



# European Charter for Researchers and Code of Conduct for the Recruitment of Researchers

## Application KTH Royal Institute of Technology

Case No2019SE440593

Submission date: 23/6 2020

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## **Preamble**

Clarification regarding the basic conditions for researchers working in Sweden

### **Swedish labour law in general**

The Swedish labour legislation generally applies to all sectors in the Swedish labour market. The legislation assures employees fundamental rights, such as employment security, vacation and regulated working hours.

In addition, there are laws that apply only to the government sector. This could be, for example, regarding the appointment procedure and disciplinary sanctions. A majority of the Swedish universities and institutes of higher education is under governmental authority. Over 90% of the academic staff is employed within the state sector.

Government employees are also insured special rights based on the Swedish Constitution, for example, a broad right to criticize their employer.

In comparison with many other European countries, the Swedish labour legislation is not particularly extensive or detailed. It is mainly to be considered as protective legislation guaranteeing employees a basic protection. Instead, the employees' terms of employment are governed mainly by collective agreements. The Swedish labour market is characterized by a high degree of organisation and a low level of organisational fragmentation.

### **Collective agreements**

Collective agreements complement the labour law. There are both central and local collective agreements.

The central collective agreements apply either within the entire government sector or part of it, for instance the higher education sector.

For the government sector, there are central collective agreements, which regulate pensions, holiday pay during leave and compensation for personal injury. There are also central collective agreements that allow specific grounds for temporary employment.

At the universities/institutes of higher education, the parties may conclude local collective agreements. The space for what can be regulated by local collective agreements is determined by law and the central collective agreements. Among the issues more closely regulated by local collective agreements is the distribution of working hours. Sweden has chosen to regulate by law that the terms of collective agreements in the government sector also apply to unorganised workers.

That means that despite the fact that if an individual worker might not be a member of a union, he or she is undoubtedly embraced by the regulations of the collective agreement.

In the personal employment contract, the parties may more closely regulate the conditions of employment, providing that it does not contradict law or collective agreement.

It is common that the parties in the individual contract specify the conditions for the initial basic salary and where the work is to be performed.

The Collective Agreements referred to in this text are untranslated into English, due to a central agreement between the Swedish Agency for Government Employers and its parts.

## **Parental Leave**

Parental leave in Sweden is governed in law through [Parental Leave Act](#). The legislation applies to both the mother and the father, as well as to incoming researchers from other countries.

## **The recruitment procedure**

The government employment process differs from other sectors. According to the Swedish Constitution, the decision for government contracts shall pay regard to objective factors only, such as merit and competence, of which competence should be of prime consideration.

## **Appeal**

An applicant who has been rejected an appointment, has the right to appeal the decision of appointment. The appeal is heard by a special board. If the appeal is approved, the appellant should be offered the appointment, instead of the person that first received the appointment.

## **Transparency**

Within the government sector, the employment procedure is specifically regulated, for instance how to inform about vacancies and how employment decisions should be notified. Application documents are public documents and therefore other candidates, as well as the public, have the right to access the documents.

## **The principle of public access to official documents**

The principle of public access to official documents is a basic principle of our constitution. It means that the public and the media have the right to inspect state and municipal activities. The principle is expressed in various ways;

- everyone is entitled to read the documents of public authorities: access to official documents;
- officials and others who work for the state or municipalities are entitled to say what they know to outsiders: freedom of expression for officials and others
- officials and others in the service of the state or municipalities are normally entitled to disclose information to newspapers, radio and television for publication or to personally publish information: right to communicate and publish information;

The principle is regulated by fundamental laws;

[Freedom of Press Act](#) (Tryckfrihetsförordningen) TF 1949:105

[The Fundamental Law on Freedom of Expression](#) (Yttrandefrihetsgrundlagen) YGL 1991:1469

However, there are provisions on confidentiality according to Swedish law, limiting the right to access official documents as well as in the public officials' right to freedom of expression.

These provisions can be found in;

[The Public Access to Information and Secrecy Act \(Swedish Code of Statutes 2009: 400\)](#) (Offentlighets- och sekretesslagen)

## Data protection and processing of personal information

In addition to the EU General Data Protection Regulation (2016/679 GDPR), the Swedish legislation concerning data protection and privacy for all individual citizens, implement the data protection principles with following specific laws and regulations:

[Data Protection Act SFS 2018:218](#) (Lag med kompletterande bestämmelser till EUs dataskyddsförordning)

[Data protection Ordinance SFS 2018:219](#) (Förordning med kompletterande bestämmelser till EUs dataskyddsförordning)

Since GDPR is a regulation and therefore is directly binding and applicable, it also provides flexibility in some aspects of the regulation to be adjusted on a national level. In Sweden, it must comply with the fundamental laws.

Public authorities, whose core activities consist of regular or systematic processing of personal data, are required to employ a [Data Protection Officer \(DPO\)](#) who is responsible for managing compliance with the GDPR. Appropriate technical and organizational measures are also required in order to implement the data protection principles.<sup>1</sup>

## Definitions researcher

The definition of researcher follow the definition adopted by the European commission, the Frascati definition, described<sup>2</sup> in detail in the Frascati Manual.

Consequently, researchers are described as follows:

"Professionals engaged in the conception or creation of new knowledge, products, processes, methods and systems, and in the management of the projects concerned."

More specifically, this Recommendation relates to all persons professionally engaged in R&D at any career stage<sup>3</sup><http://ec.europa.eu/euraxess/index.cfm/rights/definitions - a18>, regardless of their classification. This includes any activities related to "basic research", "strategic research", "applied research", experimental development and "transfer of knowledge" including innovation and advisory, supervisory and teaching capacities, the management of knowledge and intellectual property rights, the exploitation of research results or scientific journalism.

A distinction between Early-Stage Researcher and Experienced Researchers is stated: The term Early-Stage Researcher<sup>4</sup> refers to researchers in the first four years (full-time equivalent) of their research activity, including the period of research training.

Experienced Researchers<sup>5</sup> are defined as researchers having at least four years of research experience (full-time equivalent) since gaining a university diploma giving them access to doctoral studies, in the country in which the degree/diploma was obtained or researchers already in possession of a doctoral degree, regardless of the time taken to acquire it.

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<sup>1</sup> KTH technical and organisational measures for implementing GDPR principles are specified under 2. Ethical principles, and 8. Dissemination, exploitation of results.

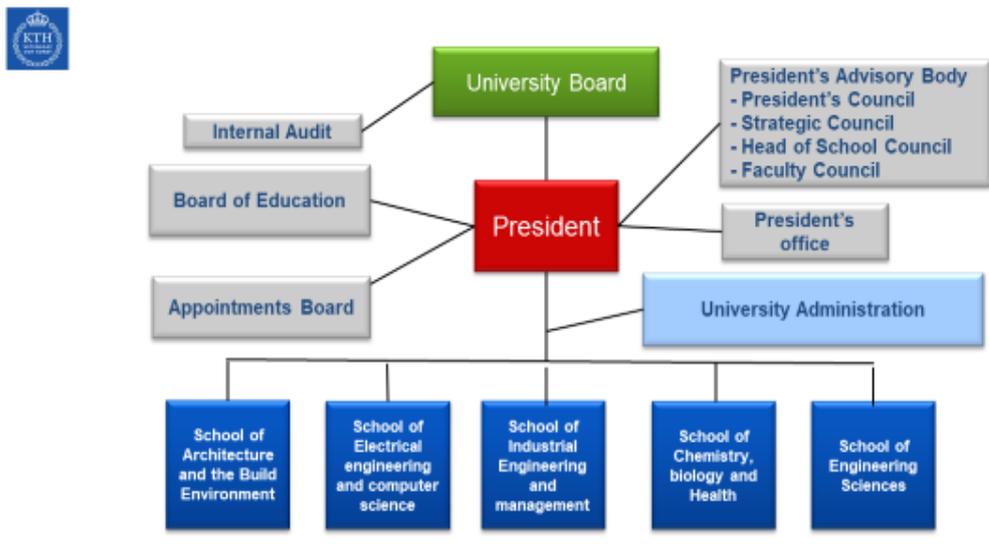
<sup>2</sup> In: Proposed Standard Practise for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002

<sup>3</sup> COM (2003) 436 Of 18.7.2003: Reserchers in the ERA: One profession, multiple careers.

<sup>4</sup> See Work Program Structuring the European Research Area Human Resources and Mobility Marie Curie Actions, edition September 2004, page 41

<sup>5</sup> Idem, page 42

## Organogram of KTH Royal Institute of Technology



[The following description of KTH’s organizational chart is added to this accessible version of the application document: KTH Royal Institute of Technology is both a university and a government agency, where the core business of education and research is organized in five schools. The schools are each led by a head of school who is subordinate to the president of KTH. The president has University Administration, preparatory bodies (Board of Education and Appointments Board), and Advisory bodies (the President’s Council, the Strategic Council, the Head of School Council, and the Faculty Council), as well as the President’s Council at their disposal. The president is head of authority and leads KTH's operations under the University Board, which is KTH's highest decision-making body. The Internal Audit is commissioned by the University Board.]

## TEMPLATE 1 – GAP ANALYSIS - PROCESS

- Case number: **2019SE440593**
- Name Organisation under review: **KTH Royal Institute of Technology**
- Organisation's contact details: Charlotta Fransén, University Administration, Research Support Office,
- Tel: +46 8 790 66 67, E-mail: [cfransen@kth.se](mailto:cfransen@kth.se), [www.kth.se](http://www.kth.se)
- Submission date: 23/6 2020
- 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. <sup>6</sup> 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 R47, 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 Executive committee and the Project Group were formed during the summer.

President Sigbritt Karlsson appointed the Executive Committee (Steering Committee), assuring overall responsibilities within research, quality assurance, administration and internationalization. The Executive Committee consists of Dean of Faculty, Vice President for Research, University Director and Vice President for Global Relations and international co-operations. The Executive 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 Executive Committee.

Both the Executive 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 Executive Committee in February 2020. Discussions and evaluation of the result during spring 2020 rendered decisions by the Executive 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.

In addition, further consulting will be done continuously 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 a Quality Assurance Officer from the department of Planning, Quality Assurance and Administrative law.

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 quality assurance and monitoring of implementation of EU C&C will follow the same time pattern as RAE.

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, Erfagrups 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.**

<b>Name</b>	<b>Position</b>	<b>Management line/ Department</b>
Charlotta Fransén	Project Manager EU Charter & Code  Draftsman Executive Committee	University Administration, Research Support Office
Anders Forsgren	Dean of Faculty, Responsible for quality of research and education  Member of Executive Committee	University Management
Kerstin Jacobsson	University Director, Responsible for university- wide administration  Member of Executive Committee	University Management
Stefan Östlund	Vice President for global relations and overall international co-operations  Member of Executive Committee	University Management
Annika Stensson Trigell	Vice President for Research Member of Executive 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	HR Manager  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

Name	Position	Management line/ Department
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

*Your organisation must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4<sup>8</sup>, as well as appoint a Committee overseeing the process and a Working Group responsible for the implementation of the HRS4R process.*

*The term 'Human Resources' is used in the largest possible sense, to include all researchers (Frascati definition: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002) disregarding the profile, career ,level', type of contract etc. etc.*

For a [description of R1-R4, see euraxess.ec](http://euraxess.ec)

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

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<b>*Stakeholder group</b>	<b>*Consultation format</b>	<b>Outcomes</b>
Strategic Council	Meeting 2019 11 12 Continuous meetings between PL and members of the council during the whole year 19/20	Several members of the council are members in other strategic groups – reassures implementation in all units
Faculty Council	Meeting 2019 11 06 Continuous meetings between PL and members of the council	Gaps identified
Research Support Office	Meeting 20190828 Series of meetings during the whole year 19/20.	Input to areas of further discussions in Steering Committee.
Human Resources	Meeting and consultation 20191009 HR Mgmt group Series of meetings PL and working groups.	Gaps identified, activities initiated, actions planned.
SCI, School of Engineering sciences	Meeting and consultation 26/11 2019 mgmt + adm + R1-R4 repr	Positive reactions to implementing EU C&C Discussions on identified gaps
ABE, School of Architecture and the Built Environment	Meeting and consultation 18/12 2019 mgmt + adm + R1-R4 repr	Positive reactions to implementing EU C&C Discussions on identified gaps
CBH, School of Engineering Sciences in Chemistry, Biotechnology and Health	Meeting and consultation 11/12 2019 mgmt + adm + R1-R4 repr	Positive reactions to implementing EU C&C Discussions on identified gaps
ITM, School of Industrial Engineering and Management	Meeting and consultation 17/12 2019 mgmt + adm + R1-R4 repr	Positive reactions to implementing EU C&C Discussions on identified gaps
EECS, School of Electrical Engineering and Computer Science	Meeting and consultation 2020 03 02 professor Lars Nordström and Project manager	Positive reactions to implementing EU C&C  Discussions on identified gaps
Quality Management Group	Series of meetings	Coordinating actions and planning Integration in continuous long-term quality monitoring

*Please describe how was appointed the Committee overseeing the process: Free text 200 words maximum.*

The Executive Committee (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 Executive 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 Executive Committee to be executed.

## TEMPLATE 2 – GAP ANALYSIS - OVERVIEW

- Case number: 2019SE440593
- Name Organisation under review: KTH Royal Institute of Technology
- Organisation’s contact details: Charlotta Fransén, University Administration, Research Support Office,
- Tel: +46 8 790 66 67, E-mail: cfransen@kth.se
- Submission date: 23/6 2020
- Date endorsement Charter and Code: 2019 08 26

### 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

[The GAP analysis overview is originally presented in a table. Cells in the original table with empty content are not presented below. The column headlines of the table are:

- **Status:** To what extent does this organization meet the following principles?
- **Implementation:** ++ = **fully** implemented, +/- = **almost but not fully** implemented, -/+ = **partially** implemented, -- = **insufficiently** implemented
- **Indicate the actual “gap”:** 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

Status: 1. Research freedom

Implementation: ++ = fully implemented

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 \(1976:580\) \(Lag om medbestämmande I arbetslivet\)](#)

Status: 2. Ethical principles

Implementation: ++ = fully implemented

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/>
  - [CODEX rules and guidelines for research at vr.se](#)
  - [Download pdf-report: Good research practice \(vr.se\)](#)
- See Preamble, GDPR.

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. [Ethical policy \(pdf, Intranet\)](#)
- How to act on a daily basis is further emphasized in KTH Code of Conduct.
  - [Code of conduct for employees and fellow workers \(pdf, Intranet\)](#)
  - [Policy for Sustainable development](#)
  - [Ethical policy \(pdf, Intranet\)](#)

- [Reading instructions and explanatory notes for Ethical policy to KTH](#)
- KTH's technical and organisational measures for implementing GDPR principles are: See point 8

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 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 character. A forum for discussions of the kind is needed to pursue a positive development.
- **Action no 3**

Status: 3. Professional responsibility

Implementation: ++ = fully implemented

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:

- [Ethical policy \(pdf, Intranet\)](#)
- [Code of conduct for employees and fellow workers \(pdf, Intranet\)](#)
- See point 2.

Status: 4. Professional attitude

Implementation: ++ = fully implemented

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. \(SSMFS 2008:35\)](#)
- [\(Strålsäkerhetsmyndighetens föreskrifter och allmänna råd om medicinska exponeringar\)](#)

Organisational regulation:

- [Ethical policy \(pdf, Intranet\)](#)
- [Code of conduct for employees and fellow workers \(pdf, Intranet\)](#)

Initiatives undertaken and/or suggestions for improvement:

- See point 2.

Status: 5. Contractual and legal obligations

Implementation: ++ = fully implemented

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.
- [RSO webpages on the Intranet](#)
- [Civil Law and Contracts Office at RSO \(Intranet\)](#)
- The University Management Office (MO) assists KTH's management with planning, follow-up, governance, quality assurance, administrative law and administrative support. [About the University Management Office \(Intranet\)](#)
- KTH Innovation is a division within KTH offering free and objective support in all areas when commercializing research results, including legal counselling on all issues surrounding contracts, immaterial rights, agreements and patenting. See point 31.
  - [KTH Innovation web pages](#)
  - [Patents and IPR \(KTH Innovation\)](#)
- See points 31, 32.

Status: 6. Accountability

Implementation: ++ = fully implemented

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:

- [Ethical policy \(pdf, Intranet\)](#)
- [Reading instructions and explanatory notes for Ethical policy to KTH \(pdf, Intranet\)](#)
- [Code of conduct for employees and fellow workers \(pdf, Intranet\)](#)
- See point 2.

Initiatives undertaken and/or suggestions for improvement:

- See point 2.

Status: 7. Good practice in research

Implementation: ++ = fully implemented

Relevant legislation:

- [Act on the responsibility for good research practice and the examination of misconduct in research \(2019:504\) \(riksdagen.se\)](#) (Lag om ansvar för god forskningssed och prövning av oredlighet i forskning)

Organisational regulation:

- [Ethical policy \(pdf, Intranet\)](#)
- [Reading instructions and explanatory notes for Ethical policy to KTH \(pdf\)](#)
- [Code of conduct for employees and fellow workers \(pdf, Intranet\)](#)
- [KTH Data Protection Officer: Robin Roy](#)

Initiatives undertaken and/or suggestions for improvement:

- See point 8.

Status: 8. Dissemination, exploitation of results

Implementation: ++ = fully implemented

Relevant legislation:

- [The Swedish Higher Education Act #Chapter 1 \(uhr.se\)](#)
- [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 \(pdf, Intranet\)](#)
- [Security policy \(pdf, Intranet\)](#)
- [Language guideline \(pdf, Intranet\)](#)
- [KTH Data Protection Officer: Robin Roy](#)
- '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. [KTH Innovation web pages](#)
- 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.
- [Principles for managing intellectual property in research contracts \(pdf, suhf.se\)](#)

Initiatives undertaken and/or suggestions for improvement:

- 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.

Status: 9. Public engagement

Implementation: ++ = fully implemented

Relevant legislation:

- [The Swedish Higher Education Act \(1992:1434\) 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.
  - [Dep. of Communication and Business Liaisons \(CBL\)](#)
  - [The KTH Communications Strategy \(pdf, Intranet\)](#)

Initiatives undertaken and/or suggestions for improvement:

- See point 8.

Status: 10. Non discrimination

Implementation: ++ = fully implemented

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 Sekretariatet 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.
- Profile page of [Anna Wahl](#)
- [An Equal KTH - Plan for Gender Mainstreaming of KTH \(JIKTH\) \(docx 591 kB\)](#)
- [Intranet page about An Equal KTH – Plan for Gender Mainstreaming of KTH \(JIKTH\)](#)
- [Core values at KTH \(Intranet\)](#)
- [Discrimination, harassment, sexual harassment or degrading treatment \(pdf 681 kB\)](#)
- [Gender, Equality and diversity Active Measures at KTH \(Intranet\)](#)
- [Core values at KTH \(Intranet\)](#)
- [Discrimination and grounds for discrimination \(Intranet\)](#)
- 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.

Initiatives undertaken and/or suggestions for improvement:

- See point 27.
- **Action no 5**

Status: 11. Evaluation/appraisal systems

Implementation: ++ = fully implemented

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.

[Website of The Swedish Research Council \(vr.se\)](#)

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.

[Website of The Swedish Higher Education Authority, UKÄ \(uka.se\)](#)

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](#)

## Recruitment and Selection

Status: 12. Recruitment

Implementation: +/- = almost but not fully implemented

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](#)
- [The Swedish Higher Education Act \(1992:1434\) \(uhr.se\)](#) (Högskolelagen)
- [The Higher Education Ordinance \(SFS 1993:100\) \(uhr.se\)](#) (Högskoleförordningen)
- [Discrimination Act \(SFS 2008:567\) \(riksdagen.se\) \(Diskrimineringslagen\)](#)

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).
- [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 \(PhD\)](#)
- [Recruitment at KTH\\*](#)
- [Career Support 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.

Initiatives undertaken and/or suggestions for improvement:

- “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 forum for best practise and constructive development within recruitment procedures.
- **\*Action no 1**

Status: 13. Recruitment (Code)

Implementation: ++ = fully implemented

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)

Organisational regulation:

- 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 \(Swedish, Intranet\)](#)
  - [Guidelines to Researchers / Research engineers, postdoctoral researchers \(Swedish, Intranet\)](#)
  - [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](#)

#### Status: 14. Selection (Code)

Implementation: ++ = fully implemented

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 consists 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](#).

Status: 15. Transparency (Code)

Implementation: ++ = fully implemented

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.
  - 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.](#)

Status: 16. Judging merit (Code)

Implementation: ++ = fully implemented

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 assessment 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.

#### Status: 17. Variations in the chronological order of CVs (Code)

Implementation: ++ = fully implemented

Relevant legislation:

- [Employment Ordinance \( SFS 1994:373\)](#) (Anställningsförrordningen)

Organisational regulation:

- In accordance with Swedish legislation.
- Great freedom for applicants to refer to merits.
- [CV-templates](#) for applicants to academic positions (not mandatory).

#### Status: 18. Recognition of mobility experience (Code)

Implementation: ++ = fully implemented

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 \(1984:111\)](#) (Tjänstledighetsförrordningen) and in [Central collective agreements](#) (Villkorsavtal)
- Ordinance respecting Leave of Absence also includes rules of right to leave for governmental employees during service abroad.
- [Seko terms agreement \(Swedish Agency for Government Employers, Swedish, arbetsgivarverket.se\)](#)
- [OFR/S, P, O terms agreement \(Swedish Agency for Government Employers, Swedish, arbetsgivarverket.se\)](#)

- [Saco-S terms agreement \(Swedish Agency for Government Employers, Swedish, arbetsgivarverket.se\)](#)

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](#)

**Status: 19. Recognition of qualifications (Code)**

Implementation: ++ = fully implemented

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.
  - [President and management of KTH](#)
  - [Profile of vice President for global relations: Stefan Östlund](#)

See also point 18.

**Status: 20. Seniority (Code)**

Implementation: ++ = fully implemented

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

Status: 21. Postdoctoral appointments (Code)

Implementation: ++ = fully implemented

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\*

## **Working Conditions and Social Security**

Status: 22. Recognition of the profession

Implementation: ++ = fully implemented

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)
- [Seko terms agreement \(Swedish Agency for Government Employers, Swedish, arbetsgivarverket.se\)](#)

- [OFR/S, P, O terms agreement \(Swedish Agency for Government Employers, Swedish, arbetsgivarverket.se\)](http://arbetsgivarverket.se)
- [Saco-S terms agreement \(Swedish Agency for Government Employers, Swedish, arbetsgivarverket.se\)](http://arbetsgivarverket.se)

Organisational regulation:

- [Local collective agreements \(Swedish\)](#) - 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](#)

Status: 23. Research environment

Implementation: ++ = fully implemented

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 \(SFS 2010:1075\)](#) (Förordning 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](#)
- [Guidelines on work environment](#)

Status: 24. Working conditions

Implementation: ++ = fully implemented

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 \(SFS 2010:1075\)](#) (Förordning 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

Status: 25. Stability and permanence of employment

Implementation: ++ = fully implemented

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)
- [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)

Status: 26. Funding and salaries

Implementation: ++ = fully implemented,

Relevant legislation:

- [Chapter 7 of The Higher Education Ordinance \(uhr.se\)](#)
- 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.
  - [Agreements and writings \(Swedish Agency for Government Employers, Swedish, arbetsgivarverket.se\)](#)
  - [Seko terms agreement \(Swedish Agency for Government Employers, Swedish, arbetsgivarverket.se\)](#)
  - [OFR/S, P, O terms agreement \(Swedish Agency for Government Employers, Swedish, arbetsgivarverket.se\)](#)
  - [Saco-S terms agreement \(Swedish Agency for Government Employers, Swedish, arbetsgivarverket.se\)](#)
- ‘Kammarkollegiet’ provides a national group insurance covering all foreign scientists doing research. [Insurance for foreign visitors \(kammarkollegiet.se\)](#)
- 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:

- [Local collective agreements \(Swedish\)](#) - 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.

Status: 27. Gender balance

Implementation: ++ = fully implemented

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 Equal Opportunities](#)
- Training, including gender-balanced perspectives, is mandatory for members of recruitment committees. See Appointments Procedure and complementary guideline.

Initiatives undertaken and/or suggestions for improvement:

- 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.

- **Action no 5.**

Status: 28. Career development

Implementation: ++ = fully implemented

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](#)
- [Guideline on Third-Cycle Studies \(pdf, Intranet\)](#)
- [Overview of courses in Teaching and Learning at 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](#)

Initiatives undertaken and/or suggestions for improvement:

- 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.

Status: 29. Value of mobility

Implementation: ++ = fully implemented

Relevant legislation:

- See point 18.

Organisational regulation:

- See point 18.

Status: 30. Access to career advice

Implementation: ++ = fully implemented

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](#)
- [Tenure track – Academic career development at KTH/KTH Intranet](#)

Initiatives undertaken and/or suggestions for improvement:

- See point 28.

Status: 31. Intellectual Property Rights

Implementation: ++ = fully implemented

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.
  - [Principles for managing intellectual property in research contracts, by Association of Swedish Higher Education Institutions, SUHF \(pdf, suhf.se\)](#)

Organisational regulation:

- Research Support Office, RSO, at KTH support the researchers and legal signatories in contractual and legal matters.

- About [Research Support Office \(Intranet\)](#)
- About [Civil Law and Contracts Office at RSO \(Intranet\)](#)
- KTH Innovation is a division within KTH offering free and objective support in all areas when commercializing research results, including legal counseling on all issues surrounding contracts, immaterial rights, agreements and patenting.
  - [Website of KTH Innovation](#)
  - [Support in Patents and Immaterial Rights at KTH Innovation](#)
- [Policy for intellectual property created at KTH](#)
- See points, 5, 8 and 32.

Initiatives undertaken and/or suggestions for improvement:

- 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 Collaboration Competence](#)
- **Action no 8.**
- See also point 28.

Status: 32. Co-authorship

Implementation: ++ = fully implemented

Relevant legislation:

- There is no specific Swedish legislation regarding co-authorship in research.
- 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.
  - [Principles for managing intellectual property in research contracts, by Association of Swedish Higher Education Institutions, SUHF \(pdf, suhf.se\)](#)

Initiatives undertaken and/or suggestions for improvement:

- A revised policy for scientific publishing
- See point 8.
- **Action no 4.**

Status: 33. Teaching

Implementation: ++ = fully implemented

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.
  - [Applying for promotion \(Intranet\)](#)
  - (See pedagogical portfolio at KTH on above link)
  - [Tenure track \(Intranet\)](#)
- [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](#)

Status: 34. Complains/appeals

Implementation: ++ = fully implemented

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)
- [Seko Framework agreements on salaries etc for workers within the state agreement area \(pdf in Swedish, arbetsgivarverket.se\)](#)

Status: 35. Participation in decision-making bodies

Implementation: ++ = fully implemented

Relevant legislation:

- [The Swedish Higher Education Act 1992:1434 chapter 2 §6.](#) (Högskolelagen)

- [The Higher Education Ordinance \(SFS 1993:100\) Chapter 2, §7a \(Högskoleförordningen\)](#)

Organisational regulation:

- [Guideline on Student Influence \(pdf, Intranet\)](#)
- [Trade unions at KTH](#)

Initiatives undertaken and/or suggestions for improvement:

- **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.
- **Action no 6.**
- **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 opinions of any matter that contributes to continuous improvements.
- **Action no 7.**

## Training and Development

### 36. Relation with supervisors

Implementation: ++ = fully implemented

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:

- [Guideline on Third-Cycle Studies \(pdf, Intranet\)](#)
- [Phd student advisor at THS \(dr.kth.se\)](#)

### Status: 37. Supervision and managerial duties

Implementation: ++ = fully implemented

Relevant legislation:

- [The Higher Education Ordinance \(SFS 1993:100\) \(Högskoleförordningen\)](#)

- See point 36.

Organisational regulation:

- [Guideline on Third-Cycle Studies \(pdf, Intranet\)](#)
- [Educational Development and Teaching and Learning in Higher Education \(Intranet\)](#)
- [Overview of courses in Teaching and Learning at KTH \(Intranet\)](#)
- [Doctoral Supervision 3.0 credits Leading Educational Development](#)
- [Staff training and development/KTH Intranet](#)
- [Appointments Procedure at KTH \(When KTH is hiring or promoting a teacher, supervision and managerial duties are two of other assessment criteria\)](#)

Status: 38. Continuing Professional Development

Implementation: ++ = fully implemented

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:

- [Tenure track – Academic career development at KTH/KTH intranät](#)
- 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](#)
- 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](#)

Status: 39. Access to research training and continuous development

Implementation: ++ = fully implemented

Relevant legislation:

- The Higher Education Ordinance (SFS 1993:100), Chapter 6, §29 (Högskoleförordningen)
- See point 38 and 39.

Organisational regulation:

- [Tenure track – Academic career development at KTH/KTH intranät](#)
- [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.
  - [Applying for promotion \(Intranet\)](#)
  - (See pedagogical portfolio at KTH on above link)
- [Educational Development and Teaching and Learning in Higher Education/KTH Intranet](#)
- Workshops and seminars on teaching and learning/KTH Intranet
  - [Overview of courses in Teaching and Learning at KTH \(Intranet\)](#)
  - [Workshops and seminars on teaching and learning](#)
  - [Tenure Track/Pil](#)
  - [Appointments Procedures at KTH](#)

Status: 40. Supervision

Implementation: ++ = fully implemented

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](#)

## TEMPLATE 3 – OTM-R Checklist

Case number: **2019SE440593**

Name Organisation under review: **KTH Royal Institute of Technology**

Organisation's contact details: Charlotta Fransén, University administraton, Research Support Office, Tel: +46 8 79066 67, E-mail:cfransen@kth.se [www.kth.se](http://www.kth.se)

Submission date: 23/6 2020

Date endorsement Charter and Code: 2019-08-26

### OTM-R Checklist

A specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment (OTM-R). Please report on the status of achievement, also detail on the indicators and the form of measurement used.

[The OTM-R checklist for organisations is originally presented in a table with the column headlines: Open; Transparent; Merit based; Answer (++Yes, completely; +/- Yes substantially; -/+ Yes partially; - No); Suggested indicators (or form of measurement).]

### OTM-R system

#### 1. Have we published a version of our OTM-R policy online (in the national language and in English)?

- **Open:** x
- **Transparent:** x
- **Merit based:** x
- **Answer:** ++ Yes, completely
- **Suggested indicators:** [Appointments Procedure at KTH. Guideline to the appointments procedure](#). See also point 12 in the Gap analysis

#### 2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?

- **Open:** x
- **Transparent:** x
- **Merit based:** x
- **Answer:** ++ Yes, completely
- **Suggested indicators:** Date of latest update; [Appointments Procedure at KTH](#) 2019-06-10, [Guideline to the appointments procedure](#) 2019-06-18

3. Is everyone involved in the process sufficiently trained in the area of OTM-R?

- **Open:** x
- **Transparent:** x
- **Merit based:** x
- **Answer:** ++ Yes, completely
- **Suggested indicators:** According to the [Guideline to the appointments procedure](#)- staff involved in the recruitment should participate in training arranged by KTH. See point 14 in the Gap analysis for more information.

4. Do we make (sufficient) use of e-recruitment tools?

- **Open:** x
- **Transparent:** x
- **Merit based:**
- **Answer:** ++ Yes, completely
- **Suggested indicators:** KTH has a Web-based tool for all stages in the recruitment process [Varbi Recruitment System](#).

5. Do we have a quality control system for OTM-R in place?

- **Open:** x
- **Transparent:** x
- **Merit based:** x
- **Answer:** ++ Yes, completely
- **Suggested indicators:** [Appointments Procedure at KTH](#), [Guideline to the appointments procedure](#). In the recruitment process KTH applies: Employment Board, Recruiting committee, and the Recruiting- and promotion boards. Also see point 13 in the Gap analysis.

6. Does our current OTM-R policy encourage external candidates to apply?

- **Open:** x
- **Transparent:** x
- **Merit based:** x
- **Answer:** ++ Yes, completely
- **Suggested indicators:** [The Public Employment Act \(SFS 1994:260\)](#), [§4 Merits and competence](#) (Lagen om offentlig anställning). The [Appointments Procedure at KTH](#) and [Guideline to the appointments procedure](#) shows that we encourage external candidates to apply. Also see points 11-14 in this document.

7. Is our current OTM-R policy in line with policies to attract researchers from abroad?

- **Open:** x
- **Transparent:** x
- **Merit based:** x
- **Answer:** ++ Yes, completely
- **Suggested indicators:** [Appointments Procedure at KTH](#) and [Guideline to the appointments procedure](#). Also see point 18 in the Gap analysis.

8. Is our current OTM-R policy in line with policies to attract underrepresented groups?

- **Open:** x
- **Transparent:** x
- **Merit based:** x
- **Answer:** ++ Yes, completely
- **Suggested indicators:** [Appointments Procedure at KTH](#) and [Guideline to the appointments procedure](#). Also see point 10-12 in the Gap analysis.

9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?

- **Open:** x
- **Transparent:** x
- **Merit based:** x
- **Answer:** ++ Yes, completely
- **Suggested indicators:** Yes according to Swedish labour law, KTH also has collective agreements. Also see point 24 in the Gap analysis.

10. Do we have means to monitor whether the most suitable researchers apply?

- **Open:**
- **Transparent:**
- **Merit based:**
- **Answer:** ++ Yes, completely
- **Suggested indicators:** See point 5 and 14 in this document.

## Advertising and application phase

### 11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?

- **Open:** x
- **Transparent:** x
- **Merit based:** x
- **Answer:** ++ Yes, completely
- **Suggested indicators:** KTH has advertisement templates for all research positions. The templates can be found on KTH 's intranet and are implemented in KTH 's e-recruitment system.

### 12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit?

- **Open:** x
- **Transparent:** x
- **Merit based:** x
- **Answer:** ++ Yes, completely
- **Suggested indicators:** For example links to trade unions, benefits, CV-templates, GDPR policy etc and information about KTH 's work with Equality and discrimination.

### 13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?

- **Open:** x
- **Transparent:** x
- **Merit based:** x
- **Answer:** ++ Yes, completely
- **Suggested indicators:** KTH posts academic positions at EURAXESS.

### 14. Do we make use of other job advertising tools?

- **Open:** x
- **Transparent:** x
- **Merit based:** x
- **Answer:** ++ Yes, completely
- **Suggested indicators:** Through our e-recruitment system [Varbi Recruitment System](#) we advertise academic positions at several international and national job boards for example Platsbanken, LinkedIn, ResearchGate, Naturecareers and Academic Positions.

15. Do we keep the administrative burden to a minimum for the candidate?

- **Open:** x
- **Transparent:**
- **Merit based:** x
- **Answer:** ++ Yes, completely
- **Suggested indicators:** The candidates applies through our e-recruitment system, which is adapted to all types of platforms- smartphones, I-pad and computer. The application form Is easy to use and intuitive and requires a minimum of work/effort.

Selection and evaluation phase

16. Do we have clear rules governing the appointment of selection committees?

- **Open:**
- **Transparent:** x
- **Merit based:** x
- **Answer:** ++ Yes, completely
- **Suggested indicators:** Yes please see [Appointments Procedure at KTH](#), [Guideline to the appointments procedure](#)

17. Do we have clear rules concerning the composition of selection committees?

- **Open:**
- **Transparent:** x
- **Merit based:** x
- **Answer:** ++ Yes, completely
- **Suggested indicators:** Yes please see [Appointments Procedure at KTH](#), [Guideline to the appointments procedure](#)

18. Are the committees sufficiently gender-balanced?

- **Open:**
- **Transparent:** x
- **Merit based:** x
- **Answer:** ++ Yes, completely
- **Suggested indicators:** Yes please see [Appointments Procedure at KTH](#), [Guideline to the appointments procedure](#)

19. Do we have clear guidelines for selection committees which help to judge 'merit' in a way that leads to the best candidate being selected?

- **Open:**
- **Transparent:**
- **Merit based:** x
- **Answer:** ++ Yes, completely
- **Suggested indicators:** [Appointments Procedure at KTH](#), [Guideline to the appointments procedure](#). Also see point 5 in this document.

Appointment phase

20. Do we inform all applicants at the end of the selection process?

- **Open:**
- **Transparent:** x
- **Merit based:**
- **Answer:** ++ Yes, completely
- **Suggested indicators:** Yes. The board's suggestion on whom should be employed is stated in a protocol, which is sent to the interviewed candidates. All candidates who have applied for the position will get an e-mail through our recruiting system that informs about who got the position.

21. Do we provide adequate feedback to interviewees?

- **Open:**
- **Transparent:** x
- **Merit based:**
- **Answer:** ++ Yes, completely
- **Suggested indicators:** Se point 20 in this document.

22. Do we have an appropriate complaints mechanism in place?

- **Open:**
- **Transparent:** x
- **Merit based:**
- **Answer:** ++ Yes, completely
- **Suggested indicators:** Yes, According to Swedish law. In the notice of the employment decision, it is also information to the applicants about the possibility to appeal. On KTH's intranet, you also find instructions on how KTH handling [Appeals \(Swedish\)](#).

Overall assessment

23. Do we have a system in place to assess whether OTM-R delivers on its objectives?

- **Open:**
- **Transparent:**
- **Merit based:**
- **Answer:** ++ Yes, completely
- **Suggested indicators:** Yes – according Swedish law and internal routines and regulations.  
Also see point 5.

## TEMPLATE 4: ACTION PLAN

**Case number:** 2019SE440593

**Name Organisation under review:** KTH Royal Institute of Technology

**Organisation's contact details:** Charlotta Fransén, University Administration, Research Support Office, cfransen@kth.se

Submission date: 23/6 2020

### 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	2 620 <sup>9</sup>
Of whom are international (i.e. foreign nationality)	1 074 <sup>10</sup>
Of whom are externally funded (i.e. for whom the organisation is host organisation)	674
Of whom are women	648
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	1 299 <sup>11</sup>
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	420 <sup>12</sup>
Of whom are stage R1 = in most organisations corresponding with doctoral level	936 <sup>13</sup>
Total number of students (if relevant)	12 612
Total number of staff (including management, administrative, teaching and research staff)	3 628

<sup>9</sup> Does not include PhD students that are not employed.

<sup>10</sup> This statistical data is not available, though we know that the total percentage of teachers and researchers with foreign nationality amounts to 41%. Thus, an estimation is approximately  $0,41 \times 2620 = 1074,2$ .

<sup>11</sup> Includes professor, visiting professor, adjunct professor, researcher and associate professor.

<sup>12</sup> Includes Postdoctors and Research Engineers.

<sup>13</sup> Includes only PhD students with employment.

<i>RESEARCH FUNDING (figures for most recent fiscal year)</i>	€
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

<i>ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)</i>
<p>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.</p> <p>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.</p>

## 2. Strengths and weaknesses of the current practice

Please provide an overview of the organisation 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.

[In the original application document, below strengths and weaknesses are presented in a table with the following headlines:

- Thematic heading of the Charter and Code

Strengths and weaknesses (free text maximum 500 words)]

### 1. Ethical and professional aspects

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 for assuring quality in all aspects of the organisation. A strong academic culture, a high level of ethical awareness, high standards of professional performance, strong records of equality work and fruitful external collaborations with strong impact are all distinctive characteristics and strengths of KTH.

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.

During the next strategic renewal 2020-2021 of the Quality Assurance System, an internal evaluation will be done and further efficient systems and methods will be developed to uphold continuous quality assurance throughout the organisation.

According to the outcome of the gap analysis, 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*, where EU C&C principles are regarded as fully implemented.

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, described in action plan no 1, 2, 4, 5 and 6, for improvements.

### 2. Recruitment and selection

An overall aim for KTH is to assure a strong position and therefore attract the most qualified academic staff from all over the world. Likewise, to provide an outstanding research environment, good career opportunities and a skilled and efficient administration to support the organisation, being an attractive employer.

Therefore, recruitment procedures are thoroughly elaborated to assure high quality standards in all aspects of recruiting. The aspects of keeping the recruitment process open, transparent and merit-based, and with anti-discriminative objectivity is incorporated in all internal regulations. Recruitment teams are trained to keep recruitments on a high qualitative level and with optimal outcome for all parts.

Vacancies are advertised internationally in relevant languages.

A manageable web-tool is used to provide efficiency in the recruitment process for both applicants and the recruiting part.

According to gap analysis, the EU C&C principles expressed in the section of Recruitment and Selection, the areas of *selection, transparency, judging merit, variations in the chronological order, recognition of mobility experience, recognition of qualifications and seniority*, are regarded as *fully implemented*.

Whereas the areas of *recruitment and postdoctoral appointments* are *almost but not fully implemented*, due to translations into English of three documents (gap no 12, 13 and 21) but not regarding fulfilment of content of the principles.

Development areas concern how to secure the compliance of central guidelines throughout the entire organisation and monitoring improvements on local levels. The initiatives of creating fora for discussions, such as School Assemblies, Future faculties, KTH Kollegialt forum and Erfa-groups, are initiatives taken to facilitate communication at all levels, and expressed in action plan no 5, 6, 7 and gap analysis no 12.

### 3. Working conditions

According to the Gap analysis, KTH has fully implemented EU C&C principles within all the areas of recognition of the profession, research environment, working conditions, stability and permanence of employment, funding and salaries, gender balance, career development, value of mobility, access to career advice, intellectual property rights, co-authorship, training, complains/appeals and participation in decision-making bodies.

Many of these principles are regulated by Swedish law. In addition to the law and strengthened by collective agreements both on national and local level, KTH stands strong within the area of working conditions. These circumstances together with a long and strong academic tradition, internationally established research and a high level of integration with society have contributed to the development of excellent working conditions.

However, keeping high level standards is, in some aspects, a perpetual endeavor that needs to be adjusted constantly with actuality and time. The area of gender balance is one such aspect.

Even though KTH has fully implemented the principles of EU C&C in this area, and have worked with success within both research and compliance of regulations, with the ambition to even exceed what is prescribed by Swedish law, KTH has taken the initiative of establishing Future faculties with the purpose to ensure that a gender-balanced policy is implemented and continuously applied. See action no 5.

Another such area is career development. KTH has fully implemented the principles of EU C&C within these areas and offers a range of career lifting activities to promote researchers at all levels.

Nevertheless, an awareness exists for potential improvements, primarily regarding increased visibility and clarity among existing activities on the web. Discussions are currently being held on how to improve this and help the researchers to navigate among available services and facilitate planning of his/her career. See gap analysis no 28 and 30.

### 4. Training and development

According to the Gap analysis, KTH has fully implemented EU C&C principles within all the areas of relation with supervisors, supervision and managerial duties, continuing professional development, access to research training and continuous development and supervision.

A characteristic strength within KTH is the general awareness of the importance of offering an environment that allows initiatives and opportunities for individual growth. This is an overall trait supporting a strong internal culture of consent to curiosity, creativeness and of learning. It can be noticed

i.e. in the approach to innovative ideas (as referred to in §31 under section 3 working conditions. Section 3 and section 4 are closely connected).

Nevertheless, as mentioned in section 3, keeping a level of high standard quality always demands a perpetual endeavor to improve and adjust according to actual needs. It is a living and constant ambition for KTH to look after and take care of the desire to learn and develop.

Consequently, KTH has a number of career lifting activities, options of training and a number of courses offered to all employees. They constantly develop and adapt to the internal needs and different circumstances.

However, what can be improved, is to create a more distinct and gathered visibility of existing career developing activities on the web site. It can be difficult for the researchers to find all the options since they are organised of many initiators coming from all different directions. Ongoing discussions are being held in order to create a better overview of the opportunities for individual development (gap analysis §28).

### 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: [intra.kth.se/eucc](https://intra.kth.se/eucc), <https://intra.kth.se/en/styrning/kvalitetsarbete/eucc-1.921210>

*Please fill in a sum up list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis:*

[In the original application document, below proposed actions are presented in a table with the following headlines:

- 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)]

#### **Proposed ACTIONS 1: Development of documents to actuality and translation to English:**

Recruitment at KTH

**GAP Principle(s):** § 12

**Timing:** Q4 2020

**Responsible Unit:** 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:** Effectuated at latest Q3 2021

#### **Proposed ACTIONS 2: Establish an Ethical Committee**

An Ethical Committee will be 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.

**GAP Principle(s):** §2

**Timing:** Q3 2020

**Responsible Unit:** Vice Dean of Faculty Sofia Ritzén

Vice Dean of faculty will be leading the committee that 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).

**Targets:** Create a forum for discussing ethical principles and thereby strengthen focus on ethical values in a stage where 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

### **Proposed ACTIONS 3: Establish a Council for international cooperation**

According to the strategic plan, and to supplement the Ethical committee, KTH has instituted a council with focus on ethical matters connected to 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.

**GAP Principle(s):** §2

**Timing:** Q3-Q4 2020

**Responsible Unit:** 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.

**Indicators:** Clear and distinct information on the activities of the council published on the website. At latest Q4 2020.

### **Proposed ACTIONS 4: Launch Revised guidelines for scientific publishing, verified by presidential decision**

**GAP Principle(s):** §§8 + 32

**Timing:** Q2 2020

**Responsible Unit:** 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.

### **Proposed ACTIONS 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 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.

**GAP Principle(s):** §§ 10 + 27

**Timing:** Continuous

**Responsible Unit:** Dean of Faculty, Anders Forsgren and Vice President for Gender Equality and Values, Anna Wahl, provide organizational strategy and lead together the implementation with Heads of Schools and Vice Heads of Schools.

Staff development and Equality office provide training.

KTH is following the governmental directives, issued to all universities and governmental authorities in Sweden, to work towards equality and gender mainstreaming with purpose to achieve the national equality goals.

**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 between 40 and 60 percent. All members of KTHs recruitment committees shall receive training, incl gender mainstreaming components.

**Proposed ACTIONS 6: Launch and establish School Assemblies – create a forum for discussion at each of the five schools that constitute the major units at KTH.**

For each school, teachers and researchers are gathered to discuss matters of high importance to them.

**GAP Principle(s):** §35

**Timing:** Q4 2020

**Responsible Unit:** Faculty Council, Dean of Faculty Anders Forsgren and Vice Dean of Faculty Sofia Ritzén in particular, are responsible for launching the assemblies. Elected members at each school will run the meetings.

**Targets:** 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.

**Indicators:** Functioning meetings of high attendance at latest by Q4 2020.

**Proposed ACTIONS 7: Launch and establish KTH's Collegial Forum**

The establishment of a forum representing both local and central issues, is an essential and prioritized ambition for creating good grounds for an open approach to ideas, views and opinions of any matter that contributes to continuous improvements. KTH Kollegialt Forum is the conceptual and summarizing form of the School Assemblies.

**GAP Principle(s):** §35

**Timing:** Q4 2020

**Responsible Unit:** Faculty Council, Dean of Faculty Anders Forsgren and Vice Dean of Faculty Sofia Ritzén in particular.

**Targets:** Same targets as for the school assemblies.

**Indicators:** Functioning meetings of high attendance at latest by Q4 2020

**Proposed ACTIONS 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 actuality in every aspect and requires a continuous effort to reassure quality.

**GAP Principle(s):** §31

**Timing:** Continuous

**Responsible Unit:** 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.

*The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan.*

(free text, 1000 words maximum)

During the work with the completion of the gap analysis, a meticulous internal assessment of rules, guidelines and praxis has been done, comparing both documents and praxis with the principles of EU C&C. A large number of people have been involved and contributed to what we can see in the outcome of the gap analysis.

The conclusions of the gap analysis are that KTH is already following an Open Recruitment Policy, due to Swedish legislation but also due to internal policies and guidelines.

KTH is applying recruitment procedures based on openness, transparency and merits according to Swedish law, internal policies, rules and guidelines and is following the principles of EU C&C, almost fully but with the exception for the need of adjustments of some documents to updated actuality and translation into English, as expressed in the listed proposed actions above.

However, KTH's challenge is - as is the perpetual challenge in many large organisations of the size of KTH - to really make sure that the principles are consequently followed in praxis throughout the entire organisation, and to make sure that every recruitment team and HR unit are aware of the EU C&C principles and strive for continuous improvements in all aspects of the recruitment procedures. The schools are more or less self-going units.

The OTM-R toolkit is an excellent tool for this purpose. It has proved to be a valuable means for an efficient internal self-assessment on recruitment procedures and will be of good use in monitoring future endeavors to keep high standards in the entire organisation.

The actions listed above are all tools for reaching out to all departments and units, using increased exchange of communication and the OTM-R-toolkit for implementing EU C&C.

*If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website:*

[Appointments Procedure at KTH \(pdf\)](#)

[Guidelines on the advertisement of employment \(pdf\)](#)

#### **4. Implementation**

*General overview of the expected implementation process:  
(free text, 1000 words maximum)*

An Implementation Committee will be formed to pursue the actions stated according to the Action Plan. The present Project Group will be adjusted to individuals representing responsibility for the planned and stated actions expressed in the action plan and transformed into the Implementation Committee.

Thus, for each stated action there is a responsible unit and a responsible individual who is obliged to take precautions in order to fulfill the specific action, and who also is a representative member of the Implementation Committee.

Directives will be given and the responsible unit/individual will report accordingly to the Steering Committee.

Furthermore, a quality officer is an adhered member of the Implementation Committee, as in the former project group, in order to monitor the fulfilment and to assure that integration in overall quality work will be done.

The project leader of EU C&C is a member of the Quality Dialogue, where actions to improve quality are discussed. The EU C&C project leader's engagement in the Quality Dialogue assures that the stated actions in the Action Plan are added to the listed issues and duly discussed.

The Dean of Faculty is the leader of the yearly Quality Dialogue and also a member of the Steering Committee, together with the Vice President for Research, the Vice President for global relations and overall international co-operations and the University Director. They will together oversee the process, meet on a regular basis and assure that the complied actions will be fulfilled according to time-line.

The Implementation Committee will meet on a regular basis and report to the Steering Committee.

The Implementation Committee will also be in charge of the Internal Review after 24 months and report to the Steering Committee on the progress of implementing of the actions compiled. Their report will be the basis of the Revised Action Plan.

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

Checklist with detailed description and duly justification (*free text 500 words maximum.*)

[In the original version this checklist was presented in a two column table]

*1 How will the implementation committee and/or steering group regularly oversee progress?*

As above, in general overview.

*2 How do you intend to involve the research community, your main stakeholders, in the implementation process?*

The initiative of establishing a number of collegial fora for discussions, primarily the School Assemblies, KTH Collegial Forum, Council for international cooperation and the “Erfa”-groups (Sw. erfarenhet = experience) is in itself an approach to invite, encourage and involve stakeholders at all levels for discussions and to intercept opinions before decisions and consider values of importance out of various perspectives.

The Future Faculties’ responsible officers are also crucial and equally important, as channels for collecting opinions, for creating engagement for gender mainstreaming issues at all levels in the organisation and for watching that gender mainstreaming goals are continuously worked for.

These fora will be led and managed by top level management; Dean of Faculty, Vice Dean of Faculty, Vice President for global relations together with the International Relations Office, Vice President for Gender Equality, Heads of Schools and Vice Heads of Schools.

These leaders, as well as the members of the International Relations Office, are all engaged in various constellations of influence and cooperative contexts, embracing the entire organisation, and with their leadership they are also a guarantee for the impact on both strategic decisions as well as operative realization.

The process of planning, controlling and monitoring include all departments, faculties, divisions of University Administration and all schools, so all parts of the university will be involved.

KTH is a democratic organisation and have a tradition of making most decisions out of a collegial consensus perspective.

*3 How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation’s research strategy, as the overarching HR policy.*

The principles of EU C&C are fully in line with KTHs ambitions and as appears in the gap analysis, are almost already fully implemented.

Undoubtedly, KTH will continue to actively develop procedures and quality standards to the highest possible level, in alignment with both the principles of EU C&C and the National Assurance System which assumes almost congruent quality standards.

The strategy of HRS4R has been an appreciated and useful tool for systematic audit of policies and guidelines when preparing the application. As a cross-departmental project it has reached out effectively in the entire organization and is now a well-recognized and accepted strategy.

As such, it has also been approved of in the integration and synchronization with the overall quality assurance system.

Consequently, we have in our future quality work, secured that the HRS4R strategy will be taken into account in every aspect of our endeavor of quality improvement.

*4 How will you ensure that the proposed actions are implemented?*

As above, in general overview and no 2.

*5 How will you monitor progress (timeline)?*

As above, in general overview.

*6 How will you measure progress (indicators) in view of the next assessment?*

The indicators are set as measurable values, as much as possible, with achievable goals and timings set by quarters. If necessary, they will be formalised more precisely to allow monitoring by the Steering Committee.

The total timeline setting last date when the action will be fulfilled, is stated after discussion with each responsible and with awareness of taking a certain extra time into consideration, in case of unexpected events.

The implementation of the actions identified in the Action Plan will be incorporated into the regular, annual process of planning, controlling and monitoring the operations at KTH.

The Implementation Committee will be in charge of the Internal Review after 24 months and reports to the Steering Committee the progress of the implementing of actions compiled. Their report will be the basis of the Revised Action Plan.

They will also be in charge of the next external review and its preparations.

*Additional remarks/comments about the proposed implementation process:*

*(free text, 1000 words maximum)*

KTH submitted the endorsement letter in August 2019. The planning of the preparations for the application was made during the summer 2019, following the HRS4R strategy.

Worth noticing is that on several occasions, before the formal decision, discussions have been held on different levels within the organisation on the issue of HR C&C and an eventual implementation of the charter and code. Thus, during the preparations for the application, KTH has not worked out of a blank canvas when informing about the intention to implement EU C&C.

Ever since the formal decision has been made and the endorsement letter was submitted in August 2019, the entire organisation has been thoroughly informed about the decision, the process and what it means for KTH in all aspects. By means of the intranet, newsletters, reports etc, but mostly and above all by informative meetings and discussions as well as in personal contacts between the project leader and all involved units during the preparations of the application.

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 has 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.

Consequently, the discussion seminars, due to take place at each school during the spring 2020, has not been possible to go through with. In order to compensate this, we will during the whole implementation process make sure that opportunities for discussion will be systematically arranged.

As the Action Plan indicates, the various formed fora, intended for collegial discussions on relevant matters, will play an important role in this regard. The Implementation Committee has the responsibility to make sure that issues of importance are duly discussed and opinions intercepted and taken into consideration.

Making decisions out of a consensus agreement is also the traditional form for KTH of processing matters of relevance and the organisational infrastructure is set for processing decisions based on collegial influence.

With this we hope to obtain a thorough and well-founded recognition of the principles of EU C&C, saturated in the strategy for obtaining excellent research conditions.