

TEMPLATE 2 – GAP ANALYSIS - OVERVIEW

Case number: **2019SE440593**

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

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GAP ANALYSIS

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

European Charter for Researchers and Code of Conduct for the Recruitment of Researchers : GAP analysis overview

<p>Status: to what extent does this organisation meet the following principles?</p>	<p>Implementation: ++ = fully implemented +/- = almost but not fully implemented -/+ = partially implemented -- = insufficiently implemented</p>	<p>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</p>	<p>Initiatives undertaken and/or suggestions for improvement:</p>
<h3>Ethical and Professional Aspects</h3>			
<p>1. Research freedom</p>	<p>++</p>	<p>Relevant legislation:</p> <p>The Swedish Higher Education Act (1992:1434) chap 1 §6. (Högskolelagen) The following general principles are applicable:</p> <ul style="list-style-type: none"> • research issues may be freely selected, • research methodologies may be freely developed, • research results may be freely published <p>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.</p> <p>Freedom of Press Act (1949:105) (Tryckfrihetsförordningen) Act on Co-Determination in the Workplace (1976:580) (Lag om medbestämmande i arbetslivet)</p> <p>Organisational regulation:</p> <p>Identified gap:</p>	<p>Initiatives undertaken:</p>
<p>2. Ethical principles</p>	<p>++</p>	<p>Relevant legislation:</p> <p>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)</p> <p>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.</p> <p>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.</p> <p>http://www.epn.se/en/start/ http://codex.vr.se/omcodex.shtml https://publikationer.vr.se/produkt/good-research-practice/</p> <p>See Preamble, GDPR.</p>	<p>Initiatives undertaken:</p> <p>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.</p> <p>Action no 2.</p> <p>Council for International Cooperations KTH intends to extend and strengthen its international cooperation and</p>

		<p>Organisational regulation:</p> <p>KTH has a well-established Ethical Policy that has been decided upon by the board and that on a yearly basis are together with all policies reviewed internally. https://intra.kth.se/polopoly_fs/1.831693.1562754447!/Ethical_Policy.pdf</p> <p>How to act on a daily basis is further emphasized in KTH Code of Conduct. https://intra.kth.se/polopoly_fs/1.673163.1562755831!/Code%20of%20Conduct1%20V-2018-0689.pdf</p> <p>Policy for Sustainable development Ethical policy Reading instructions and explanatory notes for Ethical policy to KTH</p> <p>KTH's technical and organisational measures for implementing GDPR principles are : See point 8</p> <p>Identified gap:</p>	<p>intercommunion with surrounding communities.</p> <p>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.</p> <p>Action no 3</p>
3. Professional responsibility	++	<p>Relevant legislation:</p> <p>The Swedish Higher Education Act (1992:1434) (Högskolelagen) SFS: 2019:1151 (Förordning om ändring i högskoleförordningen)</p> <p>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)</p> <p>Organisational regulation:</p> <p>https://intra.kth.se/polopoly_fs/1.831693.1562754447!/Ethical_Policy.pdf https://intra.kth.se/polopoly_fs/1.673163.1562755831!/Code%20of%20Conduct1%20V-2018-0689.pdf</p> <p>See point 2.</p> <p>Identified gap:</p>	Initiatives undertaken:
4. Professional attitude	++	<p>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.</p> <p>Relevant legislation:</p> <p>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)</p>	Initiatives undertaken: See point 2.

		<p>Organisational regulation: https://intra.kth.se/polopoly_fs/1.831693.1562754447!/Ethical_Policy.pdf https://intra.kth.se/polopoly_fs/1.673163.1562755831!/Code%20of%20Conduct%20V-2018-0689.pdf</p> <p>Identified gap:</p>	
5. Contractual and legal obligations	++	<p>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)</p> <p>Organisational regulation:</p> <p>Research Support Office, RSO, at KTH support the researchers in contractual and legal matters. https://intra.kth.se/en/styrning/kths-organisation/gvs/rso/forskningsstod-1.876021 https://intra.kth.se/en/styrning/kths-organisation/gvs/rso/affarsjuridik-1.884365</p> <p>Planning, Quality Assurance and Administrative Law (PKF) assists KTH's management with planning, follow-up, governance, quality assurance, administrative law and administrative support. https://intra.kth.se/en/styrning/kths-organisation/gvs/pkf/planering-kvalitetssamordning-och-forvaltningsjuridik-1.876033</p> <p>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. https://www.kth.se/en/innovation https://www.kth.se/en/innovation/vi-erbjuder/kth-innovation-erbu/patent-ipr-1.715832 See points 31, 32.</p> <p>Identified gap:</p>	Initiatives undertaken:
6. Accountability	++	<p>Relevant legislation: The Swedish Higher Education Act 1992:1434, § 4 (Högskolelagen)</p> <p>'The operations of higher education institutions shall be arranged to ensure that high standards are attained in courses and study programmes and <u>in research</u>. 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).'</p> <p>Organisational regulation: https://intra.kth.se/polopoly_fs/1.831693.1562754447!/Ethical_Policy.pdf Reading instructions and explanatory notes for Ethical policy to KTH</p>	Initiatives undertaken: See point 2.

		<p>https://intra.kth.se/polopoly_fs/1.673163.1562755831!/Code%20of%20Conduct%20V-2018-0689.pdf</p> <p>See point 2.</p> <p>Identified gap:</p>	
7. Good practice in research	++	<p>Relevant legislation:</p> <p>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)</p> <p>Organisational regulation:</p> <p>https://intra.kth.se/polopoly_fs/1.831693.1562754447!/Ethical_Policy.pdf Reading instructions and explanatory notes for Ethical policy to KTH https://intra.kth.se/polopoly_fs/1.673163.1562755831!/Code%20of%20Conduct%20V-2018-0689.pdf</p> <p>KTH Data Protection Officer</p> <p>Identified gap:</p>	<p>Initiatives undertaken:</p> <p>See point 8.</p>
8. Dissemination, exploitation of results	++	<p>Relevant legislation:</p> <p>https://www.uhr.se/en/start/laws-and-regulations/Laws-and-regulations/The-Swedish-Higher-Education-Act/#chapter1 Data Protection Act (2018:218) (Dataskyddslagen) Data Protection Ordinance(2018:219) (Dataskyddsförordningen) The Archives Act (1990:782) (Arkivlagen) The Archives Ordinance (1991:446) (Arkivförordningen) Public Access to Information and Secrecy Act (2009:400) (Offentlighets- och sekretesslagen)</p> <p>See Preamble, GDPR and Secrecy Act.</p> <p>Organisational regulation:</p> <p>Guidelines for the application of rules on public access to information and secrecy at KTH Security policy Language guideline KTH Data Protection Officer</p> <p>‘KTH Innovation’ specialises in the commercialisation of new technology at the earliest stages of development and offers free, objective and confidential support in all areas relevant to taking an idea or research result to innovation. The KTH Innovation team offers researchers, employees and students at KTH support in business development, patents and law, funding, project management, and much more. https://www.kth.se/en/innovation</p> <p>Please note; "Principles for handling intellectual property in research agreements" (<i>Principer för immaterialrättslig hantering i forskningsavtal</i>) by the Association of Swedish Higher Education, is recommended as praxis for Swedish Higher Education Institutes. https://suhf.se/app/uploads/2019/12/SUHF-Principles-for-managing-intellectual-property-in-research-contracts-Recommendation-2016-3.pdf</p> <p>Identified gap:</p>	<p>Initiatives undertaken:</p> <p>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.</p> <p>Action no 4.</p> <p>KTH Innovation Office See point 31.</p>
9. Public engagement	++	<p>Relevant legislation:</p> <p>The Swedish Higher Education Act (1992:1434)</p>	<p>Initiatives undertaken:</p> <p>See point 8.</p>

		<p>Ch 1, 2 and 3 §§ (Högskolelagen)</p> <p>'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.'</p> <p>Organisational regulation: Communications Division at KTH support the researchers to inform about the research activities and results. https://intra.kth.se/en/styrning/kths-organisation/gvs/cbl/kommunikation-och-naringslivssamverkan-1.872391 https://intra.kth.se/polopoly_fs/1.176408.1550156763!/Menu/general/column-content/attachment/komstrateng_final.pdf</p> <p>Identified gap:</p>	
<p>10. Non discrimination</p>	<p>++</p>	<p>Relevant legislation</p> <p>The Discrimination Act (2008:567) (Diskrimineringslagen)</p> <p>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.</p> <p>The Swedish Secretariat for Gender Research (Nationella Sekreteriatet för genusforskning) is a central actor in the area of gender research and gender equality since 1998, carrying out assignments on behalf of several national, Nordic and European actors. The secretariat is commissioned by the Swedish government to support all state funded higher education 14 institutions in their gender mainstreaming efforts 2016-2019. This assignment has now been prolonged.</p> <p>The Equality Ombudsman (Diskrimineringsombudsmannen) is a government agency that promote equal rights and opportunities and combat discrimination</p> <p>Organisational regulation:</p> <p>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.</p> <p>The JMLA-group (Sw. Equality, Diversity, Equal conditions, Responsibility) within the university assures the implementation of gender mainstreaming values throughout the entire organisation.</p> <p>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.</p> <p>The vice President with special focus on gender equality and research on values within organisational development, embraces the responsibility of assuring a longterm progress in line with the national gender equality policy goals. https://www.kth.se/profile/awahl</p> <p>An Equal KTH - Plan for Gender Mainstreaming of KTH (JIKTH) (docx 591 kB) https://intra.kth.se/en/anstallning/pa-lika-villkor/jikth-jamstalldintegrering-pa-kth-1.771963 https://intra.kth.se/en/anstallning/pa-lika-villkor/kth-s-vardegrund-1.514479 Discrimination, harassment, sexual harassment or degrading treatment (pdf 681 kB) https://intra.kth.se/en/anstallning/pa-lika-villkor/arbetet-med-aktiva-atgarder-vid-kth-1.730033 https://intra.kth.se/en/anstallning/pa-lika-villkor/kth-s-vardegrund-1.514479 https://intra.kth.se/en/anstallning/pa-lika-villkor/diskriminering-och-diskrimineringsgrunderna-1.514511</p>	<p>Initiatives undertaken:</p> <p>See point 27.</p> <p>Action no 5.</p>

		<p>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</p> <p>See point 27.</p> <p>Identified gap:</p>	
11. Evaluation/ appraisal systems	+ +	<p>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.</p> <p>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.</p> <p>http://www.vr.se/inenglish/aboutus.4.69f66a93108e85f68d48000123.html</p> <p>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.</p> <p>https://english.uka.se/quality-assurance/quality-assurance-of-higher-education.html</p> <p>Relevant legislation:</p> <p>Ordinance (2007: 603) on Internal Control (Förordning om intern styrning och kontroll) Internal Audit Ordinance (2006 : 1228), 1 and 2 §§ (Internrevisionsförordning)</p> <p>Organisational regulation:</p> <p>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.</p> <p>KTH Quality Assurance System Quality policy</p> <p>Identified gap:</p>	Initiatives undertaken:
Recruitment and Selection			
12. Recruitment	+ -	<p>Relevant legislation:</p> <p>The Instrument of Government (Regeringsreformen) Chapter 12, art 5 The Public Employment Act in Swedish (1994:260) (Lagen om offentlig anställning) Section 4</p> <p>https://www.uhr.se/en/start/laws-and-regulations/Laws-and-regulations/The-Swedish-Higher-Education-Act/ (Högskolelagen) The Higher Education Ordinance (SFS 1993:100) (Högskoleförordningen) Discrimination Act (SFS 2008:567) (Diskrimineringslagen)</p> <p>Organisational regulation:</p> <p>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).</p>	Initiatives undertaken:
			<p>“Erfa”- group recruitment</p> <p>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.</p> <p>The ambition is to create a cross-unit</p>

		<p>Guideline to the appointments procedure Complement to the appointments procedure at KTH, should be read together with the appointments procedure at KTH.</p> <p>Research (Admission as Affiliated Professor, Affiliated Faculty, and Docent. Doctoral student employment Doctoral studies (PhD) Recruitment at KTH* Academic career development at KTH Tenure Track (For Assistant professors and Associate professors only).</p> <p>Identified gap: *Recruitment at KTH Revised regulations to actuality and translation to English is needed.</p>	<p>forum for best practise and constructive development within recruitment procedures.</p> <p>*Action no 1</p>
<p>13. Recruitment (Code)</p>	<p>++</p>	<p>Relevant legislation:</p> <p>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.</p> <p>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</p> <p>Discrimination Act (SFS 2008:567) (Diskrimineringslagen)</p> <p>Organisational regulation:</p> <p>See also point 10 and 12.</p> <ul style="list-style-type: none"> • KTH has a Web-based tool for all stages in the recruitment process called Varbi Recruitment System. The system also has an competence based interview modul which is an objective and antidiscrimination way of assess competence and merits. • Recruitment process with standardized routines and templates for advertising always include clear qualification requirements and application guidelines: Rules regarding advertisement and employment.pdf* Employment profiles. Administrative support for hire teachers and researchers. Guidelines to Researchers / Research engineers, postdoctoral researchers Doctoral student employment • Anyone is entitled to request documents and applications from all recruitment processes, including assessments and decision protocol, in accordance with Swedish legislation. Guideline to public access to information • All positions are advertised Information regarding recruiting and advertisement <p>Identified gap:</p>	<p>Initiatives undertaken:</p>

<p>14. Selection (Code)</p>	<p>++</p>	<p>Relevant legislation:</p> <p>The Swedish Higher Education Act (SFS 1992:1434) (Högskolelagen) The Higher Education Ordinance (SFS 1993:100) (Högskoleförordningen)</p> <p>Organisational regulation:</p> <p>See also point 12 and 13.</p> <ul style="list-style-type: none"> The composition of the employment committees is centrally regulated for all schools. Appointments Procedure at KTH, Guideline to the appointments procedure Experts and members should always be evenly distributed in terms of gender in accordance with Swedish legislation. Appointments Procedure at KTH, Guideline to the appointments procedure Students and PhD students are represented in the employment committees according to Appointments Procedure at KTH, Guideline to the appointments procedure Templates for selection of doctoral students can be found on Doctoral student Employment External assessors review the applications for academic positions in accordance with Appointments Procedure at KTH, Guideline to the appointments procedure A range of selection practices are used such as external expert assessment, face-to face interviews, test lectures or work samples Appointments Procedure at KTH, Guideline to the appointments procedure Members of the recruitment committees are adequately trained. The chair, vice chair, members (student representatives included) and supporting staff shall undergo such training as the faculty council decides, see Guideline to the appointments procedure, p.2. The training consist of four parts; pedagogical skills, laws and regulations, neutral merit valuation and interview techniques. The training ends with a workshop. The training programs are published at the intranet Staff training and development when available. <p>Identified gap:</p>	<p>Initiatives undertaken:</p>
<p>15. Transparency (Code)</p>	<p>++</p>	<p>Relevant legislation:</p> <p>The Swedish Higher Education Act (SFS 1992:1434) (Högskolelagen) The Higher Education Ordinance (SFS 1993:100) (Högskoleförordningen)</p> <p>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.</p> <p>Employment Ordinance (1994:373) (Anställningsförordningen) Public Access to Information and Secrecy Act (2009:400) (Offentlighets- och sekretesslagen)</p> <p>Organisational regulation:</p> <p>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.</p> <ul style="list-style-type: none"> 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. 	<p>Initiatives undertaken:</p>

		<ul style="list-style-type: none"> 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. <p>Also see point 14.</p> <p>Identified gap:</p>	
16. Judging merit (Code)	++	<p>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)</p> <p>Organisational regulation:</p> <ul style="list-style-type: none"> Grounds for assesment in Appointments Procedure at KTH Great freedom for applicants to refer to merits such as CV and publications etc. CV-templates (not mandatory). Members of the recruitment committees are adequately trained. See point 14. A range of selection practices are used such as external expert assessment, face-to face interviews, test lectures or work samples <p>Appointments Procedure at KTH and the Guideline to the appointments procedure</p> <ul style="list-style-type: none"> Electronic recruitment system Varbi Recruitment System. KTH's employment procedures include a wide range of selection criteria. <p>Also see point 14.</p> <p>Identified gap:</p>	Initiatives undertaken:
17. Variations in the chronological order of CVs (Code)	++	<p>Relevant legislation: Employment Ordinance (SFS 1994:373) (Anställningsförordningen)</p> <p>Organisational regulation:</p> <ul style="list-style-type: none"> In accordance with Swedish legislation. Great freedom for applicants to refer to merits. CV-templates for applicants to academic positions (not mandatory). <p>Identified gap:</p>	Initiatives undertaken:
18. Recognition of mobility experience (Code)	++	<p>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</p> <p>Leave for employees in the governmental sector for employees of authorities subordinated the government, special rules are stipulated in Ordinance respecting Leave of Absence (1984:111) (Tjänstledighetsförordningen) and in Central collective agreements (Villkorsavtal)</p> <p>Ordinance respecting Leave of Absence also includes rules of right to leave for governmental employees during service abroad.</p> <p>https://www.arbetsgivarverket.se/avtal--skrifter/avtal/villkorsavtal-arbetsgivarverket-seko/ https://www.arbetsgivarverket.se/avtal--skrifter/avtal/villkorsavtal-arbetsgivarverket-ofrspo/</p>	Initiatives undertaken:

		<p>https://www.arbetsgivarverket.se/avtal--skrifter/avtal/villkorsavtal-t-arbetsgivarverket-saco-s/</p> <p>Organisational regulation:</p> <p>KTH's Development plan (A KTH in a global world) Foreign service - URA Relocation</p> <p>Local collective agreements - Also see the Preamble and the information about collective agreements. Trade unions at KTH</p> <p>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</p> <p>Also see Appointments Procedure at KTH</p> <p>Identified gap:</p>	
19. Recognition of qualifications (Code)	++	<p>Relevant legislation:</p> <p>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.</p> <p>Organisational regulation:</p> <p>Appointments Procedure at KTH (employment regulation) Guideline to the appointments procedure Complement to the appointments procedure at KTH. KTH Development plan</p> <p>KTH has appointed a vice President for global relations. https://intra.kth.se/en/styrning/kths-organisation/kth-s-ledning-1.15618 https://www.kth.se/profile/stefano</p> <p>See also point 18.</p> <p>Identified gap:</p>	Initiatives undertaken:
20. Seniority (Code)	++	<p>Relevant legislation:</p> <p>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)</p> <p>Organisational regulation:</p> <p>Core values at KTH Discrimination and grounds for discrimination Appointments Procedure at KTH, Guideline to the appointments procedure</p> <p>See also point 10 and 12</p>	Initiatives undertaken:

		Identified gap:	
21. Postdoctoral appointments (Code)	++	<p>Relevant legislation:</p> <p>Employment Protection Act 1982:80 (LAS) (Lagen om anställningsskydd) Collective agreement for Post doc positions</p> <p>Organisational regulation:</p> <p>Appointments Procedure at KTH (employment regulation) Guideline to the appointments procedure Complement to the appointments procedure at KTH. Employment profile for post doctor*</p> <p>Identified gap:</p>	Initiatives undertaken:
Working Conditions and Social Security			
22. Recognition of the profession	++	<p>Relevant legislation:</p> <p>The Swedish Higher Education Act 1992:1434 chapter 1, §6 and chapter 2 §6. (Högskolelagen) Employment Protection Act 1982:80 (LAS) (Lagen om anställningsskydd) https://www.arbetsgivarverket.se/avtal--skrifter/avtal/villkorsavtal-arbetsgivarverket-seko/ https://www.arbetsgivarverket.se/avtal--skrifter/avtal/villkorsavtal-arbetsgivarverket-ofrspo/ https://www.arbetsgivarverket.se/avtal--skrifter/avtal/villkorsavtal-t-arbetsgivarverket-saco-s/</p> <p>Organisational regulation:</p> <p>Local collective agreements - Also see the Preamble and the information about collective agreements. Appointments Procedure at KTH (employment regulation) Guideline to the appointments procedure Complement to the appointments procedure at KTH. Scholarship Funded doctoral student</p> <p>Identified gap:</p>	Initiatives undertaken:
23. Research environment	++	<p>Relevant legislation:</p> <p>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</p> <p>Organisational regulation:</p> <p>HR-policy</p>	Initiatives undertaken:

		<p>Guidelines on work environment</p> <p>Identified gap:</p>	
24. Working conditions	++	<p>Relevant legislation:</p> <p>The Work Environment Act (SFS 1977:1160 The Work) (Arbetsmiljölagen) The Work environment ordinance (SFS 1977:1166) (Arbetsmiljöförordningen) Discrimination Act (SFS 2008:567) (Diskrimineringslagen) Social Insurance Act (SFS 2010:110) (Socialförsäkringslagen) Flammable and explosive goods act (SFS 2010:1011) (Lag om brandfarliga och explosiva varor) Protection against accidents act (SFS 2003:778) (Lag om skydd mot olyckor) Protection against accidents ordinance (SFS 2003:789) (Förordning om skydd mot olyckor) The Environmental Code (SFS 1988:808) (Förordning med instruktion för statens energiverk) Parental leave act (SFS 1995:584) (Föräldraledighetslagen) The Swedish Work Environment Authority's Statute Book The Swedish Work Environment Authority's Statute Book Central collective agreement (Villkorsavtal) Forsakringskassan. Information about sickness benefit for employees. Applying for pension.</p> <p>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</p> <p>Also see point 10 and 12</p> <p>Identified gap:</p>	Initiatives undertaken:
25. Stability and permanence of employment	++	<p>Relevant legislation:</p> <p>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:</p> <ul style="list-style-type: none"> • Probationary period , not exceeding six months • General temporary-term ALVA • Substitute • Seasonal work • Workers from age 67 <p>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.</p> <p>Employment Regulation (1994:373) (Anställningsförordningen)</p>	Initiatives undertaken:

		<p>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)</p> <p>The Higher Swedish Education Act (1992:1434) (Högskolelagen) The Higher Education Ordinance (SFS 1993:100), chapter 4-5 (Högskoleförordningen)</p> <p>Organisational regulation:</p> <p>Identified gap:</p>	
26. Funding and salaries	++	<p>Relevant legislation:</p> <p>https://www.uhr.se/en/start/laws-and-regulations/Laws-and-regulations/The-Higher-Education-Ordinance/#chapter7</p> <p>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.</p> <p>https://www.arbetsgivarverket.se/avtal--skrifter/ https://www.arbetsgivarverket.se/avtal--skrifter/avtal/villkorsavtal-arbetsgivarverket-seko/ https://www.arbetsgivarverket.se/avtal--skrifter/avtal/villkorsavtal-arbetsgivarverket-ofrspo/ https://www.arbetsgivarverket.se/avtal--skrifter/avtal/villkorsavtal-t-arbetsgivarverket-saco-s/</p> <p>‘Kammarkollegiet’ provides a national group insurance covering all foreign scientists doing research. https://www.kammarkollegiet.se/engelska/start/all-services/insurance-for-foreign-visitors</p> <p>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</p> <p>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</p> <p>Organisational regulation:</p> <p>https://intra.kth.se/anstallning/anstallningsvillkor/lokala-kollektivavtal-1.438079</p> <p>Local collective agreements - Also see the Preamble and the information about collective agreements. Scholarship Funded doctoral student Doctoral student salary agreement Salary review</p> <ul style="list-style-type: none"> • In accordance with Swedish legislation and collective agreement. • Doctoral students are employed for a period corresponding to 100% study activity for a maximum of four years (for a doctoral degree). It is common for doctoral students to have so-called departmental service with a maximum of 20%, studies will then be 80% and doctoral studies for a total of five years. • Salary Analysis is conducted annually to ensure equal pay for women and men, but also to ensure that the salaries are not unduly biased. 	Initiatives undertaken:

		<p>Identified gap:</p>	
27. Gender balance	++	<p>Relevant legislation:</p> <p>See point 10.</p> <p>Organisational regulation:</p> <p>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</p> <p>Training, including gender-balanced perspectives, is mandatory for members of recruitment committees. See Appointments Procedure and complementary guideline.</p> <p>Identified gap:</p>	<p>Initiatives undertaken:</p> <p>See point 10.</p> <p>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.</p> <p>Action no 5.</p>
28. Career development	++	<p>Relevant legislation:</p> <p>The Higher Education Ordinance (SFS 1993:100), chapter 6, §§§ 3, 28, 29 (Högskoleförordningen)</p> <p>Individual study plan (section 29)</p> <p>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.</p> <p>Organisational regulation:</p> <p>Third cycle, Doctor/KTH Intranet https://intra.kth.se/polopoly_fs/1.883360.1561640348!/Guideline_on_Third-Cycle_Studies.pdf Overview of courser in Teaching and Learning at KTH/KTH Intranet Academic career development at KTH Eligibility requirements and grounds of assessment for promotion</p> <p>Academic staff’s opportunity to apply for a Lectureship, an academic title showing a higher scientific competence regarding research and teaching expertise.</p> <p>Tenure Track Assistant professors and Associate professors. Appointments Procedure at KTH Guideline to the appointments procedure Complement to the appointments procedure at KTH.</p> <p>All managers are offered leadership development program and courses on managerial support and duties.</p> <p>KTH Research Support Office provides support for research collaboration leaders through thematic seminars and best practice.</p> <p>Support for Research Collaboration Competence</p> <p>Identified gap:</p>	<p>Initiatives undertaken:</p> <p>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.</p>

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

		<p>Please note; "Principles for handling intellectual property in research agreements" (<i>Principer för immaterialrättslig hantering i forskningsavtal</i>) by the Association of Swedish Higher Education, is recommended as praxis for Swedish Higher Education Institutes.</p> <p>https://suhf.se/app/uploads/2019/12/SUHF-Principles-for-managing-intellectual-property-in-research-contracts-Recommendation-2016-3.pdf</p> <p>Organisational regulation: Identified gap:</p>	Action no 4.
33. Teaching	++	<p>Relevant legislation:</p> <p>The Higher Education Ordinance, chapter 5, section 2: (Högskoleförordningen)</p> <p>'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.'</p> <p>Organisational regulation:</p> <p>Overview of courses in Teaching and Learning at KTH/KTH Intranet</p> <p>Appointments Procedure at KTH, (employment regulation) Guideline to the appointments procedure (complement to the appointments procedure)</p> <p>KTH's requirement of 15 credits in academic teaching for employment or promotion to a teaching position. https://intra.kth.se/en/anstallning/karriar/karriar-och-kompetensutveckling-kompetensstod/befordringar/ansokan-om-befordran-1.325736/ansokan-om-befordran-1.328613 (See pedagogical portfolio at KTH on above link) https://intra.kth.se/en/anstallning/karriar/karriar-och-kompetensutveckling-kompetensstod/tenure-track-1.903361</p> <p>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</p> <p>Identified gap:</p>	Initiatives undertaken:
34. Complains/ appeals	++	<p>Relevant legislation:</p> <p>Please note: see preamble!</p> <p>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)</p> <p>https://www.arbetsgivarverket.se/globalassets/avtal-skrifter/centralaavtal/rals-rals-t-2017-2020/rals-2017-2020-seko.pdf</p> <p>Organisational regulation: Identified gap:</p>	Initiatives undertaken:
35.	++	<p>Relevant legislation:</p> <p>The Swedish Higher Education Act 1992:1434 chapter 2 §6. (Högskolelagen)</p>	Initiatives undertaken:

Participation in decision-making bodies		<p>The Higher Education Ordinance (SFS 1993:100) Chapter 2, §7a (Högskoleförordningen)</p> <p>Organisational regulation:</p> <p>https://intra.kth.se/polopoly_fs/1.914373.1565074813!/Guideline_on_Student_Infuence.pdf</p> <p>Trade unions at KTH</p> <p>Identified gap:</p>	<p>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.</p> <p>Action no 6.</p> <p>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.</p> <p>Action no 7.</p>
Training and Development			
36. Relation with supervisors	++	<p>Relevant legislation:</p> <p>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.'</p> <p>*PhD candidate is called "doctoral student" in Swedish.</p> <p>Organisational regulation:</p> <p>https://intra.kth.se/polopoly_fs/1.883360.1561640348!/Guideline_on_Third-Cycle_Studies.pdf</p>	<p>Initiatives undertaken:</p>

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

<p>Access to research training and continuous development</p>		<p>The Higher Education Ordinance (SFS 1993:100), Chapter 6, §29 (Högskoleförordningen) See point 38 and 39.</p> <p>Organisational regulation:</p> <p>https://intra.kth.se/en/anstallning/karriar/karriar-och-kompetensutveckling-kompetensstod/tenure-track-1.903361 Overview of courses in Teaching and Learning at KTH/KTH Intranet</p> <p>KTH's requirement of 15 credits in academic teaching for employment or promotion to a teaching position. https://intra.kth.se/en/anstallning/karriar/karriar-och-kompetensutveckling-kompetensstod/befordringar/ansokan-om-befordran-1.325736/ansokan-om-befordran-1.328613 (See pedagogical portfolio at KTH on above link)</p> <p>https://intra.kth.se/en/anstallning/karriar/karriar-och-kompetensutveckling-kompetensstod/tenure-track-1.903361</p> <p>Educational Development and Teaching and Learning in Higher Education/KTH Intranet</p> <p>Workshops and seminars on teaching and learning/KTH Intranet https://intra.kth.se/en/utbildning/utveckling-och-hogskolepedagogik/hogskolepedagogik/kurser https://intra.kth.se/en/utbildning/utveckling-och-hogskolepedagogik/hogskolepedagogik/workshops Tenure Track/Pil Appointments Procedures at KTH</p> <p>Identified gap:</p>	
<p>40. Supervision</p>	<p>+ +</p>	<p>Relevant legislation:</p> <p>The Higher Education Ordinance (SFS 1993:100) (Högskoleförordningen) See point 37.</p> <p>Organisational regulation:</p> <p>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</p> <p>Identified gap:</p>	<p>Initiatives undertaken:</p>