 2020.</p> <p>The latest Instructions for Appointments Procedure entered into force 3 November, 2021, includes detailed and clear rules governing the appointment of selection committees (the previous version, valid from 1 March 2020 to 2 November 2021, also included these new rules).</p>
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		++	<p>Yes, in accordance with the current Appointments Procedure, as well as the internal routine process of the HR Department.</p>
21. Do we provide adequate feedback to interviewees?		x		++	<p>If the applicant requests detailed information on the assessment of their application, can contact to the chair of the Recruitment Committee.</p>
22. Do we have an appropriate complaints mechanism in place?		x		++	<p>The Higher Education Ordinance (SFS 1993:100), chapter 12, § 2</p>



					<p>This paragraph lists the types of decisions of the public university (as public authority) that gives grounds for appeal, including the recruitment process of staff, there is an appeal process against the process of the appointment, and the appointment <i>per se</i>. This does not apply to doctoral student positions.</p> <p>The Public Administration Act (1986:223) describes the complaints procedure itself in case of a complaint based on the Higher Education Ordinance (1993:100), chapter 12 §2.</p> <p>In accordance with the Public Access to Information and Secrecy Act (SFS 2009:400), interested parties can request that recruitment documentations are accessed, and mostly SH hands over such information (thus applicants who have not been asked for an interview, or have been ranked lower than they have expected often request information via this Act, without the need to submit a formal administrative complaint).</p>
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				++	<p>Yes, primarily via the annual follow-up on the Action Plan for GM and the related policy instruments.</p> <p>SH's Vice-Chancellor has commissioned in 2016 a Working Group on Gender Mainstreaming (GM) and an Action Plan for GM to be drawn up. This Action Plan³ identified 5 areas to focus the University's efforts to improve the gender balance, as well as laid out the necessary steps to achieve change and to follow-up.</p> <p>SH has Guidelines⁴ for its work to observe and respect equal opportunities for employees, identifying processes, intervention areas and reporting fora to implement its Equal Opportunities Policy⁵. These areas are the</p>

³ Reg. No. 1768-1.1.1-2017

⁴ Reg No. 3855-1.1.2-2017 (2017-12-05)

⁵ Reg no. 3572-1.1.2-2016 (2016-12-20)



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					following: labor relations; decisions and praxis regarding salaries and other employment conditions; recruitment and promotion; education and capacity building; opportunity to keep the balance between professional life and parenthood.
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