

## TEMPLATE 1 – GAP ANALYSIS - PROCESS

Case number: **2019SE440593**

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

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### PROCESS

*The HRS4R process must engage all management departments directly or indirectly responsible for researchers' HR-issues. <sup>1</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 R4<sup>2</sup>, as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.*

*Please provide the name, the position and the management line/ department of the persons who are directly or indirectly engaged in the HRS4R process in your organisation:*

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

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

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

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

The Steering committee and the Project Group were formed during the summer 2019.

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

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

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

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

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

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

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

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

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

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

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

The Steering Committee, assures that opportunities for discussion will be systematically and continuously arranged. Further consulting will be done during the whole implementation phase, alongside all the momentums of the process and in communicative exchange with the stakeholder groups.

Each responsible unit are obliged to take precautions in order to assure the full implementation. Follow-up will be done by an Officer from the department of Planning, Quality Assurance and Administrative law.

In addition, and as recommended by the Commissions HRS4R-team, a questionnaire is prepared for within the next 24 months.

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

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

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

The implementation of EU C&C will be integrated in the overall quality system.

A periodic review of Research including collaboration is carried out as a Research Assessment Exercise (RAE) once every six years and is the responsibility of the KTH Vice President for Research.

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

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

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

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

Persons engaged in the HRS4R process.

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

Jessika Persson	Head of unit	Archives and Registration
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*Your organisation must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4<sup>3</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*

<https://euraxess.ec.europa.eu/europe/career-development/training-researchers/research-profiles-descriptors>

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

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

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

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

*Please describe how was appointed the Committee overseeing the process:*

Free text 200 words maximum

The Steering Committee was appointed by President Sigbritt Carlsson after proposal from Project Manager Charlotta Fransén.

The Committee was appointed in order to assure the implementation of EU C&C within the entire organisation, with committee members representing the top level management and embracing the overall responsibilities within research, quality assurance, administration and internationalization and to assure consultation with all stakeholder groups.

Members of the Steering Committee are:

- Annika Stensson Trigell, professor and Vice President for research
- Anders Forsgren, professor, Dean of faculty, Responsible for the quality of research and education
- Stefan Östlund, professor, Vice President with responsibility for Global Relations and international co-operations
- Kerstin Jacobsson, University Director with responsibility for university-wide administration

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

Free text 200 words maximum

The Project Manager, Charlotta Fransén, was appointed by President Sigbritt Karlsson after suggestion from the Head of Research Support Office, Maria Gustafson, and the HR Manager, Annica Fröberg. The Head of Research Support, the HR Manager and the Project Manager formed the initial project group in June 2019, with liability to coordinate operational issues, commissioned to make decisions to pursue the operational work and with flexibility to involve additional persons along the process.

In August 2019, one member representing Communications and Business Liaisons, Annifrid Paulsson, was added.

HR Specialist Petra Rosenquist has been coordinator of the HR issues together with Deputy HR Manager and Head of unit Lotta Gustavsson.

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

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

The Project Manager has organised, coordinated and driven the overall process with support from both the Project Group and the Executive Committee.

What has been planned in the Project Group, has been consulted for and approved by the Steering Committee to be executed.