

## HR Excellence in Research

# OTM-R Checklist

### OTM-R Checklist

**Case number**

2023PT164279

**Name Organisation under review**

Instituto Superior Técnico - HRS4R

**Organisation's contact details**

Av. Rovisco Pais, 1, Lisboa, 1049-001, Portugal

**Date endorsement charter and code**

17/11/2023

**Submission date to the European Commission**

15/11/2024

### Open, Transparent, and Merit-based Recruitment Check-list: OTM-R

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.

- The "Open", "Transparent" and "Merit-based" checkboxes are indicative of the type of policies and practices the questions refer to, as detailed in the C&C. They are pre-set in the HR Excellence in Research E-tool and cannot be changed. No action is needed from institutions in their respect.
- The difference between "+/- Yes substantially" and "-/+ Yes partially" ratings is that in the first case the volume of the remaining work to be done until completion is little as compared to the effort that has been put so far in that direction, whereas for "-/+ Yes partially", the remaining work is either the same in volume or more than what has been achieved.

- For the "Suggested indicators" column, whenever the user hovers the mouse in the row dedicated to each question, a small text box will pop up, indicating options of potential indicators to use. However, each institution should identify own measurements of the effectiveness of its OTM-R policy which should be further reviewed and adapted.

	Open	Transparent	Meritbased	Answer:	Suggested indicators (or form of measurement)
OTM-R system					
Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	+/- Yes substantially	The fundamental principles underpinning the OTM-R policy are embedded in existing regulations and strategic documents, which are grounded in national law. Refer to: <a href="https://drh.tecnico.ulisboa.pt/docentes/">https://drh.tecnico.ulisboa.pt/docentes/</a> (PT) and <a href="https://drh.tecnico.ulisboa.pt/investigadores/">https://drh.tecnico.ulisboa.pt/investigadores/</a> (PT). And also under the Statute Governing the Career of Scientific Research (PT) (DL 124/1999, 20th April), DL 112/2021, 14th August that approves the regulations governing internal competitions for promotion to middle and senior grades in the academic careers of higher education and the scientific research career (PT). The process of making this information available in the English language is undergoing.
Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	-- No	The guidelines and requirements for the recruitment and selection process are available in the notices of the competitive processes, in <a href="https://drh.tecnico.ulisboa.pt/docentes/recrutamento/pessoal-docente-de-carreira/">https://drh.tecnico.ulisboa.pt/docentes/recrutamento/pessoal-docente-de-carreira/</a> (PT) and <a href="https://drh.tecnico.ulisboa.pt/investigadores/recrutamento/pessoal-investigador-de-carreira/">https://drh.tecnico.ulisboa.pt/investigadores/recrutamento/pessoal-investigador-de-carreira/</a> (PT). Additional documentation: <a href="https://drh.tecnico.ulisboa.pt/investigadores/formularios/">https://drh.tecnico.ulisboa.pt/investigadores/formularios/</a> (PT). Potential indicator: information available in English, in addition to specific information on hiring procedures.
Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	-/+ Yes partially	Although there's an internal training process, based on mentoring/coaching from the senior staff, the HR staff involved in the OTM-R process (recruitment and selection of researchers) do not attend not attend training courses specifically for this purpose. Potential indicator: Number of training courses/updates attended by staff involved in the process.
Do we make (sufficient) use of e-recruitment tools?	x	x		++ Yes completely	Candidates can submit their applications in person, by registered mail, but mostly online. Online procedures for submitting applications exist/are applicable for all research positions. <a href="https://dot.tecnico.ulisboa.pt/applications">https://dot.tecnico.ulisboa.pt/applications</a> (PT)
Do we have a quality control system for OTM-R in place?	x	x	x	-- No	The quality control system translates into the supervision of the entire recruitment process by the Human Resources Directorate (specifically, the Teaching and Research Staff Unit, which ensures the application of national and internal regulations). Potential indicator: number of complaints in relation to the number of hiring procedures/number of applications.

	Open	Transparent	Meritbased	Answer:	Suggested indicators (or form of measurement)
Does our current OTM-R policy encourage external candidates to apply?	x	x	x	+/- Yes substantially	All competitions are advertised, in Portuguese and English, in a transparent manner through the institutional website of Instituto Superior Técnico, EURAXESS, the <a href="https://diariodarepublica.pt/dr/en/detail/decree-law/112-2021-175865937">https://diariodarepublica.pt/dr/en/detail/decree-law/112-2021-175865937</a> (BEP - PT) , Diário da República (PT) - the Portuguese Official Journal, in accordance with national legal provisions. Previous to the competitions, scouting processes are made by the departments.
Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	-/+ Yes partially	Although international competitions are open and merit-based, there are no programs with the specific aim of attracting foreign researchers.
Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	+/- Yes substantially	The Instituto Superior Técnico ensures equal opportunities in access to work. National legislation does not allow positive discrimination acting as a limitation to the implementation of this type of policies: 'The joint order n.º 373/2000, of March 31st, of the Minister of State Reform and Public Administration and the Minister for Equality made compulsory the inclusion of the following reference in all civil service recruitment procedure notices: "In compliance with paragraph h) of article 9 of the Constitution, the Public Administration, as the employing entity, actively promotes a policy of equality of opportunities between men and women in access to employment and professional development, scrupulously providing for the prevention of any type of discrimination." In this sense, the terms 'candidate', 'recruited', 'teacher' and the like are not used in this notice to refer to the gender of people. Likewise, no candidate may be privileged, benefited, harmed or deprived of any right or exempt from any duty on the grounds, in particular, of descent, age, sexual orientation, marital status, family situation, economic status, education, origin or social status, genetic heritage, reduced working capacity, disability, chronic illness, nationality, ethnic origin or race, territory of origin, language, religion, political or ideological beliefs and trade union membership.' Nonetheless, Instituto Superior Técnico also has a Gender Equality Plan (EN) and within the scope of the Gender Balance Project, the Instituto Superior Técnico implemented an unprecedented measure in Portugal, post-parental leave. Researchers who might also be Professors will be exempt from teaching in the semester immediately following the end of parental leave. All Professors who have taken a leave of at least 100 days will be exempt from teaching for a semester, with the intention of facilitating the reconciliation of work and family life, taking into account the negative effects that may be felt in research activities after the leave period.

	Open	Transparent	Meritbased	Answer:	Suggested indicators (or form of measurement)
Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	+/- Yes substantially	<p>Within the Career Development Program for Teachers and Researchers at IST, Shaping the Future (EN), all assistant researchers in the experimental period covered by the "Regulation on the Regime of Linkage and Evaluation of Activity Developed during the Experimental Period by IST Teachers"(PT) can access the Start-Up Funds program (PT) (a program with financial support from a partner entity - Banco Santander - through the Santander Universities program). Within the scope of the Gender Balance Project (EN), the Instituto Superior Técnico implemented an unprecedented measure in Portugal, post-parental leave. Teachers will be exempt from teaching in the semester immediately following the end of parental leave. All teachers who have taken a leave of at least 100 days will be exempt from teaching for a semester, with the intention of facilitating the reconciliation of work and family life, taking into account the negative effects that may be felt in research activities after the leave period. Instituto Superior Técnico also monitors the quality of life in the workplace through surveys directed at all workers. Another measure intended to provide attractive working conditions for researchers and improve quality of life is the existence of a nursery within the institution, managed by the Instituto Superior Técnico Staff Association (APIST) (PT). Potential Indicators of measure: development of the number of assistant professors who are beneficiaries of start-up grants (compared to the total number of new assistant professors); development of the number of teachers who benefit from being exempt from teaching in the semester following the end of parental leave, compared to the total number of teachers who had parental leave; results of surveys of workers (quality of life in the workplace).</p>
Do we have means to monitor whether the most suitable researchers apply?				+/- Yes substantially	<p>Each Department has a scouting process that allows the identification and pre-application of the candidates. The scouting process is a measure that maximises the best-fit of the candidates to the vacancies descriptors. The guarantee that selection processes are open and based on transparent evaluation criteria based on merit is obtained by defining regulations and procedures with these objectives. The existence of trial periods (5 years for assistant professors/researchers; 1 year for associate professors and full professors; 3 years for researchers) allows for the non-consolidation of the employment contract, in case it is found that the performance is not satisfactory. The follow-up and evaluation process for the career path of Assistant Professors and Researchers is described in the "Program for Monitoring Assistant Professors and Researchers in the Experimental Period at IST" (PT) and also in the following regulation: Regulation on the procedure for evaluating the activity developed during the experimental period by principal, main and auxiliary researchers hired in public functions for an indefinite period by the Instituto Superior Técnico of the University of Lisbon (PT)</p>

	Open	Transparent	Meritbased	Answer:	Suggested indicators (or form of measurement)
<b>Advertising and application phase</b>					
Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		++ Yes completely	IST has bespoke templates for advertising each of the available vacancies, regardless the mean of publication (including those offers and notices for publication on the website and other regular channels)
Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit?	x	x		+/- Yes substantially	Although we don't yet have the toolkit, the job advertisements include all the relevant, required and needed information for the candidate to successfully submit his/her job application. Although all the relevant information is available it is not suitably organised and easy to use.
Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		++ Yes completely	All vacancies are posted on EURAXESS, with the exception of internal career progress merit-based competitions under the Decree-Law 112/2021 (EN).
Do we make use of other job advertising tools?	x	x		++ Yes completely	The vacancies are also advertised on the Instituto Superior Técnico website, the Public Employment Portal (BEP) and the Diário da República Portuguesa - the Portuguese Official Journal.
Do we keep the administrative burden to a minimum for the candidate?	x			+/- Yes substantially	The administrative burden on applicants is significantly reduced through the utilisation of electronic recruitment processes. Documentation is submitted electronically, thereby minimising the risk of errors in the application process. The full process is easily explained in the Application Submission Guidelines (PT).
<b>Selection and evaluation phase</b>					
Do we have clear rules governing the appointment of selection committees?		x	x	+/- Yes substantially	The composition of juries is regulated by national legislation, specifically: Article 46 of the amended and supplemented Statute of the University Teaching Career (2009), which governs the composition of juries (PT); Article 14 of the General Regulation of Competitions for the recruitment of full professors, associate professors and assistant professors of the University of Lisbon, which defines the composition of the jury (PT); Article 19 of the Statute of the Scientific Research Career, which establishes the composition of juries (PT). Although all the documentation is available, most of it is not translated to English.
Do we have clear rules concerning the composition of selection committees?		x	x	++ Yes completely	Jury members are appointed in compliance with national and internal regulations. Committee members must satisfy specific requirements and merit criteria established for each researcher category: Article 46 of the amended and supplemented Statute of the University Teaching Career (2009), which governs the composition of juries (PT); Article 14 of the General Regulation of Competitions for the recruitment of full professors, associate professors and assistant professors of the University of Lisbon, which defines the composition of the jury (PT); Article 19 of the Statute of the Scientific Research Career, which establishes the composition of juries (PT).

	Open	Transparent	Meritbased	Answer:	Suggested indicators (or form of measurement)
Are the committees sufficiently gender-balanced?		x	x	++ Yes completely	In a similar vein to the assessment of candidates, the same principles apply to jury members, with no positive discrimination being exercised. A recommendation from the Scientific Council encourages gender balance, although it is not always feasible to achieve this, due to the existing gender imbalance in certain departments.
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	-/+ Yes partially	The candidates do prepare the documentation in a way to better support the merit-based assessment by the jury, but there are no guidelines for the jury 's use. The competition announcement specifies the required documents for the competition jury to comprehensively evaluate candidate merit. Candidate's curriculum vitae, detailing their scientific output (research activities, professional experience, community service, technology transfer, scientific guidance and management considered relevant). Candidates must identify 10 (ten) works that they consider most representative of their contribution to the scientific area in which the competition is being held. This selection must be accompanied by a concise explanatory statement outlining the candidate's contribution. Electronic copies of scientific articles published in international journals mentioned in the curriculum vitae, as well as other works considered relevant for jury assessment; A report detailing the candidate's activities, concisely outlining their scientific achievements, professional experience, academic and professional training, and demonstrating how their expertise aligns with a current, innovative scientific project of strategic importance in the relevant field.
Appointment phase					
Do we inform all applicants at the end of the selection process?		x		++ Yes completely	The list of candidates who have been admitted and excluded, as well as the final ranking list, will be displayed at the Human Resources Department, located at Campus da Alameda, Av. Rovisco Pais, 1, 1049-001 Lisbon, Portugal. All candidates will be formally notified of the outcome by registered letter.
Do we provide adequate feedback to interviewees?		x		+/- Yes substantially	The list of candidates who have been admitted and excluded, as well as the final ranking list, are publicly displayed. Candidates who are excluded are afforded the opportunity to be heard prior to the final decision, and are given a period of ten days to respond. All interested parties are notified electronically of the results, including the admission list and the hearing of interested parties. The minutes of the meetings provide the reasons for admission or non-admission, which serves as the feedback to the candidates.

	Open	Transparent	Meritbased	Answer:	Suggested indicators (or form of measurement)
Do we have an appropriate complaints mechanism in place?		x		++ Yes completely	Pursuant to the Administrative Procedure Code, candidates have a period of 10 working days in which to lodge a complaint. In the event of complaints being received, the jury is required to provide a response. National legislation affords candidates the right to appeal and to request access to official documents, including those of third parties, subject to the omission of personal data and sensitive information.
<b>Overall assessment</b>					
Do we have a system in place to assess whether OTM-R delivers on its objectives?				-- No	There 's currently no such system currently in place