Beslut om KTH:s interimsrapport / reviderade handlingsplan enligt HR-strategi för forskare (HRS4R) 2023-2026 - EU Charter & Code

Detta beslut har undertecknats elektroniskt.

Beslutet

Rektor beslutar att fastställa KTH:s reviderade interimsrapport/handlingsplan enligt HR-strategi för forskare (HRS4R) 2023-2026 - EU Charter & Code.

Ärendet

År 2021 anslöts Kungl. Tekniska högskolan (KTH) till EU Charter & Code och tilldelades certifieringen *HR Excellence in Research*. Certifieringen är en kvalitetsstämpel och betyder dels att KTH har uppfyllt många av de högt ställda EU-kraven på en ansvarsfull och professionell arbetsgivare, dels har åtagit sig ett kontinuerligt kvalitetsarbete inom områdena etiskt och professionellt ansvar, arbetsvillkor, rekrytering, kompetensutveckling och karriärstöd för forskare.

I enlighet med kraven för att behålla certifieringen, har KTH arbetat med aktiviteterna i den initiala handlingsplanen samt upprättat en reviderad handlingsplan med ny nuläges-beskrivning, självutvärdering och nya aktiviteter. Senast 2023-06-07 ska KTH lämna in den reviderade interimsrapporten/handlingsplanen till EU-kommissionen för granskning och återkoppling. Därefter har KTH 36 månader på sig att implementera den reviderade handlingsplanen, varefter nästa granskning av EU-kommissionen sker 2026 genom platsbesök på KTH.

Interimsrapporten/den reviderade handlingsplanen har tagits fram genom ett berednings-arbete utfört av HR-specialister inom arbetsrätt och arbetsmiljö, gruppchef för kompetens-försörjning/personalutveckling/Equality Office, funktionsansvarig för personalutveckling, JML-strateg, gruppchef för rekrytering, funktionsansvarig för lärartillsättningar, systemförvaltare, dekanus och prodekanus.

Innan beslut har interimsrapporten/handlingsplanen gått på remiss till personalavdelningens ledningsgrupp och skolornas HR-ansvariga samt samverkats i KTH:s centrala samverkans-grupp.

Detta beslut har fattats av rektor Anders Söderholm efter föredragning av handläggare Petra Rosenquist. Närvarande vid beslutet var universitetsdirektör Kerstin Jacobsson, biträdande universitetsdirektör Fredrik Oldsjö, ordförande för Tekniska högskolans studentkår Cornelia Haag och utredare Åsa Gustafson.

Kungl. Tekniska högskolan

Anders Söderholm

Anders Söderholm, rektor

Petra Rosenquist

Petra Rosenquist, HR-specialist, personalavdelningen verksamhetsstödet

Bilaga 1: KTH:s reviderade handlingsplan enligt HR-strategi för forskare (HRS4R) 2023-2026.

Sändlista

För åtgärd:

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Expeditionsdatum:

2023-05-31

Bilaga 1: KTH:s reviderade handlingsplan enligt HR-strategi för forskare (HRS4R) 2023-2026.

Interim report and revised ACTION PLAN HRS4R - EU Charter & Code

Case number: 2019SE440593
Name Organisation under review: KTH Royal Institute of Technology
Organisation's contact details: Petra Rosenquist petraro@kth.se Operational Support, HR-Department

SUBMISSION DATE: JUNE 7, 2023

1. ORGANISATIONAL INFORMATION

*Please provide a limited number of key figures for your organisation. Figures marked * are compulsory.*

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research	2 781[1]
Of whom are international (i.e. foreign nationality)	1 331
Of whom are externally funded (i.e. for whom the organisation is host organisation)	674
Of whom are women	887
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	1 016[2]
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	477[3]
Of whom are stage R1 = in most organisations corresponding with doctoral level	1080[4]
Total number of students (if relevant)	12547
Total number of staff (including management, administrative, teaching and research staff)	4026
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	516 700 000 Euro
Annual organisational direct government funding (designated for research)	114 000 000 Euro
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	105 900 000 Euro
Annual funding from private, non-government sources, designated for research	61 800 000 Euro
ORGANISATIONAL PROFILE *(a very brief description of your organization, max. 100 words)*	
KTH Royal Institute of Technology in Stockholm is one of Europe's leading technical and engineering universities and Sweden's largest technical research and learning institution. The organisation embraces five schools and a central management. KTH include academia and the public and private sectors working together, producing world leading, high impact research in all branches of engineering. We are part of extensive international research collaborations and participate in a large number of global academic educational exchange or joint programs. We develop sustainable solutions within areas such as; climate change, future energy supply, urbanization and quality of life for the rapidly-growing elderly population.	

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[1] Does not include PhD students that are not employed.
[2] Includes Professor, Visiting professor, Adjunct professor, Researcher and Associate professor
[3] Includes Postdocs and Research Engineers.
[4] Includes only PhD students with employment.

2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE:

Please provide an overview of the organization in terms of the current strengths and weaknesses of the current practice under the four thematic headings of the Charter and Code at your organization.

Thematic heading of the Charter and Code	STRENGTHS and WEAKNESSES
1. Ethical and professional aspects	free text maximum 500 words KTH is a university with cooperation with many external parts, both national and international, as well as cross-disciplinary areas and have therefore established strategical guidelines and systems in order to strive to assure quality in all parts of the organisation. The KTH Quality Assurance System consists of two main coherent parts; one is the annual on-going monitoring and the other is the six-year cycle of periodic review. Since KTH now also is part of EU Charter & Code and CoARA, we have sstrengthened the quality assurance system. According to the outcome of the initial gap analysis 2020, KTH stands strong within all the areas *research freedom, ethical principles, professional responsibility, professional attitude, contractual and legal obligations, accountability, good research in practise, dissemination, exploitation of results, public engagement, non -discrimination and evaluation/appraisal systems.* Nevertheless, in line with strategic efforts to proactively and continuously assure a high level of standard of these values throughout the entire organisation, initiatives have been taken according to the initial action plan from 2020 for improvements. Since the previous action plan was established, an Ethical Committee has been instituted with purpose to regularly 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. Discussing ethical principles is also strengthening focus on ethical values in a stage where KTH develops further international contacts. There is also a sub-committee to the ethical committee which manages possible suspicion of deviation from good research manner at KTH (which by Swedish law is registered at the President of KTH). Due to the changed world situation, KTH has extended its focus from ethical matters to responsible internationalization. In 2021 the Council for International Cooperation was therefore replaced by the Advisory Group for Internationalization that works with issues related to internationalization in general. According to KTH´s operational plan educational efforts will be carried out for teachers and researchers at the schools and for staff within the operational support. KTH also focuses on Open science which aims to make the research process more open and inclusive. Both at the international and national level, a transition work is underway for open science. With regard to this, KTH will implement SUHF's roadmap for open science. Future faculty responsible at each school still works both proactively and reactively according to the national legislation and organizational regulations, in order to secure that a gender balanced policy is implemented throughout the entire organization and in order to secure its continuity.

2. Recruitment and selection	free text maximum 500 words An overall aim for KTH is to assure a strong position and attract the most qualified academic staff from all over the world. Therefore, recruitment procedures are thoroughly elaborated to assure high quality standards of recruiting. The gap analysis 2020 states that the areas of *selection, transparency, judging merit, variations in the chronological order, recognition of mobility experience, recognition of qualifications and seniority,* were regarded as fully implemented. Identified actions was the need to revise some regulations and publish them on KTHs website, and the need of increased level of regular HR networks. These actions are now settled. The initiatives of launching and establishing fora for discussions within faculty (teachers and researchers) such as School Faculty Assemblies and KTH's Collegial Forum is also settled. According to the recommendation in the consensus letter from the European Commission in 2021, KTH was recommended to measure the staff´s satisfaction with these new assemblies. During fall 2022 The Faculty Council arranged a joint self-assessment of the School Faculty Assemblies that showed high satisfaction as well as room for improvements. High satisfaction related to the existence of for a joint discussions of matters of importance to teachers and researchers and that certain specific declarations of mistrust of managerial actions had important impact. Room for improvement related to the need of being more proactively involved in changes at KTH and being closer connected to the management at school level at KTH. Since the gap analysis in 2020, new gaps have been identified within the recruitment and selection area. This has led to new actions specified in KTHs Operational plan for 2023-2025. One initiative taken is an extensive review of KTH's Appointment regulations. The Appointment regulations is a governing document that contains rules which KTH applies when hiring teachers and researchers as well as in the promotion of certain teachers (according to Swedish law all universities should have this kind of regulation).The reviews relates to how the employment regulations are interpreted and whether clarification and changes are needed. In conjunction with the review there is also a suggestion that experts no longer will be involved in making decisions on appointments and promotions. This is following the procedure at many other universities, the experts help to assess the applicants' skills while KTH takes the full responsibility for who is to be employed. The ongoing reviewing work with the Appointment regulation is carried out by a working group and a steering group with a broad base in KTH's organisation. KTH works actively with The Marie Skłodowska-Curie actions (MSCA) which provide grants for doctoral candidates and highly experienced researchers. MSCA appointments are in different matters complex errands and it has been noticed at KTH that the infrastructure and collaborations across departmental boundaries need to be improved. Among other things, HR needs to be involved in a much earlier stage when a project is initiated. There is also a need for improved routines in general.
3. Working conditions	free text maximum 500 words As described in the initial phase 2020, KTH stands strong within the area of working conditions, largely because of Swedish law and collective agreements. Employers are obliged to follow the regulation of systematic work environment management. To further improve this, KTH has since the last action plan implemented a digital tool to report, investigate, implement actions and follow up risk observations, near-misses and accidents at work.

	KTH has also implemented a digital tool for employee pulse surveys, which lets our employees speak out about their working conditions. The manager together with the working group can then take appropriate actions based on the results. An identified area of development for KTH is treatment and interaction, which also was the first theme of the pulse survey. To develop the area at the university, Human Resources, has implemented a pilot project which includes lectures on the topic as well as training courses for HR employees. The HR staff that has been trained can then hold group exercises with working groups who need to develop the area of treatment and interaction. KTH was one of the lead partners in a national study on gender-based violence in the Swedish academic sector. The results were published in May 2022 and showed that gender-based violence and sexual harassment continues to be a big problem in Swedish academia. The most targeted group is female doctoral students. KTH continues to work to create a safe and inclusive environment for all staff and students.
4. Training and development	free text maximum 500 words That KTH works with strategic talent management is crucial for the quality of the organization, as the employees are the most important asset and a prerequisite for success. Continuous proactive, sustainable, structural and integrated work is required to strategically ensure the right competences, both in the short and long term, are available to achieve operational goals. As stated in the initial action plan 2020, KTH stands strong in career development and offers a range of career lifting activities to promote researchers at all levels. Nevertheless, potential improvements were identified, primarily regarding increased visibility and clarity among existing activities on the web. Since the awareness of this, improvement has been made on the website in order to help the researchers to navigate among available services and facilitate planning of his/her career. Further development of accessible and visible website is in progress. KTH has a well-established Tenure track, which means that Assistant Professors have the opportunity to be promoted to lecturer and lecturer to professor. Roles that support researchers in their careers are their immediate manager or supervisor if they are post docs. At each school there is also a Future faculty responsible in charge for career and competence development. An identified weakness is that the career paths for other researchers and teachers than those within Tenure track are not established in the same way. However, the extensive work of reviewing KTH´s Appointment regulations might change the circumstances in the long run. Since the gap analysis 2020, new actions have been identified regarding talent management. Next step for improvements is the aim that all staff will have documented individual competence development plans. Furthermore, in order to ensure a structured course activity within doctoral programs, continued work to clarify the doctoral programs is planned. Other found weaknesses is lack of training in ethics and good research practice, Equality, diversity and equal conditions and Sustainable development and Collaboration competence within research centers. Identified strengths are the ongoing operational development within digitalization of education, structured introduction of PhD´s and staff training in project management will contribute to improved conditions for professional development.

	We also think that the joint merged of the operational support is a strength that will contribute to free up resources for competence development. KTH is also involved in several projects within UNITE! The European network and personnel mobility, where some of the projects focus on staff mobility as well as support and mentoring for researchers early in their careers.

Have any of the priorities for the short and medium term changed? (max 500 words)

In general, KTH has during the last two years prioritized the merger of the operational support. On 1 January 2023, all operational support at KTH was merged into one operational support according to a decision by the former President. The merger between the schools' operational support is a first step on the way to ensuring operational support with high quality and cost effectiveness. To carry out education and research and to fulfil their duties as required by the authority, KTH ensures an effective division of labour between teachers, researchers and operational support rightly competencies for the various tasks. The overall goals for the development of the operating support at KTH is an operating support that strengthens KTH's competitiveness through to:

• Contribute to quality in and free up resources for education and research,
• have good development skills,
• be an attractive employer.

In connection with the merger, there is now also an operational plan for the operational support that link to the overall strategic and operational plan with assignments for whole KTH. Since the merger, there is also a special action plan which is a living document that the operational support have drawn up themselves. The action plan consists of prioritized assignments which may change time to time depending on the circumstances.

The above mentioned plans has entailed more focused work on relevant assignments which also very well relates to the HRS4R-strategy and the areas of Ethical and Professional Aspects, Recruitment and Selection, Training and development and working conditions. Many of the assignments from the operational plans that relates to these areas are described in this report under Strengths and Weaknesses, as well as in the actions below.

Have any of the circumstances in which your organization operates changed and as such have had an impact on your HR strategy? (max 500 words)

- See above information about the merger of the operational support and operational plans.

- KTHs current operational plan has its starting point in KTHs development plan for the years 2018–2023 (decided by the University board). The development plan describes KTHs overall direction and goals in the longer term, and the priorities in the operational plan for 2023–2025 mainly aim for KTH to achieve the overall goals in the development plan. In 2024 there will be a new decision on a new development plan which might effects the HR-strategy.

- Other circumstances in our organisation that might will have an impact on the HR-strategy is that KTH since 2022 has a new President and a new Dean of faculty as well as a new Vice dean of faculty. Since 2023, KTH also have a new Vice president in research while four other Vice president functions have been or will be removed as those tasks/activities are to be integrated into the organization in a different way. This procedure will be evaluated in further on.

- Since April 2023 KTH also have a new University board.

- A review of KTH's Appointment regulations is in progress which affects KTHs HR strategy in the short run but may also affect it in the long run. The Appointment regulations is a governing document that contains rules which KTH applies when hiring teachers and researchers as well as in the promotion of certain teachers

- Another circumstance that will have a future impact on KTHs HR-strategy is the governing document Strategy for communication of KTHs employer brand (decided by the President). The document

regulates communication by KTH as employer. The overall objective of the employer communication is to through uniform, clear, relevant and consistent communication strengthen KTHs attraction as an employer. Employer communication should strengthen attraction in several ways:

- Increase awareness of KTH as an employer,
- clarify what KTH offers the candidate/employment market and create a clear profile of KTH as employer and,
- create commitment among existing employees.

Are any strategic decisions under way that may influence the action plan? (max 500 words)

Not all of the initiatives below will affect this action plan since they are too new, but they will probably influence the Action plan for 2026.

- As mentioned above, an extensive work of reviewing KTH´s Appointment regulations is in progress according to a decision by the former President at KTH. The goal is to create an Appointment procedure and promotion process that is transparent, clear and anchored within the entire organisation. The faculty council and the appointment board will also work in a longer time perspective regarding issues that have come up concerning, among other things, qualification requirements and career paths for researchers and teachers. This will take place in step 3 but there is no time set yet for when this will be settled.

    The review is run by a steering group with a broad base in KTHs organization. In addition to the President and the Dean of faculty, the steering group also includes Vice dean, Heads of schools, University director, student representatives and operational support. Other bodies that will be involved in the development work are the Faculty council, the Employment board, the Promotion board, Vice presidents and others responsible for the supply of skills at the schools.

- An external investigation regarding investigation of collegial influence and decision-making has recently been completed and will form the basis of a new system with new collegial bodies that will be established at the turn of the year 2023/2024. The investigator has mentioned that the Faculty council, which currently only contains professors, could have other categories as members such as researchers and lecturers. The Faculty council is, among other things, responsible for the review of the above mentioned KTH Appointment regulations

- In line with Operational plan for 2023-2025, the Management office and the Human resources department will support the Dean of faculty and the Chair of The employment committee, in the task of carrying out a review of faculty renewal and the purpose and role of the faculty development plans and based on this, also review the content of the plans. The assignment includes implementing the changes that are deemed to increase the usability of the plans.

- On 4 May, KTH joined CoARA, the Coalition for Advancing Research Assessment. The coalition, which is run by various European organizations, aims to improve the quality, efficiency and impact of research.

3. Actions

The Action Plan and HRS4R strategy must be published on an easily accessible location of the organisation's website. Please provide the web link to the organisation's HR Strategy dedicated webpage(s):

*URL: [EU Charter & Code and "HR Excellence in Research" award	KTH](#)

Please consult the list of all actions you have submitted as part of your HR Strategy. Please add to the overview the current status of these actions as well as the status of the indicators. If any actions have been altered or omitted, please provide a commentary for each action. You can also select new objectives.

Note: Choose one or more of the principles from the GAP Analysis with their <u>implementation ratings:</u> New, In Progress, Completed or Extended.

Below you find updated actions in the initial action plan from 2020 and further down new actions in the revised action plan from 2023.

INITIAL ACTION PLAN 2020					
Proposed ACTIONS Free text -100 words max	**GAP Principle(s)** Retrieved from the GAP Analysis	**Timing (at least by year's quarter/semester)**	**Responsible Unit**	**Indicator(s)/ target(s)**	Current Status
1. **A) Development of documents to actuality and translation to English**: **B) Increase the level of activity in HR networks for improved recruitment efficiency and exchange of experiences**	§ 12 Recruit-ment § 12 Recruit-ment	Q4 2020	HR Unit of Recruitment, Head of unit Maria Salling	**Target:** Revised regulations to actuality, communicated and translated into English and published on the University's website **Indicator:** Translations effectuated at latest Q3 2021 By Q3 2021 having established regular scheduled meetings 4 times/year.	**COMPLETED**
2. **Establish an Ethical Committee** An Ethical Committee will be	§ 2 Ethical prinicples	Q3 2020	Vice Dean of Faculty Sofia Ritzén Vice Dean of faculty will be leading the committee that	**Targets:** Create a forum for discussing ethical principles and thereby strengthen focus on ethical values in a stage where	**COMPLETED**

instituted 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. The Ethical Committee will be organised within the Faculty Council, which has an advisory role to the President. The Committee is reporting to the Faculty Council which takes decisions.			will consist of three members (two teachers and one student representative, preferably a PHD student) + two members from the committee handling suspicion of deviation from good practice in research, one management lawyer and one officer from RSO (Research Support Office focusing ethical issues).	KTH develops further international contacts. **Indicators:** By Q2 2021 having established a schedule of regular meetings 4 times/year. First meeting at latest by Q3 2021	
3. Establish Council for internat-ional coo-peration According to the strategic plan, and to supplement the Etchical committee, KTH has instituted a council with focus on etchical matters connected to	§ 2 Ethical prinicples	Q3-Q4 2020	International Relations Office, University Administration The council is led by Vice President for global relations Stefan Östlund and consists of head of schools and a representative for the central administration.	**Targets:** Establish a more visible forum for discussing issues related to international co-operations, specifically regarding international values, ethics, human rights and safety. For increased visibility, provide information of the work of the council on the web.	**REMARKS** The Council for International Cooperation was in 2021 replaced by the Advisory Group for Internatio-nalization.

international cooperation. The council was instituted during Q3 2019 but needs to be more open with its activities and be more visible on the website regarding forms of its activity and taken actions.				**Indicators:** Clear and distinct information on the activities of the council published on the website. At latest Q4 2020. Minimum 6 meetings/year.	
4. **Launch Revised guidelines for scientific publishing, verified by presidential decision**	§ 8 Dissemination exploitation of results § 32 Co-authorship	Q2 2020	Vice Dean of Faculty Sofia Ritzén	**Targets:** Launched and communicated guidelines, translated to English and published on website. **Indicators:** Published and communicated at latest by Q1 2021.	**REMARKS** A new work has started instead within the frame-work of a project dealing with Open Science at KTH. The inform-ation about guidelines for scientific is published on the KTH´s website.
5. **Future faculties – focus on gender balanced recruitment** In order to secure that a gender-balanced policy is implemented throughout the entire organization, and in order	§ 10 Non discrimination § 27 Gender balance	Continuous	Vice Dean of Faculty, Heads of Schools and Vice Heads of Schools provide organizational strategy and lead the imple-mentation. Staff develop-ment and KTH Equality office provide training. KTH is following the	**Targets:** To achieve a balanced gender distribution among faculties at the schools and to secure the implementation of a gender-balanced policy at all levels of the organisation. **Indicators:** The gender ratio of newly recruited faculty should remain	At the beginning of 2022 KTH conducted a follow-up interview study with the chairs of the recruitment committees, the (then) Dean, and administrative officers for teacher recruitment, to see how gender

to secure its continuity, future faculties at each school/major unit will work both proactively and reactively according to the legislation and the organizational regulations.			governmental directives, issued to all universities and govern-mental authorities in Sweden, to work towards equality and gender main-streaming with purpose to achieve the national equal-ity goals.	between 40 and 60 percent. The recruitment committees at KTH are formed by researchers from R2-R4. There are also representatives from researchers R1. There is one committee for each of the five schools. All members of KTHs recruitment committees shall receive training, incl gender mainstreaming components.	equality has been managed in committees and how KTH's schools have worked with gender mainstream-ing. The study showed that the trainings have been important and that especially committee chairs have a greater under-standing of their respons-ibility to ask questions about gender equality. More trainings will be conducted at the end of 2023 when new committee members have been elected.
6. Launch and establish School Faculty Assemblies – create a forum for discussion at each of the five schools that constitute the major units at KTH and increase the activity within this fora. The School Faculty Assemblies	§ 35 Participation in decision-making bodies	Q4 2020	Faculty Council, Dean of Faculty Anders Forsgren and Vice Dean of Faculty Sofia Ritzén in particular, are responsible for launching the assemblies.	<u>**Targets:**</u> Launch the forum with elected representatives for a period of two years. Increase the level of opportunities for teachers and researchers to discuss collegial matters of relevance. Meetings twice every six months. <u>**Indicators:**</u> Functioning meetings of high attendance at latest by Q4 2020.	**COMPLETED** In 22, The Faculty Council arranged a joint self-assessment of the School Faculty Assemblies. For more information see section 2. Recruitment and selection.

				Each of the five School Faculty Assemblies have been established during 2020. They meet at least twice a semester. Each School Faculty Assembly has elected members from R2-R4, approximately 10-15 per school. In addition, there is a representative from R1 in each assembly. Finally, the meetings are open for a majority of researchers in R1-R4.	
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 Student Chapter are also summoned to the meetings.					
7. **Launch and establish KTH's Collegial Forum** The establishment of a forum representing both local and central issues, is an essential and prioritized	§ 35 Participation in decision-making bodies	Q4 2020	Faculty Council, Dean of Faculty Anders Forsgren and Vice Dean of Faculty Sofia Ritzén in particular.	<u>**Targets:**</u> Same targets as for the school assemblies. <u>**Indicators:**</u> Functioning meetings of high attendance at latest by Q4 2020. The collegial fora have been established during 2020, with	**COMPLETED**

ambition for creating good grounds for an open approach to ideas, views and opinons of any matter that contributes to continuous improvements KTH Kollegialt Forum is the conceptual and summarizing form of the School Faculty Assemblies.				intended frequency two per semester. They are open to the members of the school assemblies, i.e., the majority of researchers R2-R4. In addition, there is one representative from R1 for each school.	
8. **Support for Research Collaboration Competence** Research Support Office develops seminar series together with other divisions at KTH - Sustainability Office, Equality Office and KTH Innovation. The seminars are thematic, focusing on competences and challenges necessary for a successful research collaboration leader. Forthcoming seminars and courses for upraising skills emanates on	§ 31 Intellectual Property Rights	Continuous	Research Support Office Annika Stensson Trigell, Vice President for Research	**Targets:** Provide increased visibility and clarity amongst existing activities on the web, linked to other career developing activities produced within KTH. **Indicators:** At latest by Q2 2021 having published an overview of existing activities on the web, with link to other career developing opportunities.	**COMPLETED** Further activities aimed at the same target group have been identified and are in progress of development, see new action no 15.

actuality in every aspect and requires a continuous effort to reassure quality.					
REVISED ACTION PLAN 2023					
9. **Support to the Advisory Group for Internatio-nalization.** Education and training for staff. KTH's operational plan 2023-2025, 6.3.4	§ 2 Ethical principles § 38 Continuing professional development.	2023	The Vice president of internationali-sation with support from the department for educational support, the department for research support and the HR-department.	Increase educational efforts within responsible international-ization.	**IN PROGRESS**
10. **Review of KTHs Appoint-ment regul-ation** KTH´s operational plan 2023-2025, 7.3	§ 10 Non discrimination § 12 Recruit-ment § 13 Recruit-ment code § 14.Selection 15. Transparency (Code) § 16 Judging merit § 19 Recognition of qualifications (Code) § 27 Gender Balance § 28 Career development	2023-2025	A working group led by Dean of faculty, a steering group and a wide range of stakeholders in KTHs organisation.	Increase transparency in recruitment and promotion processes and clarify regulations if needed. The decision will be made by the University board in June 2023.	**IN PROGRESS**

11. **Pilot project in treatment and inter-action**	§ 10 Non discrimination §24 Working conditions	Spring 2023	Human Resources	Improve and develop treat-ment and interaction at KTH in general. This was a first theme of a pulse survey that was used to measure this.	**IN PROGRESS**
12. **Platform for employee, manager and leadership development,** Development plan for administrative support, 3.4.4	§ 30 Access to career advice § 39 Access to research training and continuous development	2023	HR, Communication, IT and different stakeholders of the platform.	KTH is establishing a platform for employee, manager and leadership development in the form of a portal for staff training and development. The aim is to make KTH´s entire offer of opportunities in personnel development accessible to managers and employees.	**IN PROGRESS**
13. **Continuous competence development in the teaching role.** KTH´s operational plan 2023-2025, 2.7	§ 38 Continuing professional Development	2024	The respective Head of school is given the task of ensuring line responsibility for continuous competence development. HR and operational support.	The goal is that all teaching staff at KTH will have a documented individual competence development plan. To ensure that KTH is an organization at the forefront, it is of great importance that KTH has an attractive and accessible competence development range for all teaching staff, including PhD supervisors.	**NEW**

				Opportunities for competence development must be given and prioritized.	
14. Continued development of the doctoral programs at KTH, KTH´s development plan 2023-2025, 2.6	§ 39 Access to research training and continuous development	2023-2025	The Vice Chancellor for education (or the management person or function appointed by the chancellor)	Develop the doctoral programs at KTH and shed light on the course activities of the doctoral programs. Continuing the work of clarifying the doctoral programs regarding course activities, including course offerings, course development, course design, course information, study environment and system support. The review aims to ensure a structured course activity within the doctoral programs.	**NEW**
15. Research collaboration competence KTHs operational plan 2022	§ 39 Access to research training and continuous development § 2 Ethical principles	2023	Research support office	Based on previous thematic seminars aimed primarily at leaders of research collaboration, such as centres, platforms, strategic innovation programmes, or large EU projects, a series of digital courses has been launched. They are accessible for all researchers and staff at KTH. Ethics and good	**IN PROGRESS**

				research practice, Equality, diversity and equal conditions and Sustainable development and Collaboration competence within research centers are additional three new online courses that will be developed and open through self enrollment.	

The extended version of the reviewed HR Strategy for your organisation for the next 3 years, including the OTM-R policy must be published on your organisation's website.

Please provide the link to the dedicated webpage(s) on your organisation's web site *:

URL: [EU Charter & Code and "HR Excellence in Research" award | KTH](#)

If your organisation has already filled in the OTM-R checklist in the Initial Phase, please also indicate how your organisation is working towards / has developed an Open, Transparent and Merit-Based Recruitment Policy. Although there may be some overlap with a range of actions listed above in the action plan (as emerged from the Gap Analysis), please provide a short commentary demonstrating the progress of the implementation versus the initial phase.

Comments on the implementation of the OTM-R principles

With regards to the ongoing and extensive review of KTH's Appointment regulations, the employment procedure will be more open and transparent in the future. The reviews also relates to how the employment regulations are interpreted and whether clarification and changes are needed employed. This will strengthening the credibility that KTH strives to work fully according to the OTM-R principles.

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4. IMPLEMENTATION

General overview of the expected implementation process:

(free text, 1000 words maximum)

KTH has chosen to mainly work with implementation of the actions from the University´s strategical and operational plans. The Operational plans consists of assignments/projects decided by the President and the University director after broad anchoring within the entire organization through referral bodies as for example School managements, various schools and departmental functions, as well as the Central collaboration groups with trade union representatives.

The preparation of the internal review has been coordinated by an HR-specialist/HRS4R-officer.

The revised action plan has been drawn up through a preparation work carried out by representatives from the HR-department and the Dean of faculty and the Vice dean of faculty. The HRS4-officer has ensured that all actions in the action plan are in accordance with the Charter and the Code and its principles within the areas of Ethical and Professional Aspects, Recruitment and Selection, Training and development and working conditions.

In the initial Action plan it was stated that KTH should have a separate steering group and implementing committee. However, KTH has instead chosen to work integrated with the HRS4R-strategy and the actions through KTHs Operational plans and already existing bodies.

Nevertheless, KTH still has a work to do in order to identify which bodies in the organization that shall fulfil the role as a steering group, implementing committee and a stake holder group. This is important in order to make sure that KTH complies with the charter and code. One example is when it comes to involving the whole researchers' community (R1-R4) in matters and decisions concerning career development and working conditions etc. There is also a need for identifying these bodies for a greater awareness and commitment within the organization.

Improved communication in different ways will also be a very important part during the continuing implementation phase.

Make sure you also cover all the aspects highlighted in the checklist, which you will need to describe in detail:

Checklist	*Detailed description and duly justification
1. How have you prepared for the internal review?	*free text 500 words maximum* Initially the intention was that KTH should have a steering group and an implementation committee according to the initial action plan. However, It turned out after a while that this didn´t work out for several reasons. See section 4 above. The preparation of the internal review has been coordinated by an HR-specialist/HRS4R-Officer. An information meeting has been held about the assignment as well as work meetings. Updated key figures have been collected from the System administrator and from the Head of Research Support Office. The revised action plan has been drawn up through a preparation work carried out by HR-specialists in labour law and work environment, Skill supply manager, JML strategist, Functional manager personnel development, Recruitment manager, Functional manager teachers appointments and by the Dean of Faculty and Vice dean of faculty. Complementary information has been collected from, the Head of division for International Relations. The strategy in the working group has been to reflect on the strengths and weaknesses within the current practices, identifying assignments in KTHs Operational plan that corresponds to the areas Ethical and professional aspects, Recruitment and selection, Working conditions and Training and development and according to EU Charter & Code´s principles. It´s important to note that all the assignments from KTH´s Operational plan already has been broadly anchored within different decision bodies and the Union before any decisions has been made by the President. The draft of the internal review and the Action plan has thereafter been on referral at the personnel department's management team and the schools'

	HR managers. It has also been collaborated within the central collaboration group consisting of the employer- and the trade union representatives. Information about the ongoing internal review has also been presented to the President and the Vice university director before the President´s decision on the interim report/revised action plan.
2. How have you involved the research community, your main stakeholders, in the implementation process?	*free text 500 words maximum* In the consensus report which KTH received from the Commission in 2021, it was confirmed that there was information in KTH´s application about meetings in the schools discussing the gap analysis. However, there was no detailed information about the opinions of the researchers R1-R4, and therefore the Commission recommended KTH to use questionnaires to investigate how employees experience the policies pursued in practice. KTH has chosen not to use questionnaires. Instead KTH is about to improve its planning conditions and preparation culture in order to make sure that the process of planning, controlling and monitoring include all departments, faculties, researchers, teachers and divisions of the operational support and all schools, so that all parts of the university will be involved.
3. Do you have an implementation committee and/or steering group regularly overseeing progress? *	*free text 500 words maximum* See section 4 above regarding General overview of the expected implementation process.
4. Is there any alignment of organizational policies with the HRS4R? For example, is the HRS4R recognized in the organization's research strategy, overarching HR policy?	*free text 500 words maximum* KTHs various policies and governance documents are very well in line with the HRS4R regarding our ambition to constantly enhance the quality of research and innovation to improve the attractiveness of researchers´ careers. According to KTH's development plan, KTH is to be characterized by digitalization, sustainable development, internationalization and gender equality. KTH works consciously on being an attractive employer and improving in this regards.
5. How has your organization ensured the proposed actions would be implemented?	*free text 500 words maximum* All actions in the Action plan are as mentioned before formally decided by the President (Operational plan for KTH) and by the University director (Operational plan for the operational support). The HRS4R-Officer is also checking the progress with the operational responsible functions for each action stated in the action plan. The Action plan will be made visible in the organization. The involved functions for each action will be especially informed. KTH needs to decide in more detail how this will be organized in practice. That is, who/who follow up, when and in which forums.
6. How are you monitoring progress (timeline)?	*free text 500 words maximum* According to the timelines in KTHs Operational plan. Also see point 5.

7. How will you measure progress (indicators) in view of the next assessment?	*free text 500 words maximum* Follow ups with the involved functions responsible for identified actions. KTH needs to decide in more detail how this will be organized in practice. That is, who/who follow up, when and in which forums.
8. How do you expect to prepare for the external review?	KTH will in good time before the external review prepare and take part of HRS4R Site visit GUIDELINES FOR INSTITUTIONS.

KTH internt beslut med e-signatur: V-2023-0429 KTH:s intermisrapport/reviderade handlingsplan HR strategi för forskare (HRS4R) 2023-2026 - EU Charter & Code

Slutgiltig revideringsrapport   2023-05-31

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Av:	Petra Rosenquist (petraro@kth.se)
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"KTH internt beslut med e-signatur: V-2023-0429 KTH:s intermis rapport/reviderade handlingsplan HR strategi för forskare (HRS4 R) 2023-2026 - EU Charter & Code" – historik

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