TEMPLATE 2 – GAP ANALYSIS - OVERVIEW

Case number: **2019SE440593**
Name Organisation under review: **KTH Royal Institute of Technology**
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GAP ANALYSIS

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation's GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation.

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview				
Status: to what extent does this organisation meet the following principles?	Implementation: ++ = **fully** implemented +/- = **almost but not fully** implemented -/+ = **partially** implemented -- = **insufficiently** implemented		In case of --, -/+, or +/-, please **indicate the actual "gap"** between the principle and the current practice in your organisation. If relevant, list any national/regional legislation or organisational regulation currently impeding implementation	Initiatives undertaken and/or suggestions for improvement:
Ethical and Professional Aspects				
1. Research freedom	**++**		**Relevant legislation:** The Swedish Higher Education Act (1992:1434) chap 1 §6. (Högskolelagen) The following general principles are applicable: • research issues may be freely selected, • research methodologies may be freely developed, • research results may be freely published The fundamental law on Freedom of Expression (1991:1469) (Ytrandefrihetsgrundlagen) The purpose of freedom of expression under this Fundamental Law is to secure the free exchange of opinion, free and comprehensive information, and freedom of artistic creation. Freedom of Press Act (1949:105) (Tryckfrihetsförordningen) Act on Co-Determination in the Workplace (1976:580) (Lag om medbestämmande I arbetslivet) **Organisational regulation:** **Identified gap:**	**Initiatives undertaken:**
2. Ethical principles	**++**		**Relevant legislation:** The Act (2003:460) concerning the Ethics Review of Research Involving Humans (Lag om etikprövning av forskning som avser människor) SFS: 2019:1151 (Förordning om ändring i högskoleförordningen) Data Protection Act (2018: 218) (Dataskyddslagen) Data Protection Ordinance (2018:219) (Dataskyddsförordningen) The Archives Act (1990:782) (Arkivlagen) The Archives Ordinance (1991:446) (Arkivförordningen) The Animal Welfare Act (1988:534) (Djurskyddslagen) The Swedish Research Council (Sw. Vetenskapsrådet, VR) is an authority within the Ministry of Education and Research. It has a leading role in developing Swedish research of the highest scientific quality, thereby contributing to the development of society. In the beginning of 2004, independent authorities of ethical vetting were established consisting of a Central Ethical Review Board and six local boards. The authorities are under supervision of the Parliamentary Ombudsman and the Chancellor of Justice, and ensure the supervision of compliance with the Ethical Review Act and the regulations issued under the Act. http://www.epn.se/en/start/ http://codex.vr.se/omcodex.shtml https://publikationer.vr.se/produkt/good-research-practice/ See Preamble, GDPR.	**Initiatives undertaken:** **Ethical Committee** Discussions are currently being held to institute an Ethical Committee with purpose to discuss and try errands/matters that eventually are not embraced within the ordinary regulations or that by any circumstances are regarded of importance for further discussions out of an ethical aspect. **Action no 2.** **Council for International Cooperations** KTH intends to extend and strengthen its international cooperation and

		Organisational regulation: KTH has a well-established Ethical Policy that has been decided upon by the board and that on a yearly basis are together with all policies reviewed internally. https://intra.kth.se/polopoly_fs/1.831693.1562754447!/Ethical_Policy.pdf How to act on a daily basis is further emphasized in KTH Code of Conduct. https://intra.kth.se/polopoly_fs/1.673163.1562755831!/Code%20of%20Conduct1%20V-2018-0689.pdf Policy for Sustainable development Ethical policy Reading instructions and explanatory notes for Ethical policy to KTH KTH's technical and organisational measures for implementing GDPR principles are : See point 8 **Identified gap:**	intercommunion with surrounding communities. Cooperation with universities located in countries with different legislation or divergent values concerning i e academic freedom, research ethics, human rights etc, might actualize questions of ethical caracter. A forum for discussions of the kind is needed to pursue a positive development. Action no 3
3. Professional responsibility	**+ +**	**Relevant legislation:** The Swedish Higher Education Act (1992:1434) (Högskolelagen) SFS: 2019:1151 (Förordning om ändring i högskoleförordningen) The Act on the responsibility for good research practice and the examination of misconduct in research (2019:504) (Lag om ansvar för god forskningssed och prövning av oredlighet I forskning) **Organisational regulation:** https://intra.kth.se/polopoly_fs/1.831693.1562754447!/Ethical_Policy.pdf https://intra.kth.se/polopoly_fs/1.673163.1562755831!/Code%20of%20Conduct1%20V-2018-0689.pdf See point 2. **Identified gap:**	**Initiatives undertaken:**
4. Professional attitude	**+ +**	The professional attitude is unambiguously linked to the professional responsibility and the contractual and legal obligations to which each researcher must adhere. The Swedish legislation embraces ethical aspects in a number of laws and regulations, referred to in this document under each paragraph, and thus set the frames for each researcher's personal accountability. **Relevant legislation:** Act (2003:460) concerning the Ethics review of research involving humans (Lag om etikprövning av forskning som avser människor) Data Protection Act (2018: 218) (Dataskyddslagen) Data Protection Ordinance (2018:219) (Dataskyddsförordningen) The Archives Act (1990:782) (Arkivlagen) The Archives Ordinance (1991:446) (Dataskyddsförordningen) Patient Data Act (2008:355) (Patientdatalagen) Medicines Act (2015:315) (Läkemedelslagen) The Act (2002 : 297) on biobanks in the health service (Lag om biobanker i hälso- och sjukvården) The Swedish Radiation Safety Authority's Regulations on General Obligations in Medical and Dental Practices using Ionising Radiation. (SSMFS 2008:35) (Strålsäkerhetsmyndighetens föreskrifter och allmänna råd om medicinska exponeringar)	**Initiatives undertaken:** See point 2.

		Organisational regulation: https://intra.kth.se/polopoly_fs/1.831693.1562754447!/Ethical_Policy.pdf https://intra.kth.se/polopoly_fs/1.673163.1562755831!/Code%20of%20Conduct1%20V-2018-0689.pdf **Identified gap:**	
5. Contractual and legal obligations	+ +	**Relevant legislation:** Act (1960 : 729) on Copyright in Literary and Artistic Works (Lag om upphovsrätt till litterära och konstnärliga verk) The Patent Act (1967:837), (Patentlagen) Act (1949: 345) on the Right to Employee Inventions (Lag om rätt till arbetstagares uppfinningar) Design protection Act (1970: 485) (Mönsterskyddslag) The Trademark Act (2010:1877 (Varumärkeslag) The Trade Names Act (1974:156) (Firmalag) Act (1992: 1685) on the protection of topographies of semiconductor products (Lag om skydd för kretsmönster för halvledarprodukter) The Plant Breeders' Rights Act (1997:306) (Växtförädlarrättslag) The Names Act (1982:670) (Namnlag) The Swedish Higher Education Act (1992: 1434), Chapter 1 § 6 (Högskolelagen) **Organisational regulation:** Research Support Office, RSO, at KTH support the researchers in contractual and legal matters. https://intra.kth.se/en/styrning/kths-organisation/gvs/rso/forskningsstod-1.876021 https://intra.kth.se/en/styrning/kths-organisation/gvs/rso/affarsjuridik-1.884365 Planning, Quality Assurance and Administrative Law (PKF) assists KTH's management with planning, follow-up, governance, quality assurance, administrative law and administrative support. https://intra.kth.se/en/styrning/kths-organisation/gvs/pkf/planering-kvalitetssamordning-och-forvaltningsjuridik-1.876033 KTH Innovation is a division within KTH offering free and objective support in all areas when commercializing research results, including legal councelling on all issues surrounding contracts, immaterial rights, agreements and patenting. See point 31. https://www.kth.se/en/innovation https://www.kth.se/en/innovation/vi-erbjuder/kth-innovation-erbju/patent-ipr-1.715832 See points 31, 32. **Identified gap:**	**Initiatives undertaken:**
6. Accountability	+ +	**Relevant legislation:** The Swedish Higher Education Act 1992:1434, § 4 (Högskolelagen) 'The operations of higher education institutions shall be arranged to ensure that high standards are attained in courses and study programmes and in research. The resources available shall be used effectively to sustain a high standard of operation. Quality assurance procedures are the shared concern of staff and students at higher education institutions. Ordinance (2013:119).' **Organisational regulation:** https://intra.kth.se/polopoly_fs/1.831693.1562754447!/Ethical_Policy.pdf Reading instructions and explanatory notes for Ethical policy to KTH	**Initiatives undertaken:** See point 2.

		https://intra.kth.se/polopoly_fs/1.673163.1562755831!/Code%20of%20Conduct1%20V-2018-0689.pdf See point 2. **Identified gap:**	
7. Good practice in research	**+ +**	**Relevant legislation:** Act on the responsibility for good research practice and the examination of misconduct in research (2019:504) (Lag om ansvar för god forskningssed och prövning av oredlighet I forskning) **Organisational regulation:** https://intra.kth.se/polopoly_fs/1.831693.1562754447!/Ethical_Policy.pdf Reading instructions and explanatory notes for Ethical policy to KTH https://intra.kth.se/polopoly_fs/1.673163.1562755831!/Code%20of%20Conduct1%20V-2018-0689.pdf KTH Data Protection Officer **Identified gap:**	**Initiatives undertaken:** See point 8.
8. Dissemination, exploitation of results	**+ +**	**Relevant legislation:** https://www.uhr.se/en/start/laws-and-regulations/Laws-and-regulations/The-Swedish-Higher-Education-Act/#chapter1 Data Protection Act (2018:218) (Dataskyddslagen) Data Protection Ordinance(2018:219) (Dataskyddsförordningen) The Archives Act (1990:782) (Arkivlagen) The Archives Ordinance (1991:446) (Arkivförordningen) Public Access to Information and Secrecy Act (2009:400) (Offentlighets- och sekretesslagen) See Preamble, GDPR and Secrecy Act. **Organisational regulation:** Guidelines for the application of rules on public access to information and secrecy at KTH Security policy Language guideline KTH Data Protection Officer 'KTH Innovation' specialises in the commercialisation of new technology at the earliest stages of development and offers free, objective and confidential support in all areas relevant to taking an idea or research result to innovation. The KTH Innovation team offers researchers, employees and students at KTH support in business development, patents and law, funding, project management, and much more. https://www.kth.se/en/innovation **Please note;** *"Principles for handling intellectual property in research agreements"* *(Principer för immaterialrättslig hantering i forskningsavtal)* by the Association of Swedish Higher Education, is recommended as praxis for Swedish Higher Education Institutes. https://suhf.se/app/uploads/2019/12/SUHF-Principles-for-managing-intellectual-property-in-research-contracts-Recommendation-2016-3.pdf **Identified gap:**	**Initiatives undertaken:** **Revised policy for scientific publishing** A working group has been formed by the Faculty Council, with purpose to revise and clarify the regulations for academic publishing. As KTH is extending international cooperation, and alongside the related discussions on the topic of "Plan S" – open access to research results and publications - the Faculty Council estimates the need of a more distinct and clear regulation within this area. **Action no 4.** **KTH Innovation Office** See point 31.
9. Public engagement	**+ +**	**Relevant legislation:** The Swedish Higher Education Act (1992:1434)	**Initiatives undertaken:** See point 8.

		Ch 1, 2 and 3 §§ (Högskolelagen) 'The mandate of higher education institutions shall include third stream activities and the provision of information about their activities, as well as ensuring that benefit is derived from their research findings.' **Organisational regulation:** Communications Division at KTH support the researchers to inform about the research activities and results. https://intra.kth.se/en/styrning/kths-organisation/gvs/cbl/kommunikation-och-naringslivssamverkan-1.872391 https://intra.kth.se/polopoly_fs/1.176408.1550156763!/Menu/general/column-content/attachment/komstrateng_final.pdf **Identified gap:**	
10. Non discrimination	++	**Relevant legislation** The Discrimination Act (2008:567) (Diskrimineringslagen) The Swedish Gender Equality Agency (Jämställdhetsmyndigheten) is a national authority working within the field of gender mainstreaming and is also in charge of development programs that is supporting Swedish higher education institutions and a large number of government agencies in their gender mainstreaming work. The Swedish Secretariat for Gender Research (Nationella Sekreteriatet för genusforskning) is a central actor in the area of gender research and gender equality since 1998, carrying out assignments on behalf of several national, Nordic and European actors. The secretariat is commissioned by the Swedish government to support all state funded higher education 14 institutions in their gender mainstreaming efforts 2016-2019. This assignment has now been prolonged. The Equality Ombudsman (Diskrimineringsombudsmannen) is a government agency that promote equal rights and opportunities and combat discrimination **Organisational regulation:** KTH is pursuing research in gender equality and values in organisational development and is working actively with faculty development and gender mainstreaming, developing methods and measures to integrate gender studies and gender equality in the educational programs. The JMLA-group (Sw. Equality, Diversity, Equal conditions, Responsibility) within the university assures the implementation of gender mainstreaming values throughout the entire organisation. KTH is working in accordance with the objectives in Sweden's Gender Equality Policy and is also a leading part on both national and international level, contributing to the progress and development within this field, by the engagement in several organisations. The vice President with special focus on gender equality and research on values within organisational development, embraces the responsibility of assuring a longterm progress in line with the national gender equality policy goals. https://www.kth.se/profile/awahl An Equal KTH - Plan for Gender Mainstreaming of KTH (JIKTH) (docx 591 kB) https://intra.kth.se/en/anstallning/pa-lika-villkor/jikth-jamstalldintegrering-pa-kth-1.771963 https://intra.kth.se/en/anstallning/pa-lika-villkor/kth-s-vardegrund-1.514479 Discrimination, harassment, sexual harassment or degrading treatment (pdf 681 kB) https://intra.kth.se/en/anstallning/pa-lika-villkor/arbetet-med-aktiva-atgarder-vid-kth-1.730033 https://intra.kth.se/en/anstallning/pa-lika-villkor/kth-s-vardegrund-1.514479 https://intra.kth.se/en/anstallning/pa-lika-villkor/diskriminering-och-diskrimineringsgrunderna-1.514511	**Initiatives undertaken:** See point 27. Action no 5.

		[Equality Office is working preventively and reactively in all aspects of the HR-field.](#) [An Equal KTH In depth KTH Report 18](#) [An Equal KTH In depth Report 19](#) See point 27. **Identified gap:**	
11. Evaluation/ appraisal systems	+ +	**The Swedish Research Council** (Sw. Vetenskapsrådet, **VR**) VR conducts various types of evaluations of research, both evaluations of research topics (such as mechanics or literature) and evaluations of government -initiated research efforts, the latter more frequent. Focus of the evaluations are set on the scientific quality, though aspects such as strategic management at the university level and research impact may occur. Responsibility for the compliance with ethical guidelines rests with the beneficiary/academic institution. Evaluation may lead to a redistribution of funds within the framework of an ongoing effort. http://www.vr.se/inenglish/aboutus.4.69f66a93108e85f68d48000123.html **The Swedish Higher Education Authority** (UKÄ, Universitetskanslerämbetet) and Higher Education Institutions (HEI) in Sweden have shared responsibility for quality assurance and research. UKÄ performs reviews of the HEIs quality assurance processes. https://english.uka.se/quality-assurance/quality-assurance-of-higher-education.html **Relevant legislation:** [Ordinance (2007: 603) on Internal Control (Förordning om intern styrning och kontroll)](#) [Internal Audit Ordinance (2006 : 1228), 1 and 2 §§ (Internrevisionsförordning)](#) **Organisational regulation:** The KTH quality assurance system consists of two main coherent parts, both of which aim to follow-up on, ensure and develop the quality of courses and study programs, research and collaboration. [KTH Quality Assurance System](#) [Quality policy](#) **Identified gap:**	**Initiatives undertaken:**
Recruitment and Selection			
12. Recruitment	+ -	**Relevant legislation:** [The Instrument of Government (Regeringsreformen)](#) Chapter 12, art 5 [The Public Employment Act in Swedish (1994:260) (Lagen om offentlig anställning)](#) Section 4 [https://www.uhr.se/en/start/laws-and-regulations/Laws-and-regulations/The-Swedish-Higher-Education-Act/](#) (Högskolelagen) [The Higher Education Ordinance (SFS 1993:100) (](#)Högskoleförordningen) [Discrimination Act (SFS 2008:567) (Diskrimineringslagen)](#) **Organisational regulation:** [General management](#) (Including policies and other steering documents) [HR Policy for KTH Including guidelines such as competence management, gender equality, diversity and equal opportunities.](#) [Quality Policy for KTH (About education, research, and collaboration)](#) [Appointments Procedure at KTH](#)Decided according chapter 2 section 2 point 9 of the Higher Education Ordinance (1993:100).	**Initiatives undertaken:** **"Erfa"- group recruitment** With purpose to increase and exchange experiences regarding any matter connected to recruitment praxis, a group constituted of three representatives from central HR and representatives from each school meets on a regular basis, at least twice a year and/or when needed. The ambition is to create a cross-unit

		[Guideline to the appointments procedure](#) Complement to the appointments procedure at KTH, should be read together with the appointments procedure at KTH. [Research (Admission as Affiliated Professor, Affiliated Faculty, and Docent.](#) [Doctoral student employment](#) [Doctoral studies (PhD)](#) <mark>[Recruitment at KTH*](#)</mark> [Academic career development at KTH](#) [Tenure Track (For Assistant professors and Associate professors only).](#) **Identified gap:** *[Recruitment at KTH](#) Revised regulations to actuality and translation to English is needed.	forum for best practise and constructive development within recruitment procedures. <mark>*Action no 1</mark>
13. Recruitment (Code)	+ +	**Relevant legislation:** [The Higher Education Ordinance (SFS 1993:100)](#) (Högskoleförordningen) According to the Higher Education Ordinance (SFS 2010:1064) Chapter 2 , § 2 , the University Board shall set employment regulations (sw. anställningsordning) that the university applies together with the rules of appointment and promotion of teachers. [Employment Ordinance (SFS 1994:373)](#) (Anställningsförordningen) [The Freedom of the Press Act](#) (Tryckfrihetsförordningen) [Chapter 2. On the public nature of official documents](#) [The Public Employment Act (1994: 260)](#) (Lagen om offentlig anställning) Section 4 Merits and competence [Discrimination Act (SFS 2008:567](#) (Diskrimineringslagen) **<u>Organisational regulation:</u>** See also point 10 and 12. - KTH has a Web-based tool for all stages in the recruitment process called [Varbi Recruitment System](#). The system also has an competence based interview modul which is an objective and antidiscrimination way of assess competence and merits. - Recruitment process with standardized routines and templates for advertising always include clear qualification requirements and application guidelines: [Rules regarding advertisement and employment.pdf](#)* [Employment profiles](#). [Administrative support for hire teachers and researchers](#). [Guidelines to Researchers / Research engineers, postdoctoral researchers](#) [Doctoral student employment](#) - Anyone is entitled to request documents and applications from all recruitment processes, including assessments and decision protocol, in accordance with Swedish legislation. [Guideline to public access to information](#) - All positions are advertised [Information regarding recruiting and advertisement](#) **Identified gap:**	**Initiatives undertaken:**

| 14. Selection (Code) | + + | **Relevant legislation:**

The Swedish Higher Education Act (SFS 1992:1434)   (Högskolelagen)
The Higher Education Ordinance (SFS 1993:100)   (Högskoleförordningen)

Organisational regulation:

See also point 12 and 13.

• The composition of the employment committees is centrally regulated for all schools.
Appointments Procedure at KTH,
Guideline to the appointments procedure
• Experts and members should always be evenly distributed in terms of gender in accordance with Swedish legislation. Appointments Procedure at KTH, Guideline to the appointments procedure
• Students and PhD students are represented in the employment committees according to Appointments Procedure at KTH, Guideline to the appointments procedure
• Templates for selection of doctoral students can be found on Doctoral student Employment
• External assessors review the applications for academic positions in accordance with Appointments Procedure at KTH, Guideline to the appointments procedure
• A range of selection practices are used such as external expert assessment, face-to face interviews, test lectures or work samples Appointments Procedure at KTH, Guideline to the appointments procedure
• Members of the recruitment committees are adequately trained. The chair, vice chair, members (student representatives included) and supporting staff shall undergo such training as the faculty council decides, see Guideline to the appointments procedure, p.2.The training consist of four parts; pedagogical skills, laws and regulations, neutral merit valuation and interview techniques. The training ends with a workshop .The training programs are published at the intranet Staff training and development when available.

Identified gap: | **Initiatives undertaken:** |
| 15. Transparency (Code) | + + | **Relevant legislation:**

The Swedish Higher Education Act (SFS 1992:1434)   (Högskolelagen)
The Higher Education Ordinance (SFS 1993:100) (Högskoleförordningen)
According to the Higher Education Ordinance (SFS 2010 : 1064) Chapter 2 , § 2 , the University Board shall set employment regulations (sw. anställningsordning) that the university applies together with the rules of appointment and promotion of teachers.

Employment Ordinance (1994:373)   (Anställningsförordningen)
Public Access to Information and Secrecy Act (2009:400)   (Offentlighets- och sekretesslagen)

Organisational regulation:

Appointments Procedure at KTH Decided according to chapter 2 section 2 point 9 of the Higher Education Ordinance (1993:100).
Guideline to the appointments procedure Should be read together with the appointments procedure at KTH.

• Recruitment process with standardized routines and templates for advertising always include clear qualification requirements and application guidelines.
• Information about the committees' decisions from the recruitment meetings are always sent to the candidates whom have been interviewed.
• The expert's statements are sent upon request. | **Initiatives undertaken:** |

		• Information about the employment decision is always sent to all candidates through Varbi Recruitment System • All employment decisions are publicly available at KTH´s digital information board. Also see point 14. **Identified gap:**	
16. Judging merit (Code)	**+ +**	**Relevant legislation:** The Public Employment Act (SFS 1994:260) §4 Merits and competence (Lagen om offentlig anställning) The Higher Education Ordinance (SFS 1993:100) chapter 4 (Högskoleförordningen) **Organisational regulation:** • Grounds for assesment in Appointments Procedure at KTH • Great freedom for applicants to refer to merits such as CV and publications etc. • CV-templates (not mandatory). • Members of the recruitment committees are adequately trained. See point 14. • A range of selection practices are used such as external expert assessment, face-to face interviews, test lectures or work samples Appointments Procedure at KTH and the Guideline to the appointments procedure • Electronic recruitment system Varbi Recruitment System. • KTH´s employment procedures include a wide range of selection criteria. Also see point 14. **Identified gap:**	**Initiatives undertaken:**
17. Variations in the chronological order of CVs (Code)	**+ +**	**Relevant legislation:** Employment Ordinance (SFS 1994:373) (Anställningsförordningen) **Organisational regulation:** • In accordance with Swedish legislation. • Great freedom for applicants to refer to merits. • CV-templates for applicants to academic positions (not mandatory). **Identified gap:**	**Initiatives undertaken:**
18. Recognition of mobility experience (Code)	**+ +**	**Relevant legislation:** Act (1974: 981) on employees' rights to time off for studies (Study Leave Act) Act (1997: 1293) on the right to time off to conduct business Act (2008: 565) on the right to leave in order to, because of illness, try another job Leave for employees in the governmental sector for employees of authorities subordinated the government, special rules are stipulated in Ordinance respecting Leave of Absence (1984:111) (Tjänstledighetsförordningen) and in Central collective agreements (Villkorsavtal) Ordinance respecting Leave of Absence also includes rules of right to leave for governmental employees during service abroad. https://www.arbetsgivarverket.se/avtal--skrifter/avtal/villkorsavtal-arbetsgivarverket-seko/ https://www.arbetsgivarverket.se/avtal--skrifter/avtal/villkorsavtal-arbetsgivarverket-ofrspo/	**Initiatives undertaken:**

		https://www.arbetsgivarverket.se/avtal--skrifter/avtal/villkorsavtal-t-arbetsgivarverket-saco-s/ **Organisational regulation:** KTH´s Development plan (A KTH in a global world) Foreign service - URA Relocation Local collective agreements - Also see the Preamble and the information about collective agreements. Trade unions at KTH KTH has different programs in order to promote mobility: International staff exchange International exchange for employees International and centrally financed sabbatical periods STINT Adjunct and affiliated professor at KTH Also see Appointments Procedure at KTH **Identified gap:**	
19. Recognition of qualifications (Code)	+ +	**Relevant legislation:** The Higher Education Ordinance (SFS 1993:100) (Högskoleförordningen) According to the Higher Education Ordinance (SFS 2010: 1064) Chapter 2, § 2, the University Board shall set employment regulations (sw. anställningsordning) that the university applies together with the rules of appointment and promotion of teachers. **Organisational regulation:** Appointments Procedure at KTH (employment regulation) Guideline to the appointments procedure Complement to the appointments procedure at KTH. KTH Development plan KTH has appointed a vice President for global relations. https://intra.kth.se/en/styrning/kths-organisation/kth-s-ledning-1.15618 https://www.kth.se/profile/stefano See also point 18. **Identified gap:**	**Initiatives undertaken:**
20. Seniority (Code)	+ +	**Relevant legislation:** The Discrimination Act (2008:567) (Diskrimineringslagen) The Instrument of Government The Public Employment Act (1994:260) Section 4: (Lagen om offentlig anställning) The Higher Education Act (1992:1434) (Högskolelagen) Collective agreement for Post doc (Swedish Agency for Government Employers, Sw. Arbetsgivarverket) **Organisational regulation:** Core values at KTH Discrimination and grounds for discrimination Appointments Procedure at KTH, Guideline to the appointments procedure See also point 10 and 12	**Initiatives undertaken:**

		Identified gap:	
21. Postdoctoral appointments (Code)	**+ +**	**Relevant legislation:** Employment Protection Act 1982:80 (LAS) (Lagen om anställningsskydd) Collective agreement for Post doc positions **Organisational regulation:** Appointments Procedure at KTH (employment regulation) Guideline to the appointments procedure Complement to the appointments procedure at KTH. Employment profile for post doctor* **Identified gap:**	**Initiatives undertaken:**
Working Conditions and Social Security			
22. Recognition of the profession	**+ +**	**Relevant legislation:** The Swedish Higher Education Act 1992:1434 chapter 1, §6 and chapter 2 §6. (Högskolelagen) Employment Protection Act 1982:80 (LAS) (Lagen om anställningsskydd) https://www.arbetsgivarverket.se/avtal--skrifter/avtal/villkorsavtal-arbetsgivarverket-seko/ https://www.arbetsgivarverket.se/avtal--skrifter/avtal/villkorsavtal-arbetsgivarverket-ofrspo/ https://www.arbetsgivarverket.se/avtal--skrifter/avtal/villkorsavtal-t-arbetsgivarverket-saco-s/ **Organisational regulation:** Local collective agreements - Also see the Preamble and the information about collective agreements. Appointments Procedure at KTH (employment regulation) Guideline to the appointments procedure Complement to the appointments procedure at KTH. Scholarship Funded doctoral student **Identified gap:**	**Initiatives undertaken:**
23. Research environment	**+ +**	**Relevant legislation:** The Work Environment Act (SFS 1977:1160 The Work) (Arbetsmiljölagen) The Work environment ordinance (SFS 1977:1166) (Arbetsmiljöförordningen) Discrimination Act (SFS 2008:567) (Diskrimineringslagen) Social Insurance Act (SFS 2010:110) (Socialförsäkringslagen) Flammable and explosive goods act (SFS 2010:1011) (Lag om brandfarliga och explosiva varor) Flammable and explosive goods ordinance (SFS 2010:1075)(Förordnig om brandfarliga och explosiva varor) Protection against accidents act (SFS 2003:778) (Lag om skydd mot olyckor) Protection against accidents ordinance (SFS 2003:789) (Förordning om skydd mot olyckor) The Environmental Code (SFS 1988:808)(Förordning med instruktion för statens energiverk) Parental leave act (SFS 1995:584) (Föräldraledighetslagen) The Swedish Work Environment Authority´s Statute Book **Organisational regulation:** HR-policy	**Initiatives undertaken:**

		Guidelines on work environment	
		Identified gap:	
24. Working conditions	+ +	**Relevant legislation:** The Work Environment Act (SFS 1977:1160 The Work) (Arbetsmiljölagen) The Work environment ordinance (SFS 1977:1166) (Arbetsmiljöförordningen) Discrimination Act (SFS 2008:567) (Diskrimineringslagen) Social Insurance Act (SFS 2010:110) (Socialförsäkringslagen) Flammable and explosive goods act (SFS 2010:1011) (Lag om brandfarliga och explosiva varor) Protection against accidents act (SFS 2003:778) (Lag om skydd mot olyckor) Protection against accidents ordinance (SFS 2003:789) (Förordning om skydd mot olyckor) The Environmental Code (SFS 1988:808) (Förordning med instruktion för statens energiverk) Parental leave act (SFS 1995:584) (Föräldraledighetslagen) The Swedish Work Environment Authority´s Statute Book The Swedish Work Environment Authority´s Statute Book Central collective agreement (Villkorsavtal) Forsakringskassan Information about sickness benefit for employees. Applying for pension. **Organisational regulation:** Work environment at KTH Physical work environment at KTH Conditions of employment Information for employees Local collective agreements - Also see the Preamble and the information about collective agreements. HR Policy for KTH Relocation Security KTH´s alarm number and safety support number Also see point 10 and 12 **Identified gap:**	**Initiatives undertaken:**
25. Stability and permanence of employment	+ +	**Relevant legislation:** Employment Protection Act (SFS 1982:80) (LAS, Lagen om anställningsskydd) Employment contracts are of indefinite duration. Contracts for temporary employment are allowed in the cases listed below: • Probationary period , not exceeding six months • General temporary-term ALVA • Substitute • Seasonal work • Workers from age 67 General temporary ALVA (SFS1982:80 §5a) A worker may be employed for a defined time on a general temporary employment, ALVA. There are no specific conditions for employment according to ALVA. Though, when a worker has been employed with the support of the ALVA in aggregate more than two years during the last five years, the employment is transformed to a permanent employment. Other temporary employment besides ALVA does not qualify for a permanent position. Employment Regulation (1994:373) (Anställningsförordningen)	**Initiatives undertaken:**

		[Act 2002:293 prohibiting discrimination against part-time workers and workers with fixed-term contracts](#) (Lag (2002:293) om förbud mot diskriminering av deltidsarbetande arbetstagare och arbetstagare med tidsbegränsad anställning) [The Higher Swedish Education Act (1992:1434)](#) (Högskolelagen) [The Higher Education Ordinance (SFS 1993:100), chapter 4-5](#) (Högskoleförordningen) **Organisational regulation:** **Identified gap:**	
26. Funding and salaries	+ +	**Relevant legislation:** https://www.uhr.se/en/start/laws-and-regulations/Laws-and-regulations/The-Higher-Education-Ordinance/#chapter7 National collective agreements exist between employers and the unions SACO - S and OFR / S, P, O. that ensures researchers receive a contractual salary and equitable social security provisions. https://www.arbetsgivarverket.se/avtal--skrifter/ https://www.arbetsgivarverket.se/avtal--skrifter/avtal/villkorsavtal-arbetsgivarverket-seko/ https://www.arbetsgivarverket.se/avtal--skrifter/avtal/villkorsavtal-arbetsgivarverket-ofrspo/ https://www.arbetsgivarverket.se/avtal--skrifter/avtal/villkorsavtal-t-arbetsgivarverket-saco-s/ 'Kammarkollegiet' provides a national group insurance covering all foreign scientists doing research. https://www.kammarkollegiet.se/engelska/start/all-services/insurance-for-foreign-visitors The Swedish Pensions Agency´s assignment is to administer and disburse the national pension, but also to provide both general and individual information about pensions. [Swedish Pensions Agency](#) Possibility to unemployment benefits through [Swedish Public Employment Service](#) and [The Swedish Unemployment Insurance](#) [The Swedish Employment Protection Act](#) After two years of fixed-term employment, employees become permanent employees, with the exception of certain positions e.g. within artistic activities. [Trygghetsstiftelsen - Supports government employees](#) **Organisational regulation:** https://intra.kth.se/anstallning/anstallningsvillkor/lokala-kollektivavtal-1.438079 [Local collective agreements](#) - Also see the Preamble and the information about collective agreements. [Scholarship Funded doctoral student](#) [Doctoral student salary agreement](#) [Salary review](#) • In accordance with Swedish legislation and collective agreement. • Doctoral students are employed for a period corresponding to 100% study activity for a maximum of four years (for a doctoral degree). It is common for doctoral students to have so-called departmental service with a maximum of 20%, studies will then be 80% and doctoral studies for a total of five years. • Salary Analysis is conducted annually to ensure equal pay for women and men, but also to ensure that the salaries are not unduly biased.	**Initiatives undertaken:**

		Identified gap:	
27. Gender balance	**+ +**	**Relevant legislation:** See point 10. **Organisational regulation:** Appointments Procedure at KTH (employment regulation) Guideline to the appointments procedure Complement to the appointments procedure at KTH. Guidelines on gender Diversity and EqualOpportunities Training, including gender-balanced perspectives, is mandatory for members of recruitment committees. See Appointments Procedure and complementary guideline. **Identified gap:**	**Initiatives undertaken:** See point 10. Each school has appointed responsible officers for "Future Faculty", meaning responsibility to specially focus on gender-balanced recruitment and ensure a long-term assurance of gender-balanced aspects in all appointments and positions. <mark>Action no 5.</mark>
28. Career development	**+ +**	**Relevant legislation:** The Higher Education Ordinance (SFS 1993:100), chapter 6, §§§ 3, 28, 29 (Högskoleförordningen) Individual study plan (section 29) An individual study plan shall be drawn up for each doctoral student. This plan shall contain the undertakings made by the doctoral student and the higher education institution and a timetable for the doctoral student's study program. The plan shall be adopted after consultation with the doctoral student and his or her supervisors. The individual study plan shall be reviewed regularly to the extent required after consultation with the doctoral student and his or her supervisors. **Organisational regulation:** Third cycle, Doctor/KTH Intranet https://intra.kth.se/polopoly_fs/1.883360.1561640348!/Guideline_on_Third-Cycle_Studies.pdf Overview of courser in Teaching and Learning at KTH/KTH Intranet Academic career development at KTH Eligibility requirements and grounds of assessment for promotion Academic staff's opportunity to apply for a Lectureship, an academic title showing a higher scientific competence regarding research and teaching expertise. Tenure Track Assistant professors and Associate professors. Appointments Procedure at KTH Guideline to the appointments procedure Complement to the appointments procedure at KTH. All managers are offered leadership development program and courses on managerial support and duties. KTH Research Support Office provides support for research collaboration leaders through thematic seminars and best practice. Support for Research Collaboration Competence **Identified gap:**	**Initiatives undertaken:** KTH has fully implemented EU C&C principles in this area. Nevertheless, an awareness exists of the need for improvements primarily within visibility and clarity of existing activities. Discussions are currently being held on how to improve this in order to provide an overview of the actual services available that helps researchers getting a clearer picture of what issues can be important in their career development planning and where to find more information.

29. Value of mobility	+ +	**Relevant legislation:** See point 18. **Organisational regulation:** See point 18. **Identified gap:**	**Initiatives undertaken:**
30. Access to career advice	+ +	**Relevant legislation:** The Higher Education Ordinance (SFS 1993:100), chapter 6, §§§ 3, 28, 29 (Högskoleförordningen) **Organisational regulation:** Government employee – TSn.se Life and Career Planning /KTH Intranät https://intra.kth.se/en/anstallning/karriar/livs-och-karriarprogram-1.562370 Academic career development at KTH/KTH intranät https://intra.kth.se/en/anstallning/karriar/karriar-och-kompetensutveckling-kompetensstod/tenure-track-1.903361 **Identified gap:**	**Initiatives undertaken:** See point 28.
31. Intellectual Property Rights	+ +	**Relevant legislation:** Act (1949: 345) on the Right to Employee Inventions (Lag om rätten till arbetstagares uppfinningar) The Swedish Higher Education Act (1992:1434 §3a (Högskolelag (1992:1434) 1 kap 6 §) **Please note;** *"Principles for handling intellectual property in research agreements" (Principer för immaterialrättslig hantering i forskningsavtal)* by the Association of Swedish Higher Education, is recommended as praxis for Swedish Higher Education Institutes. https://suhf.se/app/uploads/2019/12/SUHF-Principles-for-managing-intellectual-property-in-research-contracts-Recommendation-2016-3.pdf **Organisational regulation:** Research Support Office, RSO, at KTH support the researchers and legal signatories in contractual and legal matters. https://intra.kth.se/en/styrning/kths-organisation/gvs/rso/forskningsstod-1.876021 https://intra.kth.se/en/styrning/kths-organisation/gvs/rso/affarsjuridik-1.884365 KTH Innovation is a division within KTH offering free and objective support in all areas when commercializing research results, including legal counceling on all issues surrounding contracts, immaterial rights, agreements and patenting. https://www.kth.se/en/innovation https://www.kth.se/en/innovation/vi-erbjuder/kth-innovation-erbju/patent-ipr-1.715832 Policy for intellectual property created at KTH See points, 5, 8 and 32. **Identified gap:**	**Initiatives undertaken:** KTH researchers are successful leaders of numerous research collaboration with industry and public sector (Centers, EU-projects, Strategic Innovation Programs, Platforms etc). KTH Research Support Office provides support for research collaboration leaders through thematic seminars and best practice networking. Support for Research Collabortion Competence **Action no 8.** See also point 28.
32. Co-authorship	+ +	**Relevant legislation:** There is no specific Swedish legislation regarding co-authorship in research.	**Initiatives undertaken:** A revised policy for scientific publishing See point 8.

		Please note; *"Principles for handling intellectual property in research agreements"* *(Principer för immaterialrättslig hantering i forskningsavtal)* by the Association of Swedish Higher Education, is recommended as praxis for Swedish Higher Education Institutes. https://suhf.se/app/uploads/2019/12/SUHF-Principles-for-managing-intellectual-property-in-research-contracts-Recommendation-2016-3.pdf **Organisational regulation:** **Identified gap:**	**Action no 4.**
33. Teaching	+ +	**Relevant legislation:** The Higher Education Ordinance, chapter 5, section 2: (Högskoleförordningen) 'Those appointed to doctoral studentships shall primarily devote themselves to their studies. Those appointed to doctoral studentships may, however, work to a limited extent with educational tasks, research and administration. Duties of this kind may not comprise more than 20 per cent of a full-time post.' **Organisational regulation:** Overview of courses in Teaching and Learning at KTH/KTH Intranet Appointments Procedure at KTH, (employment regulation) Guideline to the appointments procedure (complement to the appointments procedure) KTH's requirement of 15 credits in academic teaching for employment or promotion to a teaching position. https://intra.kth.se/en/anstallning/karriar/karriar-och-kompetensutveckling-kompetensstod/befordringar/ansokan-om-befordran-1.325736/ansokan-om-befordran-1.328613 (See pedagogical portfolio at KTH on above link)) https://intra.kth.se/en/anstallning/karriar/karriar-och-kompetensutveckling-kompetensstod/tenure-track-1.903361 Educational Development and Teaching and Learning in Higher Education/KTH Intranet Workshops and seminars on teaching and learning/workshops/KTH Intranet Workshops and seminars on teaching and learning/courses **Identified gap:**	**Initiatives undertaken:**
34. Complains/ appeals	+ +	**Relevant legislation:** Please note: see preamble! The Work Environment Act (SFS 1977:1160) (Arbetsmiljölagen AML) Systematic work (AFS 2001 : 1),SAM, regulations Systematiskt arbetsmiljöarbete (AFS 2001:1), föreskrifter Organisational and social working environment (AFS 2015:4) Organisatorisk och social arbetsmiljö (AFS 2015:4) Discrimination Act (SFS 2008:567) (Diskrimineringslagen) https://www.arbetsgivarverket.se/globalassets/avtal-skrifter/centralaavtal/rals-rals-t-2017-2020/rals-2017-2020-seko.pdf **Organisational regulation:** **Identified gap:**	**Initiatives undertaken:**
35.	+ +	**Relevant legislation:** The Swedish Higher Education Act 1992:1434 chapter 2 §6. (Högskolelagen)	**Initiatives undertaken:**

Participation in decision-making bodies		The Higher Education Ordinance (SFS 1993:100) Chapter 2, §7a (Högskoleförordningen) **Organisational regulation:** https://intra.kth.se/polopoly_fs/1.914373.1565074813!/Guideline_on_Student_Influence.pdf Trade unions at KTH **Identified gap:**	**School Assemblies** for each of the schools are established and active from 2020, with open meetings twice every six months. The purpose is to have an open forum for discussion of any matter related to the specific school and to the organisation in whole. <mark>Action no 6.</mark> **KTH Kollegialt Forum** is established and active from 2020 and is a forum related to the School Councils with elected representatives for a period of two years from each school and with purpose to deal with all relevant matters that concerns the organisation, embracing both local and central levels. Meetings held twice every six months. The establishment of fora representing both local and central issues, is an essential and prioritized ambition for creating good grounds for an open approach to ideas, views and opinons of any matter that contributes to continuous improvements. <mark>Action no 7.</mark>
Training and Development			
36. Relation with supervisors	+ +	**Relevant legislation:** The Higher Education Ordinance, Chapter 6, section 28: (Högskoleförordningen) 'At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor. The doctoral student* is entitled to supervision during his or her studies unless the vice-chancellor has decided otherwise by virtue of Section 30. A doctoral student who so requests shall be allowed to change supervisor.' *PhD candidate is called "doctoral student" in Swedish. **Organisational regulation:** https://intra.kth.se/polopoly_fs/1.883360.1561640348!/Guideline_on_Third-Cycle_Studies.pdf	**Initiatives undertaken:**

		https://www.dr.kth.se/phd-candidate-advisor/ **Identified gap:**	
37. Supervision and managerial duties	+ +	**Relevant legislation:** The Higher Education Ordinance (SFS 1993:100) (Högskoleförordningen) See point 36. **Organisational regulation:** https://intra.kth.se/polopoly_fs/1.883360.1561640348!/Guideline_on_Third-Cycle_Studies.pdf https://intra.kth.se/utbildning/utveckling-och-hogskolepedagogik https://intra.kth.se/utbildning/utveckling-och-hogskolepedagogik/hogskolepedagogik/kurser Overview of courses in Teaching and Learning at KTH/KTH Intranet Doctoral Supervision 3.0 credits Leading Educational Development Staff training and development/KTH Intranet Appointments Procedure at KTH (When KTH is hiring or promoting a teacher, supervision and managerial duties are two of other assessment criteria) **Identified gap:**	**Initiatives undertaken:**
38. Continuing Professional Development	+ +	**Relevant legislation:** The Higher Education Ordinance (SFS 1993:100), Chapter 6, §29 (Högskoleförordningen) **chapter 6, section 29: Individual study plans** An individual study plan shall be drawn up for each doctoral student. This plan shall contain the undertakings made by the doctoral student and the higher education institution and a timetable for the doctoral student's study program. The plan shall be adopted after consultation with the doctoral student and his or her supervisors. **Organisational regulation:** https://intra.kth.se/en/anstallning/karriar/karriar-och-kompetensutveckling-kompetensstod/tenure-track-1.903361 See points 28, 30 and 33. Appointments Procedure at KTH, (employment regulation) Guideline to the appointments procedure (complement to the appointments procedure) Educational Development and Teaching and Learning in Higher Education/KTH Intranet Staff training and development/KTH Intranet Tenure Track/KTH Intranet All managers are offered leadership development programs and courses on managerial support and duties. KTH Research Support Office provides support for research collaboration leaders through thematic seminars and best practice networking. Support for Research Collaboration Competence **Identified gap:**	**Initiatives undertaken:**
39.	+ +	**Relevant legislation:**	**Initiatives undertaken:**

| Access to research training and continuous development | | The Higher Education Ordinance (SFS 1993:100), Chapter 6, §29 (Högskoleförordningen) See point 38 and 39.

Organisational regulation:

https://intra.kth.se/en/anstallning/karriar/karriar-och-kompetensutveckling-kompetensstod/tenure-track-1.903361
Overview of courses in Teaching and Learning at KTH/KTH Intranet

KTH's requirement of 15 credits in academic teaching for employment or promotion to a teaching position.
https://intra.kth.se/en/anstallning/karriar/karriar-och-kompetensutveckling-kompetensstod/befordringar/ansokan-om-befordran-1.325736/ansokan-om-befordran-1.328613
(See pedagogical portfolio at KTH on above link))

https://intra.kth.se/en/anstallning/karriar/karriar-och-kompetensutveckling-kompetensstod/tenure-track-1.903361

Educational Development and Teaching and Learning in Higher Education/KTH Intranet

Workshops and seminars on teaching and learning/KTH Intranet
https://intra.kth.se/en/utbildning/utveckling-och-hogskolepedagogik/hogskolepedagogik/kurser
https://intra.kth.se/en/utbildning/utveckling-och-hogskolepedagogik/hogskolepedagogik/workshops
Tenure Track/Pil
Appointments Procedures at KTH

Identified gap: | |
| 40. Supervision | ++ | **Relevant legislation:**

The Higher Education Ordinance (SFS 1993:100) (Högskoleförordningen)

See point 37.

Organisational regulation:

Academic Career Development
Third cycle, Doctor/KTH Intranet
Overview of courses in Teaching and Learning at KTH/KTH Intranet
Doctoral Supervision 3.0 credits Leading Educational Development

Identified gap: | Initiatives undertaken: |

TEMPLATE 1 – GAP ANALYSIS - PROCESS

Case number: **2019SE440593**
Name Organisation under review: **KTH Royal Institute of Technology**
Organisation's contact details: Petra Rosenquist, University Administration, HR,
Tel: +46 8 790 69 97, E-mail: petraro@kth.se , www.kth.se

SUBMISSION DATE: 23/6 2020   MODIFIED WITH COMPLEMENTARY INFORMATION AS PER JANUARY 2021
DATE ENDORSEMENT CHARTER AND CODE: 2019 08 26

PROCESS

The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues. [1]
These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HRS4R strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4[2], as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.
Please provide the name, the position and the management line/ department of the persons who are directly or indirectly engaged in the HRS4R process in your organisation:

In December 2018, head of Research Support Office, Maria Gustafson, initiated a management-level discussion on the topic of the EU Charter and Code with President Sigbritt Karlsson. Following the initial dialogue, the President decided to extend the discussions further with the Strategic Council in a meeting.

The Strategic Council consists of the President, Deputy President, Dean of Faculty, Vice Dean of Faculty, Vice Presidents, University Director, all Heads of Schools, two student representatives and the Communication Manager.

The Strategic Council decided unanimously on December 11 to implement C&C. The HRS4R process was also identified as one of the enablers to achieve the goals expressed in the Strategic Development Plan (2018-2023). The President took the official decision on May 14, 2019, she is also the project owner.

In June 2019, KTH employed a project manager (former project manager for EU C&C at SUHF, The Association of Swedish Higher Education Institutions) in order to pursue the preparations and application procedures for the implementation process.

The Steering committee and the Project Group were formed during the summer 2019.
President Sigbritt Karlsson appointed the Steering Committee, assuring overall responsibilities within research, quality assurance, administration and internationalization. The Steering Committee consists of Dean of Faculty, Vice President of Research, University Director and Vice President of Global Relations and international co-operations. The Steering Committee has overlooked the progress of the process, has the overall responsibility, decide necessary measures and has approved the final action plan and application.

The Project group consists of the Project Manager, the Head of Research Support Office, the Head of Personnel, a representative from the Communications department and a Quality Assurance Officer. In addition to these permanent members, affiliated persons have participated temporarily, according to their areas of responsibility. The Project group has the operative responsibility of the process and the Project Manager has the coordinating responsibility of the whole process and is draftsman for the Steering Committee.

Both the Steering Committee and the Project Group have met on a regularly basis once a month.

The gap analysis was performed during September – December 2019 with working groups put together according to areas of responsibilities. The outcome was recited by the Project manager for the Steering Committee in

February 2020. Discussions and evaluation of the result during spring 2020 rendered decisions by the Steering Committee of intended actions expressed in the Action Plan.

Parallel to the fulfillment of the gap analysis and the planning of the future implementation, the entire organisation has been informed in meetings as well as via the web site and via directly addressed newsletters.

Consultation in all stakeholder groups, including representatives of all researcher groups R1-R4, has been made accordingly during the entire HRS4R Initial Phase, as much as have been possible due to the current pandemic situation.

Nevertheless, the unforeseen and unfortunate spreading of the Corona-virus has had an impact on the process, which has forced us to modify some of the preparations.

KTH has during the spring 2020 redirected all teaching, tuition, training and other activities to working and teaching activities via internet and to pursue all activities on a distance basis. Both students and all other staff have been forced to adjust to a situation which has demanded extraordinary efforts from all parts. As many others, we do not know for how long the situation will last, and we have to plan accordingly.

Following this situation, the discussion seminars, planned to have taken place at each school during the spring 2020, has not been possible to fully go through with, as intended. KTH is well aware of this incompletion of the preparatory consulting discussions in all stages of the organization due to the pandemic situation. This is also an incompletion that KTH needs to remedy on a larger scale.

Therefore, and in order to compensate this situation, focus is set on increasing the intercommunication within the organization and to strengthen the consulting discussions with all stakeholder groups.
This is done, primarily with the establishment of the discussion fora listed in the action plan, and secondly by stepping up the activity in these fora. Efforts are concentrated to remedy an intercommunication that needs to be strengthened throughout the entire organization. KTH's major challenge, as a large and complex organisation, is to continuously make sure that communication channels are held open and used frequently. Assuring an open and unbiased dialogue is the presumption and the beginning of any improvement whatsoever. This is the main issue expressed in our action plan.

The Steering Committee, assures that opportunities for discussion will be systematically and continuously arranged. Further consulting will be done during the whole implementation phase, alongside all the momentums of the process and in communicative exchange with the stakeholder groups.
Each responsible unit are obliged to take precautions in order to assure the full implementation. Follow-up will be done by an Officer from the department of Planning, Quality Assurance and Administrative law.
In addition, and as recommended by the Commissions HRS4R-team, a questionnaire is prepared for within the next 24 months.

Further consulting will also be done continuously during the whole implementation phase, alongside all the momentums of the process and in communicative exchange with the stakeholder groups.

Strategic development and quality work at KTH are systematically organized in such a way that a continuous monitoring of quality assurance is done, including all relevant domains for any improvement and/or implementation.

The KTH quality assurance system has recently been modified. It consists of two main coherent parts, one is the annual on-going monitoring and the other is the six-year cycle of periodic review (divided into education and research). It follows the guidelines of UKÄ, the Swedish Higher Education Authority.

The implementation of EU C&C will be integrated in the overall quality system.
A periodic review of Research including collaboration is carried out as a Research Assessment Exercise (RAE) once every six years and is the responsibility of the KTH Vice President for Research.

The yearly quality dialogue is a part of the annual on-going monitoring. This year's dialogue was held from January to May. It embraces education, research, collaboration as well as faculty development and the providing of competence through recruitment and/or training. It is based on reports from each school and monitored in

coherence with strategic goals, led by the Dean of Faculty together with the vice Dean of Faculty. Issues are discussed according to what has been decided strategically with members of the Faculty Council, the Appointments Board and the Board of Education. The Dean of Faculty is a member of the Steering Committee for implementing the principles of EU C&C. The Project Leader of implementing EU C&C is a member of the analysis group in the quality dialogue of 2020. The principles of EU C&C are automatically embedded in this process.

Since RAE focuses on the quality of the actual research in itself and its results, and EU C&C focuses on the quality for the individual researcher's surrounding conditions, the research assurance system of KTH embraces dual aspects with the strategic aim to strengthen the quality of all research, as well as the conditions for researchers at KTH.

The initiative of establishing i.e. the School Assemblies, KTH Kollegialt forum, Future faculties, Erfa-groups etc, as mentioned in the gap analysis (§§27 and 35), is a result of the intent to create fora for discussions on any topic, strengthen communication between all parts of organisation and assure reciprocal impact for a constructive and positive development.

Persons engaged in the HRS4R process.

Name	Position	Management line/ Deptm
Charlotta Fransén (2019-sept 2020) Johanna Ekander (from Oct 2020) Petra Rosenquist (from Feb 2021)	Project Manager EU Charter & Code Draftsman Steering Committee	University Administration, Research Support Office HR, Staff training and development
Anders Forsgren	Dean of Faculty, Responsible for quality of research and education Member of Steering Committee	University Management
Kerstin Jacobsson	University Director, Responsible for university-wide administration Member of Steering Committee	University Management
Stefan Östlund	Vice President for global relations and overall international co-operations Member of Steering Committee	University Management
Annika Stensson Trigell	Vice President for Research Member of Steering Committee	University Management
Anna Wahl	Vice President for gender equality and values	University Management
Sofia Ritzén	Vice Dean of Faculty, Responsible for quality of research and education	University Management
Maria Gustafson	Head of Research Support Office Member of project group	Research Support Office
Annica Fröberg	Head of HR Department Member of project group	Human Resources
Lotta Gustavsson	Head of unit, HR, Deputy HR Manager Deputy member project group HR Manager	Human Resources
Petra Rosenquist	HR Specialist, Deputy HR Manager Member of Project group, affiliated January 20 onwards	Human Resources
Annifrid Pålsson	Head of unit Member of Project group	Communication and Business Liaisons
Magnus Johansson	Quality Assurance Officer Member of Project group, affiliated from February 20 onwards	Planning, Quality Assurance and Administrative law
Marianne Loor	Communication officer Member of Project group, Affiliated August 19- February 20	Research Support Office
Marianne Norén	Communication officer	Communication and Business Liaisons
Johanna Ekander	Head of unit, Staff training and development	Human Resources
Maria Salling	Head of unit, Recruitment	Human Resources
Sara Nödveidt	System administrator, statistics	Human Resources
Inger Wikström Öbrand	Quality Assurance Officer	Planning, Quality Assurance and Administrative law
Robin Roy	Archivist, Data Protection Officer, DPO	Archives and Registration
Patrik Lidehäll	IT Security Manager	IT STAB

Jessika Persson	Head of unit	Archives and Registration

Provide information on how the above groups were involved in the GAP-analysis:

*Stakeholder group	*Consultation format	Outcomes
Strategic Council Consists of the President, Vice President, Dean of Faculty, Vice Presidents, University Director, Head of Schools, three student representatives and Head of Communications. https://intra.kth.se/en/styrning/kths-organisation/rektor/rad/strategiskt-rad-1.15630	Meeting 2019 11 12 PL and the council Continuous meetings in the council during the whole year 19/20 and continuous meetings between PL and members of the council throughout the year.	On-going discussions throughout the year has been held on the topic of need for improved intercommunication and creating good conditions for an open, unprejudiced exchange of ideas and to intercept needs for improvements at all levels. Several members of the council are members in other strategic groups which assures further consultations.
Faculty Council Consists of 13 elected members, of whom seven are professors and associate professors, three are student representatives, three representatives appointed by the employees organization and one employed by other employer than KTH. The Faculty Council also embraces the **School Faculty Assemblies** and **KTH's Collegial Forum.** The School Faculty Assemblies represent each school and has the overall responsibility for collegial dialogue. They are led by elected members R3-R4, and are open and regular meetings to all R1-R4, incl administrative staff. The School Faculty Assemblies agenda and memos are therefore sent out to all of the schools colleagues and meeting times are posted on the school's web. The schools **Doctoral Student Council** and a **representative from the PHD**	Meeting 2019 11 06 PL and the council Continuous meetings during the whole year 19/20 in Faculty Council and in School Faculty Assemblies and with the Doctoral Student Councils.	The topic of the discussions has much concerned how to increase the level of interaction between different parts of the university; between administration and researcher/education, in between the schools and between researchers at all levels, and between education/research. The goal is to strengthen the networking structure for intercommunication.

Student Chapter are also summoned to the meetings. https://intra.kth.se/styrning/kths-organisation/rektor/kths-fakultetsrad/fakultetsradet-1.972900		
Research Support Office RSO consists of administrative staff but is nevertheless an important and direct link to the stakeholder group, keeping continuous and frequent contacts with researchers R1-R4 on a daily basis, helping them with their various needs and supporting the research community. https://intra.kth.se/en/styrning/kths-organisation/gvs/rso/forskningsstod-1.876021	Meeting 20190828 and initial discussion in the RSO group. Series of meetings in the group during the whole year 19/20. Continous meetings and contacts with individual researchers R1-R4 during the year 2019/2020. The interception from the researchers needs is a valuable source of input for topics to be discussed in the RSO group for achieving better service and increased support at all levels.	Ongoing discussions on how to increase visibility on the web of existing support activities produced by RSO for researchers on all levels, linked to other career developing activities produced on HR or elsewhere within KTH. The goal is to obtain a clear and more easily achieved information for all researchers at all levels in their career on support for research collaboration competence and other developing activities.
Human Resources interplaying with the schools' administrations and the central administration. 1) A network for recruitment is led by Maria Salling, head of recruitment, and Kerstin Lagerstedt, coordinator for teacher appointments on the central HR department. Members of this network are representatives of the local HR departments working with recruitment at the schools. 2) An additional network is initiated as a joint effort of both the central HR department and RSO, Research Support Office, focusing improved recruitment procedures for "international" employments/appointments. Members of the network consists of representatives from both central and local HR department.	Meeting and consultation 20191009 HR Mgmt group Continuous meetings and dialogues.	Activities has been initiated to improve the visibility on the website on policies and guidelines; where to find information and a more clearly expressed information, including systematic overview of documents translated to English. Activities of importance to both researchers and administrative staff. Ongoing discussions on how to strengthen career opportunities and to make them more visible on the website. Both networks (1 and 2) are aiming at spreading knowledge and exchange experiences between the central HR department, the local HR departments and Research Support Office in order to reach improved efficiency in recruitment procedures for the benefit of open, transparent and merit-based recruitment, and facilitate procedures for all parts involved, both applicants and HR staff.

SCI, School of Engineering sciences	Meeting and consultation 26/11 2019 mgmt + adm + R1-R4 repr	Ongoing discussions are held on topics much in the same areas in all of the schools; increased administrative efficiency, less administrative burden, a more visible and comprehensive structure of central policies and guidelines, and improved intercommunicative structures in order to facilitate the interception of identified areas of improvements and increased possibilities to exchange ideas with the central organization.
ABE, School of Architecture and the Built Environment	Meeting and consultation 18/12 2019 mgmt + adm + R1-R4 repr	The same outcome for all the schools. See above SCI school.
CBH, School of Engineering Sciences in Chemistry, Biotechnology and Health	Meeting and consultation 11/12 2019 mgmt + adm + R1-R4 repr	The same outcome for all the schools. See above SCI school.
ITM, School of Industrial Engineering and Management	Meeting and consultation 17/12 2019 mgmt + adm + R1-R4 repr	The same outcome for all the schools. See above SCI school.
EECS, School of Electrical Engineering and Computer Science	Meeting and consultation 2020 03 02 with school management	The same outcome for all the schools. See above SCI school.
Quality Management Group	Ongoing series of meetings	Discussions have been initiated for an effective integration of the planned actions expressed in the action plan with the overall quality monitoring system, to secure fulfilment of the planned actions.

Please describe how was appointed the Committee overseeing the process:

Free text 200 words maximum

The Steering Committee was appointed by President Sigbritt Carlsson after proposal from Project Manager Charlotta Fransén.
The Committee was appointed in order to assure the implementation of EU C&C within the entire organisation, with committee members representing the top level management and embracing the overall responsibilities within research, quality assurance, administration and internationalization and to assure consultation with all stakeholder groups.
Members of the Steering Committee are:
- Annika Stensson Trigell, professor and Vice President for research
- Anders Forsgren, professor, Dean of faculty, Responsible for the quality of research and education
- Stefan Östlund, professor, Vice President with responsibility for Global Relations and international co-operations
- Kerstin Jacobsson, University Director with responsibility for university-wide administration

Please describe how was appointed the Working Group responsible for the implementation of the HRS4R process:

Free text 200 words maximum

The Project Manager, Charlotta Fransén, was appointed by President Sigbritt Karlsson after suggestion from the Head of Research Support Office, Maria Gustafson, and the HR Manager, Annica Fröberg. The Head of Research Support, the HR Manager and the Project Manager formed the initial project group in June 2019, with liability to coordinate operational issues, commissioned to make decisions to pursue the operational work and with flexibility to involve additional persons along the process.
In August 2019, one member representing Communications and Business Liaisons, Annifrid Paulsson, was added.
HR Specialist Petra Rosenquist has been coordinator of the HR issues together with Deputy HR Manager and Head of unit Lotta Gustavsson.

During the gap analysis process, additional persons with responsibility for various areas relevant to the process, were engaged according to their accountabilities.

From February 2020, a Quality Assurance Officer was added to the Project Group, focusing the integration of EUC&C into the overall quality work. The department of Planning, Quality Assurance and Administrative law is responsible for coordinating and monitoring the overall quality processes of KTH.

The Project Manager has organised, coordinated and driven the overall process with support from both the Project Group and the Executive Committee.
What has been planned in the Project Group, has been consulted for and approved by the Steering Committee to be executed.