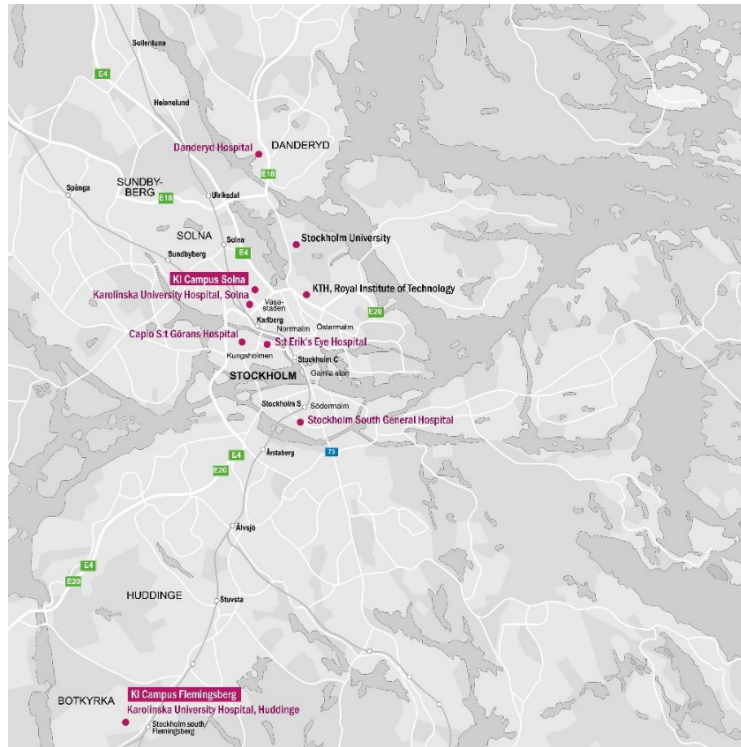


Preamble Karolinska Institutet HRS4R application

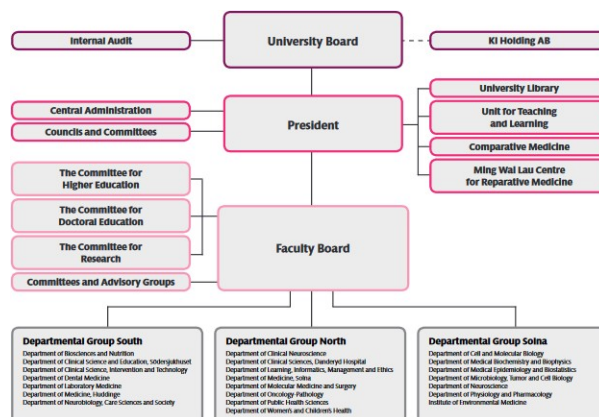
Location of Karolinska Institutet

Karolinska Institutet is located in the Stockholm area in Sweden, an area with a population of some 2,3 million people and located in different places throughout the area.



Organogram of Karolinska Institutet

To help understand some of the texts in the Gap Analysis and Action Plan, a university organogram is shown below. The Board of Karolinska Institutet is the university's highest decision-making body and the President is the chief executive. The university also consists of a number of university-wide positions, units and bodies that support the management and the organisation on various issues.



Clarification regarding the basic conditions for researchers working in Sweden

Swedish law

A distinction is made between fundamental laws and other laws. The fundamental laws contain basic rules as to how the country is to be governed and take precedence over all other laws.

The Government can take decisions about rules that are to apply in Sweden. These rules are known as ordinances. All new laws and ordinances are published in the Swedish Code of Statutes ([SFS](#)).

The Constitution

Like most other democracies, Sweden has a written [Constitution](#) that sets out the rules for how society shall be governed. The Constitution consists of four fundamental laws: the Instrument of Government, the Act of Succession, the Freedom of the Press Act and the Fundamental Law on Freedom of Expression. The Riksdag Act is not one of the fundamental laws but occupies a position between a fundamental law and an ordinary law.

The fundamental laws take precedence over all other laws. This means that other laws may never conflict with the provisions of the fundamental laws.

- [The Instrument of Government](#)
- [The Act of Succession](#)
- [The Freedom of the Press Act](#)
- [The Fundamental Law on Freedom of Expression](#)
- [The Riksdag Act](#)

Swedish labour law

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 seen 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 an individual worker who is not unionised, is still embraced by the regulations of the collective agreement.

In the personal employment contract, the parties may more closely regulate the conditions of employment, provided 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.

Parental leave

Parental leave in Sweden is governed in law through the [Parental Leave Act](#). It is probably one of the most generous parental leave legislations in the world and applies to both the mother and the father. The legislation also applies 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 3(35) 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

[Freedom of Speech Act](#) (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 Secrecy Act](#) (Swedish Code of Statutes 2009: 400) (Offentlighets- och sekretesslagen)

Definitions researcher

A specific definition of researchers has been adopted by the European Commission and is detailed in the Frascati Manual¹. Consequently, researchers are described as:

"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 stage², 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 is made between Early-Stage Researcher and Experienced Researchers³:

- The term *Early-Stage Researcher* refers to researchers in the first four years (full-time equivalent) of their research activity, including the period of research training.
- *Experienced Researchers* 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.

Delimitations

What is stated in the gap analysis refers to conditions for state employees, thus researchers with the state as accountable authority.

Researchers working under other authorities than a state institution, or those who fund their research through scholarships, are not covered by the description below.

¹ Guidelines for Collecting and Reporting Data on Research and Experimental Development, [Frascati Manual](#), OECD, 2015.

² [COM \(2003\) 436](#) Researchers in the ERA: One profession, multiple careers.

³ [Towards a European framework for research careers](#), 2011

TEMPLATE 1 – GAP ANALYSIS - PROCESS

Case number: 2018SE360661

Name Organisation under review: Karolinska Institutet, Stockholm, Sweden

Organisation's contact details: Anna-Carin Christoffersson, Faculty Office and External Relations, Karolinska Institutet, SE-171 77 Stockholm, Nobels väg 6, +46 72 250 85 27, anna-carin.christoffersson@ki.se

SUBMISSION DATE: XX DECEMBER 2019

DATE ENDORSEMENT CHARTER AND CODE: 4 December 2018

PROCESS DESCRIPTION

The president, Ole Petter Ottersen initiated the process of HRS4R on the 4th of December 2018 with endorsement of European Charter and Code. The task to coordinate the HRS4R project was given to the central administration, Faculty Office and External Relations. The President is project owner.

In order to guarantee a solid implementation of the process people with high expertise, broad representation and engagement from as well KI's administration as the research community (R1-R4) participated.

The process included university management, the academic vice president for Research, the HR unit, office of research support, other experts and advisers and administrative staff members throughout KI. The HRS4R process engaged all management departments directly or indirectly responsible for researcher's development at KI. In addition, the HRS4R strategy consulted stakeholders and involved a representative community of researchers ranging from R1 to R4. Input from our stakeholders (R1-R4) has been of high importance.

Please see the list below over persons.

In parallel to the HRS4R process a broad-based, profound and thoughtful process of a new common Strategy ([KI Strategy 2030](#)) reflecting KI's mission, values and goals started. The HRS4R is in line with Strategy 2030, our strategic plan, and embedded in KI's strategy and quality management processes. The European Charter for Researchers and Code of Conduct for the Recruitment of Researchers is an obvious part of the quality development work at KI on this level.

In 2019 the University board decided upon this new strategy for the period 2019 to 2030. The aim of the Strategy 2030 is to sharpen KI's focus on what we need to prioritise over the coming years at a university-wide level to make KI more effective and to ensure the optimum use of KI resources. Underpinned by Strategy 2030, KI will be better equipped to face the world and the future in a more effective, robust and considered way. A general content plan (verksamhetsplan) of Strategy 2030 is expressed in terms of goals and tasks, each of which will assign a level of priority and to be implemented between 2020 – 2022. This content plan has actions that are as well actions in HRS4R. The strategy was developed through a process both within KI (involving staff, students, management) and in dialogue with our partners. Key departure points were the follow-up of the current strategy

(Strategy 2018), the results of the staff survey and the departmental visits that the management carried out.

As a university with a global responsibility KI has incorporated the UN's Agenda 2030 for sustainable development and its goals for universal education and health into its strategy. To read more on the process please read [here](#).

Please find below name, the position and the management line/ department of the persons who are directly or indirectly engaged in the HRS4R process at KI:

Name	Position	Management line/ Department
Professor Ole Petter Ottersen	President	University Management
Professor Anders Gustafsson	Acting Vice president, Chair Infrastructure Committee	University Management
Katarina Bjelke	University Director	University Management
Ingrid Palmer	Deputy University Director, Director of Planning	University Management
Professor Birgitta Henriques Normark	Member of Faculty Board, Acting academic Vice President Committee for Research, Member of Recruitment Committee	Member of the Faculty Board, President Committee for Research
Professor Robert Harris	Academic Vice President, Committee for Doctoral Education	Member of the Faculty Board, Committee for Doctoral Education
Professor Annika Östman Wernerson	Academic Vice President	Member of the Faculty Board, Committee for Higher Education
Senior lecturer Erika Franzén	Deputy-chairperson Committee for Doctoral Education	Committee for Doctoral Education
Senior lecturer Anna Kiessling	Academic coordinator quality management,	Quality management assurance group
Marie-Louise Isacson	Head of office	Faculty Office and External Relations
Björn Kull	Head of unit	Grants Office
Anna-Lena Paulsson	Head of unit	International Relations Office

Peter Gustafsson	Head of unit	Competence Provision Unit
Mats Engelbrektson	Head of office	HR-office
Anna-Carin Christoffersson	Project Manager	Faculty Office and External Relations
Erik Forsse	Specialist research and ethics	Strategic Management Office
Ulrika Widegren	Scientific coordinator	Faculty Office
Britta Steneberg	Quality coordinator	Strategic Management Office
Lena Lewin	Scientific coordinator	Faculty Office
Klara Regnö	Coordinator Equal Opportunities and Gender equality specialist	Faculty Office
Ulrika Helldén	Coordinator Equal Treatment	Faculty Office
Karin Vågstrand	Coordinator Doctoral Education	Faculty Office
Cecilia Martinsson Björkdahl	Project Manager	Research Data Office
Carolina Källgren	Scientific coordinator	Faculty Office
Anethe Mansen	Career Program Manager	Career Service
Britta Steneberg	Quality coordinator	Strategic Management Office
Jenny Wiklund Pasia	Coordinator academic recruitment	Competence Provision Unit
Joanna Widstrand	Desk Officer academic recruitment	Competence Provision Unit
Anette Pinjemo	Desk Officer	Competence Provision Unit
Pia Stenberg	HR-specialist,	Competence Provision Unit
Margareta Bratt-Carlström	HR-specialist,	Competence Provision Unit
Lena Atterwall	Coordinator Student representation	Faculty Office
Ingeborg van der Ploeg	Director of Studies	Faculty Office

Inger Janninger	Desk Officer Docent	Competence Provision Unit
Professor Gunnar Nilsson	Former Pro-Dean of Higher Education	Committee for Higher Education
Karin Kylberg	Former HR-specialist	Competence Provision Unit
Per Bengtsson	Former University Director	University Management
Karin Dahlman Wright	Former Vice president	University Management
Reet Joandi	Former Head of office	Faculty Office and External Relations

KI consulted stakeholders and involved a representative community of researchers ranging from R1 to R4:

Information on how the researcher's groups were involved in the GAP-analysis:

*Stakeholder group	*Consultation format	Outcomes
Recruitment Committee	Series of meetings, consultations	GAPs, actions identified
University management	Series of meetings, consultations	GAPs, actions identified
Academic Vice President and Deputy-chairperson of the Committees for research, for Doctoral Education, for Higher Education	Series of meetings	GAPs, actions identified
Doctoral students (R1)	Series of meetings, Exit Poll (estimates of perceived quality from a student and doctoral perspective), course evaluation survey and analysis of courses on all levels.	GAPs, actions identified
KI's Postdoc association (R2)	Survey (estimates of perceived quality from a postdoc perspective)	GAPs, actions identified
Quality Management group	Series of meetings	GAPs, actions identified

TEMPLATE 2 – GAP ANALYSIS – OVERVIEW (Charter and Code Checklist)

Case number: 2018SE360661

Name Organisation under review: Karolinska Institutet, Stockholm, Sweden

Organisation's contact details: Anna-Carin Christoffersson, Faculty Office and External Relations,
Karolinska Institutet, SE-171 77 Stockholm, Nobels väg 6, +46 72 250 85 27,
anna-carin.christoffersson@ki.se

SUBMISSION DATE: 19 DECEMBER 2019

DATE ENDORSEMENT CHARTER AND CODE: 4 December 2018

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>
Ethical and Professional Aspects			
		Free text 300 words maximum	Free text 200 words maximum
<p>1. Research freedom</p> <p><i>Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices.</i></p> <p><i>Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for</i></p>	<p>+/-</p>	<p>Relevant national legislation The Swedish Higher Education Act 1992:1434, Ch. 1 § 6. the following general principles are applicable to research:</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>Freedom of Speech Act (1991:1469), the purpose of freedom of expression under this Act is to secure the free exchange of opinion, free and comprehensive information, and freedom of artistic creation. Freedom of Press Act (1949:105) Act (1976:580) on Co Determination in the Workplace.</p> <p>Organisational regulation</p>	<p>The Guidelines for research at Karolinska Institutet from 2006 will be revised, in order to increase and raise awareness on rules, regulation, principles and compliance for researchers. (Action no 1, Gap no 1, 2, 3, 4, 5, 6, 7, 11)</p> <p>A new “Guideline on quality assurance regarding research at KI, in order to create conditions for targeted, systematic and coherent quality development and quality assurance to maintain the highest possible quality. (Action no 2, GAP no 1, 2, 3, 4, 5, 6, 7, 11)</p>

<p><i>budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.</i></p>		<p>As KI is a public authority, research freedom is one of the pillars of research.</p> <p>The Karolinska Institutet (KI) University board adopted Strategy 2030 on 15 April 2019. KI's vision is to advance knowledge about life and strive towards better health for all. In the Strategy 2030 p. 19, "Academic freedom is a prerequisite for KI and is an essential condition for bringing together diverse point of view. With academic freedom comes a responsibility to disseminate ideas and results and contribute to peer reviews. Academic freedom and researchers' responsibilities are also connected to critical and ethical reflection". KI's work in this regard, research at KI shall be based on and tied to the work of KI's Ethics Council."</p> <p>Relevant overarching objectives of Strategy 2030, p. 8-9 are;</p> <ul style="list-style-type: none"> - "an ethical approach, academic freedom, critical reflection, high quality, and high ambitions shall pervade and support everything we do." - "curiosity-driven knowledge acquisition about life processes and disease mechanisms, reproducibility, state-of-the-art methodology, and scientific breakthroughs of highest international standards shall characterise our research." <p>Implementation of Strategy 2030 is planned to start in 2020. The Strategy is aligned with the United Nation's Agenda 2030 with the Sustainable Development Goals (SDG's). The action plan designed according to Strategy 2030 will be evaluated every third to fourth year by external international experts.</p> <p>A revision of the Guidelines for research at Karolinska Institutet.</p>	
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		<p>Development of a new guidelines for "Quality assurance regarding research at KI".</p> <p>At KI ethical and professional aspects are continuously pursued and strengthened according to new laws, policies and principles.</p>	
<p>2. Ethical principles</p> <p><i>Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.</i></p>	+/-	<p>National legislation</p> <p>The Act (2003:460) concerning the Ethics Review of Research Involving Humans.</p> <p>The Animal Welfare Act (SFS 1988:534).</p> <p>The Swedish Research Council (VR), authority under the Ministry of Education and Research with a leading role in developing Swedish research of the highest scientific quality, thereby contributing to the development of society (good research practice, rules and guidelines for research).</p> <p>In 2019 a new authority was created, The Swedish Ethical Review Authority under supervision of the Parliamentary Ombudsman and the Chancellor of Justice to ensure the supervision of compliance with the Ethical Review Act and the regulations issued under the Act.</p> <p>Ethical review of research involving people</p> <p>Codex, guidelines, ethics codes and laws that regulate and place ethical demands on the research process.</p> <p>SMER, the Swedish national council on medical ethics.</p> <p>Oviedo Convention, Convention for Human Rights and Biomedicine.</p> <p>Declaration of Helsinki, ethical principles for medical research involving human subjects.</p> <p>Organisational regulation</p> <p>In KI's Strategy 2030 p. 8 one of the overarching objectives state that KI will have a "proactive approach to ethics, a clear and well-communicated set of core values". "We will</p>	Please see action no 1, 2

		<p>prioritise students and staff and ensure predictability, transparency, and participation. KI is distinguished by cohesive operational support and quality assurance systems.”</p> <p>Ethical principles at KI:</p> <ul style="list-style-type: none">-Karolinska Institutet’s value statements consist of three parts: Magna Charta Universitatum, The Ethical Foundations of the State and Karolinska Institutet’s own core values.-A new ethics council has been established, as well as a scientific representative with assignments among others to ensure discussion on ethics (primarily research ethics and medical ethics) and to ensure that KI’s handling of ethical issues is in line with established values and standards.-Complaint of suspected scientific misconduct, suspected embezzlement, harassment or other irregularity is handled by the University Administration’s Legal Office and reported to the University Director.-Ethical Guidelines for International Collaboration-Introduction and information packages for visiting scientists and new employees (researchers, doctoral students/PhD, administrative and technical personnel) in both Swedish and English. <p>For researchers level 2-4 (recognised, established and leading researchers):</p> <ul style="list-style-type: none">-Introductory doctoral Supervision Course-Courses in Leadership for research group leaders-Strengthened quality assurance in doctoral education, all supervisors must since 2017 have an approval from their department, a “green light”, to be allowed to initiate a new doctoral project.	
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		<p>For researchers level 1 (up to the point of doctoral degree):</p> <ul style="list-style-type: none"> -Support to doctoral students -Rules and Individual Study Plan for doctoral students -General syllabus for doctoral Education -Ethics approvals of research projects within doctoral studies -Ethics courses for students at both undergraduate and graduate level. - Mandatory courses on laboratory animal science for all working with laboratory animals. 	
<p>3. Professional responsibility</p> <p><i>Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere.</i></p> <p><i>They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted.</i></p> <p><i>Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is</i></p>	<p>+/-</p>	<p>National legislation</p> <p>The Swedish Higher Education Act 1992:1434, § 3a</p> <p>In the course of their operations, higher education institutions shall uphold academic credibility and good research practice.</p> <p>The Administrative procedure Act (1986:223)</p> <p>This Act applies to the handling of matters by administrative authorities (e.g. universities).</p> <p>Organisational regulation</p> <p>KI implemented a new management structure in January 2019. The Heads of Department are responsible for all departmental activities and the department's scientific activities (research and education).</p> <p>Good data management is part of good research practice and therefore KI recently created a Research Data Office (RDO). The RDO works with aspects of the EU Open Science agenda. FAIR data management must be taken into consideration when handling data as well as a data management plan.</p> <p>In the Rules for doctoral education at KI p.5 it is stated that graduates from KI should "possess a grounding in medical</p>	<p>Please see action no 1, 2</p>

<p><i>delegated has the competence to carry it out.</i></p>		<p>science, a broad knowledge and systematic understanding of his or her research field, and an advanced and up-to-date specialised knowledge in his or her project and the surrounding context.”</p> <p>All doctoral students have to participate in an introduction to doctoral education at KI within the first year of admission, including among others research documentation, avoiding plagiarism and GDPR. Compulsory courses for doctoral students are research ethics (one-week course), science communication (incl scientific/popular science writing, oral presentations of research and presentation skills). Compulsory courses for doctoral students as determined by the nature of the research project could be laboratory animal science, laboratory safety or quality assurance of clinical research. Thesis are systematically checked for plagiarism.</p>	
<p>4. Professional attitude</p> <p><i>Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided.</i></p> <p><i>They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.</i></p>	<p>+/-</p>	<p>National legislation</p> <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>Examples:</p> <p>Act (2003:460) concerning the Ethics review of research involving humans</p> <p>Privacy Act (1998: 204)</p> <p>Patient Data Act (2008:355)</p> <p>Medicines Act (2015:315)</p> <p>The Act (2002:297) on biobanks in the health service</p> <p>The Swedish Radiation Safety Authority's Regulations on General Obligations in Medical and Dental Practices using Ionising Radiation. (SSMFS 2008:35)</p>	<p>Please see action no 1, 2</p>

		<p>Organisational regulation</p> <p>To ensure professional attitude towards research activities several services and steps are undertaken at KI. Some examples:</p> <ul style="list-style-type: none"> - Long term university-wide strategy and operational plan (Strategy 2030). The strategy development has involved many people at KI working in a variety of committees. Tasks during the process included describing the current status, a desired status and the process of passing from the one to the other. - How to handle research projects is part of the course for supervisors, a web course and mandatory for all principal supervisors. - See point 2 on "green light" for supervisors. - No research projects may start without necessary ethical approvals. - For the responsibility of the Head of Department please see point 3. - Research Data Office with staff from archive, Grants Office, IT, library in order to provide comprehensive support and training on Research data management . A mandatory electronic notebook (ELN) for research documentation (see point 36). Advice on Open Access. - How to handle research projects is part of the course for supervisors for doctoral students - Laboratory Safety <p>See also point 3 and 28</p>	
<p>5. Contractual and legal obligations</p> <p><i>Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the</i></p>	<p>+/-</p>	<p>National legislation</p> <p>Depending on the research area one or more of the following may apply:</p> <p>Act (1960:729) on Copyright in Literary and Artistic Works (1960:729)</p> <p>The Patent Act (1967:837), (1967:837)</p> <p>Act (1949:345) on the Right to Employee Inventions (1949:345)</p>	<p>Please see action no 1, 2</p>

requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document.

[Design protection Act \(1970: 485\) \(1970:485\)](#)
[The Trademark Act \(2010:1877\) \(2010:1877\)](#)
[The Trade Names Act \(1974:156\) \(1974:156\)](#)
[Act \(1992:1685\) on the protection of topographies of semiconductor products \(1992:1685\)](#)
[The Plant Breeders' Rights Act \(1997:306\) \(1997:306\)](#)
[The Names Act \(1982:670\) 1982:670](#)
[The Swedish Higher Education Act \(1992: 1434\), Ch. 1 § 6 \(1992:1434\) 1 kap 6§](#)

Organisational regulation

At KI, following services and steps are involved in ensuring that contractual and legal obligations are fulfilled by all KI researchers and administrators:

-Introduction for all staff

-Guidelines and templates for all staff on the website.

Several units and support functions that give advise and support:

The Legal Office gives advice and support on legal issues.

- [IPR](#)

- [KI Innovations](#) provide support and guidance

- [Grants management office](#) give advice on how to report an EU-project

- [Grants Office](#) is a central contact point and gives advice and training to researchers regarding research funding and requirements of funding agencies. Agreements that need the signature of the KI legal signatory official have to go through Grants Office. Most agreements will also require the signature of the Head of Department and the PI.

Preparation of [international collaborative agreements](#).
Proposed agreement should be discussed within the [Strategic Council for International Affairs](#).

Applications to [Swedish funding agencies](#) are mostly submitted directly to the agency and do not need Grants Office's approval but generally require a signature from

		<p>the Head of Department. Some Swedish sponsors require a letter of support from the President of KI as part of the application. Such applications must first pass through an internal prioritisation process.</p> <p>To ensure that the project reports comply with EU rules, the project management of EU projects is centralised. Grants Management Office is responsible for financial project management and parts of the administrative work.</p>	
<p>6. Accountability</p> <p><i>Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees.</i></p> <p><i>Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as</i></p>	<p>+/-</p>	<p>National legislation</p> <p>The Swedish Higher Education Act 1992:1434, § 4, The operations of higher education institutions shall be organised to ensure that high standards are attained in courses and study programmes as well as in research. The principle of public access to official records - is expressed in different ways in the Swedish Basic Law, for example through the right to freedom of expression, freedom of information for officials and the public documents publicity. Governmental agreements and responsibility as a government employee.</p> <p>The Public Employment Act (1994:260)</p> <p>Open Access for research contracts with foundations, research councils, EU etc.</p> <p>The General Data Protection Regulation (GDPR)</p> <p>The Swedish Higher Education Authority (UKÄ), a government agency, evaluate the quality of higher education and research in Sweden.</p> <p>The association of Swedish Higher Education Institutions (SUHF), a joint framework for HEIs' research quality assurance and enhancement systems.</p> <p>Organisational regulation</p> <p>Several activities at KI handle accountability:</p>	<p>Please see action no 1, 2</p>

<p><i>requested by the appropriate authorities.</i></p>		<ul style="list-style-type: none"> - Support programs and courses available for doctoral students and researchers - Results are published in Open Access journals wherever possible, which is often a demand from Research funding agencies. KI has since 2011 an open access policy. - Peer review processes are in place - A major part of research funding at KI is public funds and therefore follow rules on transparency, efficiency and availability of the research carried out. <p>The Internal Audit at Karolinska Institutet is an independent function working on behalf of the Board. The work includes risk-based review of all activities at KI as well as providing consulting service.</p> <p>See point 3, 5, 7, 36</p>	
<p>7. Good practice in research</p> <p><i>Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.</i></p>	<p>+/-</p>	<p>National legislation</p> <p>Work Environment Act (1977:1160) The purpose of this Act is to prevent occupational illness and accidents and to otherwise ensure a good work environment. The Act also regulates co-operation between employees and employer.</p> <p>The Personal Data Act (1998:204) Archives Act (1990:782) Public Access to Information and Secrecy Act (2009:400)</p> <p>Organisational regulation</p> <p>KI's Strategy 2030 (among others page 8) highlights the importance of "a clear and well-communicated set of core values" and that KI "will prioritise students and staff and ensure predictability, transparency, and participation. KI is distinguished by cohesive operational support and quality assurance systems".</p>	<p>Please see action no 1, 2</p>

		<p>The KI Code of Conduct for a good working atmosphere is based on the core values of KI. clarifies responsibilities of all co-workers and what is expected of each individual.</p> <p>A systematic environment work is included as a natural part of day-to-day activities and comprise of physical, psychological and social conditions of importance for all staff.</p> <p>Several programmes, guidelines, action plans, templates and courses concerning safe working practices (incl. lab safety), crisis organization, fire safety, IT-security, data protection and confidentiality etc. are available. A unit with experts is working on a daily basis with environment, safety and security.</p> <p>A specific KI webpage gives information in case of an incident which also offers the possibility to report incidents anonymously or not.</p> <p>See point 3, 5, 6, 36</p>	
<p>8. Dissemination, exploitation of results</p> <p><i>All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.</i></p>	<p>+/+</p>	<p>National legislation The Swedish Higher Education Act (1992:1434) Ch. 1, 2 and 3§§ 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 KI Innovations provides support to scientists to enable transformation of ideas into products, treatments and services of value to society. Help in all aspects of developing a commercial product from research results given. KI Innovation offers different programs to transform a discovery into a product or service as well as business incubators.</p>	

		<p>Unit for Bioentrepreneurship (UBE), within KI, conducts research on and education in innovation and entrepreneurship. As an academic unit at KI, UBE can be considered as the first proactive link in KI's innovation system.</p> <p>KI is part of several international, national and regional networks and platforms among others EIT Health innovation, SSES, Stockholm school of entrepreneurship, a global platform for interdisciplinary education, Stockholm Science City Foundation etc.</p> <p>See also point 4, 6, 31 on Open Access and point 31 on IPR rights.</p>	
<p>9. Public engagement</p> <p><i>Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.</i></p>	<p>+/+</p>	<p>National legislation The Swedish Higher Education Act (1992:1434) Ch. 1, 2 and 3 §§ '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 In the KI Strategy 2030, "Creating Karolinska Institutet's future together" (page 15) it is stated that "In our dialogue with society, KI shall actively promote fact-based knowledge and a scientific, critically, inquisitive approached in the broadest sense." "KI shall be an engaged societal actor that responsibly fulfills the remit given to us by the parliament and government."</p> <p>The Communications and Public Relations Office provides overall platforms, guidelines and channels for internal and external communication and advice/support in questions related to public engagement.</p>	

		<p>KI disseminates information and interacts with society in several ways. Some examples: Participation in book fairs, publication of several scientific books and the magazine Medical Science. Different blogs from the management, social media, podcast on scientific issues, radio- and TV programs. The Press office at KI is constantly working to inform the media about research and other activities to the general public. Activities such as European Researchers' Nights (forskarfredag) targeting 4000 schoolkids, Almedalsveckan Visby, Open House for general public etc. Medicinvetarna, a popular science pod on research from KI. Mentorshipprogrammes with schools (children age 10) etc. Research summerschool for children age 16-18. Alumni network</p>	
<p>10. Non discrimination</p> <p><i>Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.</i></p>	<p>+/-</p>	<p>National legislation Discrimination Act (2008:567) The purpose of this Act is to counteract discrimination and in other ways promote equal rights and opportunities regardless of sex, gender identity or expression, ethnicity, religion or other belief, disability, sexual orientation or age. The Equality Ombudsman (DO) is a government agency that works on behalf of the Swedish parliament and government to promote equal rights and opportunities and to combat discrimination. Swedish Gender Equality Agency The Swedish Gender Equality Agency is in charge of two development programmes supporting Swedish higher education institutions in their gender mainstreaming work.</p> <p>Organisational regulation</p>	<p>An update of KI's Gender mainstreaming plan (Action no 3)</p>

		<p>For Karolinska Institutet equal opportunities means that no one should be discriminated in any way. It is important to provide an inclusive work and study environment in which all students and co-workers are treated with respect and where the conditions are excellent for working and developing.</p> <p>The KI Guidelines concerning discrimination, harassment and victimization explain various concepts, give examples, inform of responsibilities, legislation and other directives and clarify how KI acts of an event. The guidelines contain further who to contact.</p> <p>The Swedish Government has commissioned Karolinska Institutet to work with gender mainstreaming and has a plan for this. KI's Plan for gender mainstreaming will be updated during 2020 onwards.</p> <p>The KI Code of Conduct for a good working atmosphere clarifies the responsibilities of all co-workers at KI and what is expected of each individual. Responsible to ensure that discrimination is eliminated and prevented is the management.</p> <p>In 2019 a new research and cooperation programme has been launched, that will provide knowledge about sexual harassment in academia and lead to research-based improvements.</p>	
<p>11. Evaluation/ appraisal systems</p> <p><i>Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an</i></p>	<p>+/-</p>	<p>National legislation</p> <p>From an employer's point of view, there is no national legislation regarding evaluation/appraisal systems.</p> <p>The Swedish Research Council (sw. Vetenskapsrådet, VR) is an authority under 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>Please see action no 1, 2</p>

<p><i>independent (and, in the case of senior researchers, preferably international) committee.</i></p> <p><i>Such evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international collaboration, administrative duties, public awareness activities and mobility, and should be taken into consideration in the context of career progression.</i></p>		<p>VR conducts various types of evaluations of research, both evaluations of research topics and evaluations of government-initiated research efforts, the latter more frequent. VR manage a pilot on quality in research, later to become a national study.</p> <p>Specific examples are the evaluation of the national Strategic Research Areas (SFO). Focus of the evaluations is set on the scientific quality, though aspects such as strategic management at the university level and research impact may occur. Evaluation may lead to a redistribution of funds within the framework of an ongoing effort.</p> <p>ALF, an agreement between national government and seven regions that addresses medical education and training, clinical research and the development of health and medical care is under evaluation by the Swedish Research Council.</p> <p>The Swedish Higher Education Authority (UKÄ) is responsible for the evaluation of the quality of education (including third-cycle education) and research according to the national system of quality assurance of higher education and research. UKÄ has emphasized the importance of some international principles for quality assurance in the new quality assurance system among others the Standards and Guidelines for Quality Assurance in the European Higher Education Area (ESG) and the European Charter and Code. Ordinance (2007: 603) on Internal Control Internal Audit Ordinance (2006 : 1228), 1 and 2 §§</p> <p>Organisational regulation For regular and transparent assessment of the researchers performance at KI on as well strategic as organizational level, several tools are available, among others:</p>	
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		<ul style="list-style-type: none"> - Faculty funded career positions targeting junior researchers and senior researcher (reviewed by external experts) - Internal resource allocation model - Collective agreements regarding salaries and KI's salary setting principles <p>The Integrated Quality Management System describes how we shall conduct a systematic and effective quality assurance, quality evaluation and quality enhancement, including research, education at undergraduate level, advanced level and postgraduate level, as well as joint support. The quality system is based on three general principles:</p> <ol style="list-style-type: none"> 1. A coherent and common system 2. A cyclical systematic improvement process 3. Common tools and methods <p>See also point 10 and 27</p>	
Recruitment and Selection			
<p>12. Recruitment</p> <p><i>Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning of their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career.</i></p>	+/-	<p>National legislation</p> <p>The Instrument of Government Ch. 11, Section 9: "When making appointments to posts within the State administration, only objective factors, such as merit and competence, shall be taken into account."</p> <p>The Public Employment Act in Swedish (1994:260)</p> <p>The Public Employment Act Section 4: "When making appointments only objective factors such as service merits and competence shall be taken into account. Competence shall be a primary consideration, unless specific reasons otherwise exist."</p> <p>The Swedish Higher Education Act (1992:1434)</p> <p>The Higher Education Ordinance (SFS 1993:100)</p> <p>Discrimination Act (SFS 2008:567)</p>	<p>In order to increase mobility, the proportion of external applicants, and to investigate whether we attract the most suitable researchers KI will:</p> <p>Investigate and propose changes regarding career paths for teachers and researchers and clarify scientific and educational merits.</p> <p>(Action plan no 4, OTM-R no16-19)</p> <p>Increase mobility and external applications.</p>

<p><i>Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.</i></p>		<p>In accordance with Ch. 2 Section 2 of the Swedish Higher Education Ordinance, boards of governors of higher education institutions shall establish an appointment procedure. The appointment procedure shall be accompanied by supplemental instructions to be decided on by the President.</p> <p>Organisational regulation According to KI's Strategy 2030 p.26 "KI shall be the first choice for prospective students, teachers, researchers, and partners. Education and research quality is the most important factor in achieving this. Other factors include a welcoming attitude in the recruitment process, good employment conditions, and – not least – a sound work and study environment."</p> <p>In order to continue to conduct high-quality medical research in an international perspective, the recruitment and employment of qualified teachers and researchers is a prerequisite.</p> <p>According to KI's goals and regulations an open, merit based and transparent recruitment with standardised routines and templates apply all steps of a recruitment such as for preparation (analysis of staff needs, design of profile, requirement profile etc), advertising (internal and external channels, applications, language etc) , selection (handling, interviews, expert opinion, references, documentation etc), decision and reception (negotiation of terms, decision, registration, work permit, introduction to KI to all employees) etc. Relevant information and documents are available on the webpage. Anyone is entitled to request documents and applications.</p> <p>Different routines (involving an evaluation process) apply to different employment types according to Swedish law, some examples.</p>	<p>(Action plan no 5 OTM-R no 7-8)</p> <p>Investigate whether we attract the most suitable researchers. (Action plan no 7, OTM-R no 7-8)</p> <p>Develop system support for our recruitment processes so that it allows us to fully use it as a quality control system and assess our OTM-R processes. (Action plan no 12)</p>
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		<ul style="list-style-type: none"> • Appointments of doctoral students https://staff.ki.se/recruit-doctoral-students • Appointment procedure for teachers (professors, adjunct professor, visiting professor, senior professor, adjunct senior lecturer, assistant professor). https://staff.ki.se/recruitment-of-professor-and-senior-lecturer • Application for Docent <p>Information and guidelines (with checklists) for recruiters apply for position and change of employment title and help to to conduct high-quality recruitments.</p> <p>For equality and equal opportunities in recruitment (assessment, bias and career) see point 10. Recruitment groups and the recruitment committee are educated in recruitment on equal opportunities, i.e., non-discriminatory processes for recruitment on all levels (see point 27).</p> <p>The KI Code of Conduct for a good working atmosphere</p> <p>KI's recruitment policies and processes are constantly under improvement, some initiatives to be undertaken.</p>	
<p>13. Recruitment (Code)</p> <p><i>Employers and/or funders should establish recruitment procedures which are open, efficient, transparent, supportive and internationally comparable, as well</i></p>	<p>+/-</p>	<p>National legislation The Higher Education Ordinance (SFS 1993:100) According to the Higher Education Ordinance (SFS 2010 : 1064) Ch. 2, § 2, the University Board shall set employment regulations that the university applies together with the rules of appointment and promotion of teachers. Employment Ordinance (SFS 1994:373) The Freedom of the Press Act Ch. 2. On the public nature of official documents</p>	<p>Action no 4, 5 OTM-R 11, 16-19.</p>

<p><i>as tailored to the type of positions advertised.</i></p> <p><i>Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.</i></p>		<p>The Public Employment Act Section 4, Merits and competence Discrimination Act (SFS 2008:567)</p> <p>Organisational regulation All positions are to be advertised and all documents and applications from all recruitment processes are public according to Swedish legislation.</p> <p>Regulated and available to the public on KI's website are guideline for recruitment of teaching staff, doctoral students, researchers, the templates for advertising and description of standardized routines.</p> <p>An introduction for all new members of the recruiting committee as well ongoing education and information activities are prioritised.</p> <p>All members of recruitment groups should be educated in recruitment on equal opportunities i.e. non-discriminatory processes for recruitment on all levels. One example is the web based course on gender-bias in recruitment processes.</p> <p>See point 10, 12, 27</p>	
<p>14. Selection (Code)</p> <p><i>Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other</i></p>	<p>+/+</p>	<p>National legislation The Swedish Higher Education Act (SFS 1992:1434) The Higher Education Ordinance (SFS 1993:100)</p> <p>Organisational regulation Decision-making procedures and delegation rules for KI The Higher Education Act (SFS 1992:1434) provides that students (and doctoral student) are, with a few specific exceptions, entitled to representation when decisions or preparations are made.</p>	<p>OTM-R 11, 16-19.</p>

<p><i>countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained.</i></p>		<p>The union organisations provide underlying material for decision-making at Karolinska Institutet (KI). The Recruitment Committee (RU) is a preparatory body for strategic decisions on the recruitment of teaching and research personnel and handle employment matters (see point 12). RU members are appointed by the Faculty Board, from whom the President selects the chairperson and deputy chairperson, three Academic Vice Presidents, two students' representatives, two union representatives (without voting rights). External assessors review applications for teaching positions (see point 12)</p>	
<p>15. Transparency (Code)</p> <p><i>Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.</i></p>	<p>+/-</p>	<p>National legislation The Swedish Higher Education Act (SFS 1992:1434) The Higher Education Ordinance (SFS 1993:100) According to the Higher Education Ordinance (SFS 2010 : 1064) Ch. 2 , § 2 , the University Board shall set employment regulations that the university must apply, together with the rules of appointment and promotion of teachers. Employment Ordinance (1994:373) Public Access to Information and Secrecy Act (2009:400)</p> <p>Organisational regulation Documents from recruitment processes are official/public documents according to Swedish legislation and can be requested by anyone for transparency.</p> <p>The mandatory electronic all-in-one recruitment system Varbi with standardized application processes is used for advertisement of all positions as well as documentation from each step of the recruitment process. The candidates receive information prior selection, about the process, up to date information during and after the process. Specific guidelines for the recruitment process for clinical combination services have been developed.</p>	<p>Development of (better) information about our recruitment processes and selection criteria to potential and actual applicants for different positions. Action plan no 11. OTM-R nr 6, 11, 16-21.</p> <p>Information about career development prospects is already available but expected decisions on supplementary regulations to the employment procedure on career paths for e.g. staff scientists will provide increased clarity for external applicants as internal employees. Action plan no 11</p>

		<p>Guidelines for recruitment is communicated on the web, in the advert and to the applicants, though improvements will be made regarding online information om recruitment processes as well as information about the strengths and weaknesses of applications.</p>	
<p>16. Judging merit (Code)</p> <p><i>The selection process should take into consideration the whole range of experience of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered.</i></p> <p><i>This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid</i></p>	+/-	<p>National legislation The Public Employment Act (SFS 1994:260) §4 Merits and competence The Higher Education Ordinance (SFS 1993:100) Ch. 4</p> <p>Organisational regulation The procedure is regulated in the document appointments procedure and instructions and incorporate all the regulations that apply for the appointment of teaching staff. Appointment procedures at KI regulate that merits are judged qualitatively and quantitatively. The qualifications portfolio comprises the five area curriculum Vitae, scientific portfolio, pedagogical portfolio, clinical portfolio, leadership, development and workplace relations portfolio. Detailed instructions for expert assessments are available. According swedish law an external review process are in place for positions as professor, visiting professor and adjunct professor.</p> <p>The Recruitment Committee (RU) recommend a candidate to the Vice-Chancellor (see point 14). The KI central HR-unit is responsible for preparation of each employment matter.</p>	<p>Action no 4, 5. OTM-R nr 11, 16-19.</p>

<p><i>to any contributions to patents, development or inventions.</i></p>			
<p>17. Variations in the chronological order of CVs (Code)</p> <p><i>Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.</i></p>	<p>+/+</p>	<p>National legislation Instrument of Government Ch. 12 5§ and Civil Service Act (1994:260) 4§. For employment attention shall be paid only to objective factors such as merit and skills. Skills must be foremost, unless there are specific reasons for doing otherwise. Employment Ordinance (1994:373) 4-5 § Assessments grounds for employment.</p> <p>Organisational regulation In accordance with Swedish legislation sick leave, parental leave, work outside academia etc. may not be penalised. Applicants have a great freedom to refer to merits of their choice.</p>	
<p>18. Recognition of mobility experience (Code)</p> <p><i>Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be</i></p>	<p>-/+</p>	<p>National legislation Instrument of Government Ch. 12 5§ and The Public Employment Act (1994:260) 4§. For employment attention shall be paid only to objective factors such as merit and skills. Skills must be foremost, unless there are specific reasons for doing otherwise. Employment Ordinance (1994:373) 4-5§ Assessment grounds for employment 6-8 § Procedures for employment</p> <p>Organisational regulation See point 14, 16 and 29</p>	<p>The merit value of mobility need to be recognized in relevant regulations such as in the rules on employment and docentur/docentship. Action plan no 4, 6.</p>

<p><i>considered as a valuable contribution to the professional development of a researcher.</i></p>		<p>Guidelines for recruiting teaching staff Rules for docent</p>	
<p>19. Recognition of qualifications (Code)</p> <p><i>Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including nonformal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels.</i></p>	<p>+/+</p>	<p>National legislation The Higher Education Ordinance (SFS 1993:100), according to the Higher Education Ordinance (SFS 2010: 1064) Ch. 2, § 2, the University Board shall set employment regulations that the university applies together with the rules of appointment and promotion of teachers. Instrument of Government Ch.12 5§ The Public Employment Act (1994:260) 4§ “For employment attention shall be paid only to objective factors such as merit and skills. Skills must be foremost, unless there are specific reasons for doing otherwise.”</p> <p>Organisational regulation According to Swedish law KI is using clear criteria for when and how assessments should be carried out. Recruitment committees use several different methods to verify non-documented qualifications (such as trial lectures and interviews). External assessors review the applications in accordance with guidelines given by KI.</p>	
<p>20. Seniority (Code)</p> <p><i>The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the</i></p>	<p>+/+</p>	<p>National legislation The Higher Ordinance (SFS 1993:100) Discrimination Act (2008:567) The Instrument of Government The Public Employment Act The Swedish Higher Education Act (SFS: 1992: 1434) Collective agreement for Post doc</p> <p>Organisational In accordance with Swedish legislation Appointment procedures and instructions for teachers</p>	

<p><i>qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.</i></p>		<p><u>See also point 10, 27.</u></p>	
<p>21. Postdoctoral appointments (Code)</p> <p><i>Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of long term career prospects.</i></p>	<p>+/-</p>	<p>National legislation Employment Protection Act 1982:80 (LAS) §5 Employment Protection Act in Swedish Collective agreement for Post doc positions</p> <p>Swedish universities have the opportunity to appoint any applicant that has been awarded a doctoral student within the last three years or possesses equivalent scientific proficiency as post-doc. The appointment is time-limited to maximum 2 years.</p> <p>Organisational regulation Recruitment process with standardised routines and templates for advertising always includes clear qualification requirements, project description, duties and length of employment apply for postdoctoral appointments. See point 12</p> <p>The KI Postdoc Association (KIPA) is a member-driven organisation, which was founded in 2012 to give the postdoctoral community at KI a voice, a supportive network and representation. The aim is to work closely with KI leadership and administration to achieve the best possible working conditions for KI postdocs, thereby making KI a more attractive place for postdoctoral training in the future. In 2019 KIPA finalised a survey on the situation for postdocs at KI.</p> <p>Work is currently underway on the preparation of a regulatory framework to supplement KI's employment</p>	<p>Develop and decide upon a regulatory framework to supplement KI's appointment procedure including employment as a postdoctoral doctor. Action plan no 4.</p>

		scheme, where, among other things, employment as a postdoctoral doctor will be regulated.	
Working Conditions and Social Security			
<p>22. Recognition of the profession</p> <p><i>All researchers engaged in a research career should be recognised as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).</i></p>	+/+	<p>National legislation The Swedish Higher Education Act 1992:1434 ch. 1, §6 and ch. 2 §6.</p> <p>Organisational regulation Terms of employment follow Swedish legislation and exist for all levels of employment (employee, postgraduate student, doctoral student, post doc, civil servant). Since doctoral student are employed, these terms of employment are a natural part for all forms of employment at KI.</p>	
<p>23. Research environment</p> <p><i>Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.</i></p>	+/-	<p>National legislation The Work Environment Act (SFS 1977:1160 The Work) The Work environment ordinance (SFS 1977:1166) Social Insurance Act (SFS 2010:110) Discrimination Act (SFS 2008:567) Flammable and explosive goods act (SFS 2010:1011) Flammable and explosive goods ordinance (SFS 2010:1075) Protection against accidents act (SFS 2003:778) Protection against accidents ordinance (SFS 2003:789) The Environmental Code (SFS 1988:808) Parental leave act (SFS 1995:584)</p> <p>Organisational regulation Researchers' work environment is regulated by Swedish law.</p>	<p>Develop a plan for KI's infrastructure for education, doctoral education and research. (Action plan no 8)</p>

		<p>KI offers a wide range of service laboratories, competence centers and apparatus in areas such as imaging, biostatistics, biobanking, proteomics and genomics, and has a coherent organisation for animal research. These core facilities were all founded to meet the needs of the university's own scientists, and they are under constant development to provide the latest techniques and knowledge within their fields of expertise. KI is also a major partner in several national research infrastructures.</p> <p>In recent years, our two main campuses in the Stockholm area have expanded rapidly, with new buildings for laboratories, offices and animal facilities. During 2018, 60 percent of Karolinska Institutet's personnel and about 80 percent of the experimental research labs moved to new buildings.</p> <p>KI's University Library is the largest medical library in Scandinavia and open to the public. https://ki.se/en/research/infrastructure-and-resources</p> <p>Several internal research networks promote cooperation and knowledge exchange. Some networks gather both preclinical and clinical researchers.</p> <p>See point 7, 24, 27, 34 om work environments.</p> <p>A plan for KI's infrastructure for education, doctoral education and research.</p>	
<p>24. Working conditions</p> <p><i>Employers and/or funders should ensure that the working conditions for researchers, including for</i></p>	<p>+/-</p>	<p>National legislation Work Environment Act (1977:1160), The purpose of this Act is to prevent occupational illness and accidents and to otherwise ensure a good work environment. Parental leave act (SFS 1995:584)</p>	<p>Create better conditions for balance between work and personal life and opportunities for recovery. Action plan no 6</p>

<p><i>disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career. Particular attention should be paid, inter alia, to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.</i></p>		<p>The Work environment ordinance (SFS 1977:1166) Discrimination Act (SFS 2008:567) The Public Employment Act (1994:260) - regulates the employment for most of those working in government service and in the municipality and county council. Social Insurance Act (SFS 2010:110) Flammable and explosive goods ordinance (SFS 2010:1075) Protection against accidents ordinance (SFS 2003:789) Protection against accidents act (SFS 2003:778) Protection against accidents ordinance (SFS 2003:789) The Environmental Code (SFS 1988:808) Parental leave act (SFS 1995:584)</p> <p>Organisational regulation Collective agreements apply. KI provide working conditions for all researchers to combine family and work, children and career (flexible working hours, part-time working, tele-working, sabbatical leave).</p> <p>Performance Management - employee performance is part of the KI's process to monitor and ensure the quality and performance on an individual level. Dialogues are taking place twice a year.</p> <p>On regular basis KI is performing a employee Survey covering topics such as working climate, leadership, organization and overall KI goals. With a response level of 80% (4,297 of 5,392 employees) it provides a solid basis for ongoing efforts.</p> <p>In the framework of KI's Strategy 2030, KI will continue to create better conditions for balance between work and personal life and opportunities for recovery.</p>	<p>The relocation services for international staff is going to be developed further. Action plan no 9.</p>
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		<p>The relocation services for international staff is going to be developed further.</p> <p>See point 10, 27</p>	
<p>25. Stability and permanence of employment</p> <p><i>Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the EU Directive on Fixed-Term Work.</i></p>	+/+	<p>National legislation</p> <p>Employment Protection Act (SFS 1982:80), 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 • Employees from age 67 <p>The Higher Swedish Education Act (1992:1434) Employment Regulation (1994:373) Act 2002:293 prohibiting discrimination against part-time workers and workers with fixed-term contracts Regulation of higher education (SFS 1993:100, Ch. 4-5) The Public Employment Act (1994:260)</p> <p>Organisational regulation</p> <p>According Swedish legislation. After two years of temporary employments (ALVA) the employment becomes permanent.</p>	
<p>26. Funding and salaries</p> <p><i>Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental</i></p>	+/+	<p>National legislation</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>The Social insurance system is an important part of the Swedish security system. Swedish social insurance covers almost everyone who lives or works in Sweden. It</p>	

<p><i>benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.</i></p>		<p>provides financial protection for families and children, people with disabilities and illness, work injury and old age. For those not covered by the social insurance system, KI provides insurance through The Legal, Financial and Administrative Services Agency (Kammarkollegiet).</p> <p>Through Sweden’s membership in the EU, citizens have the right to social security benefits in other EU countries.</p> <p>The Swedish Pensions Agency assignment is to administer and disburse the national pension, but also to provide both general and individual information about pensions.</p> <p>Possibility to unemployment benefits and help by Swedish Public Employment Service and Unemployment benefit.</p> <p>The Swedish Employment Protection Act (1982:80) – After two years of fixed-term employment, employees become permanent employees, with the exception of certain positions e.g. within artistic activities.</p> <p>Organisational regulation According Swedish legislation and collective agreement. Doctoral student is employed for at least four years and have salary and social benefits. In order to ensure equal pay for women and men, non unduly biased salary analyses are conducted annually.</p>	
<p>27. Gender balance</p> <p><i>Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment</i></p>	<p>+/-</p>	<p>National legislation Discrimination Act (SFS 2008:567) The Swedish Higher Education Act (SFS 1992:1434), Ch. 1 §§ 5-6 The Higher Education Act states that higher education institutions should always observe and promote gender equality.</p>	<p>An update of KI’s Gender mainstreaming plan (Action plan no 3)</p>

and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.

[The Higher Education Ordinance \(SFS 1993:100\), Ch. 4 § 5](#)

"If a group of individuals are to submit a proposal on the applicants to be considered for appointment to a teaching post, women and men shall be equally represented in the group. This does not apply, however, if there are extraordinary reasons to the contrary. Ordinance (2010:1064)". "For the appointment of a professor (including an adjunct professor) opinions on the expertise of the applicants shall be obtained, provided that this is not manifestly unnecessary for appraisal of their expertise.

When the opinions of two or more persons are obtained, both men and women should be represented equally. This does not apply, however, if there are extraordinary reasons to the contrary. Ordinance (2010:1064)".

[Swedish Gender Equality Agency](#)

The Swedish Gender Equality Agency is in charge of two development programmes supporting Swedish higher education institutions in their gender mainstreaming work.

[The Swedish Secretariat for Gender Research](#) 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.

See point 10

Organisational regulation

In [KI's Strategy 2030 page 14](#) it is stated that KI's activities shall be characterised by a good physical, organisational, and social study and work environment that is free from discrimination, offensive behaviour, and harassment. Broad recruitment, equal opportunities, and fair and equal treatment must be well established at KI.

		<p>Promotion on equity and gender balance has been of high importance at KI for a long time. Several ways are offered in order to promote improvements, among others a web-based course on gender bias in recruitment.</p> <p>Rules for selecting teacher representatives See point 10</p>	
<p>28. Career development</p> <p>Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.</p>	<p>+/-</p>	<p>National legislation The Higher Education Ordinance (SFS 1993:100), Ch. 6, §§28, 29</p> <p>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 programme. 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. Such grounds may comprise leave of absence because of illness, leave of absence for service in the defence forces or an elected position in a trade union or student organisation, or parental leave. Ordinance, (2010:1064).</p> <p>See point 10, discrimination Act</p> <p>Organisational regulation All employees regardless contractual situation at KI have the right to have at least one yearly individual development dialogue with their immediate supervisor/manager.</p>	

		<p>Different mentorship programmes are available.</p> <p>See point 30, 36, 38, 39.</p>	
<p>29. Value of mobility</p> <p><i>Employers and/or funders must recognise the value of geographical, intersectoral, inter- and trans-disciplinary and virtual mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system.</i></p> <p><i>This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.</i></p>	+/-	<p>National legislation</p> <p>Act (1974: 981) on employees' rights to time off for studies (Study Leave Act)</p> <p>Act (1997: 1293) on the right to time off to conduct business</p> <p>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 are special rules in Ordinance respecting Leave of Absence (1984:111) and in collective agreements. Ordinance respecting Leave of Absence also includes rules of right to leave for governmental employees during service abroad.</p> <p>Organisational regulation</p> <p>According to Swedish law. The possibility to take leave of absence is regulated in the legislation.</p> <p>The Competence Provision Unit (a unit within the HR Office) is responsible for providing strategic and operational support throughout the process of attracting, recruiting, introducing and retaining the best employees. International Staff Services, within HR Office, give support and advice for those who is working to recruit and receive incoming doctoral students and researchers from abroad. Also information for those who is sending staff abroad is given. International researchers and doctoral students get specific support among others through the web but also through events.</p>	<p>The relocation services for international staff is going to be developed further.</p> <p>Action plan no 9.</p>

		<p>KI employees (teachers, researchers, technical and administrative staff) can participate in different mobility projects in order to stimulate and increase collaboration with the public and private sector(outside academia). One recent exampel is the PAUS project.</p> <p>Grants Office help researchers with the administration when grants due to mobility to or from KI must be transferred.</p> <p>See point 18, 24, 28</p>	
<p>30. Access to career advice</p> <p><i>Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.</i></p>	+/+	<p>National legislation The Higher Education Ordinance (SFS 1993:100), Ch. 6, §§28, 29</p> <p>Organisational regulation Within the HR department support related to leadership, individual, group and organizational development is given to all staff at KI.</p> <p>A specific unit, KI Career Service works to educate and advice students, doctoral student students, postdocs and researchers for a future career inside and outside academia. KI Career Service also organize seminars workshops, lectures, online support, a doctoral course as well as financed internship programs for doctoral student students and postdocs. KI Career Service further provides support in career related topics such as grant writing, networking, CV and interview training, career planning and much more.</p> <p>See also point 28, 36</p>	
<p>31. Intellectual Property Rights</p>	+/+	<p>National legislation Act (1949: 345) on the Right to Employee Inventions The Swedish Higher Education Act (1992:1434 §3a</p>	

<p><i>Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights.</i></p> <p><i>Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.</i></p>		<p>As a response to the recommendation on the European Commission, April 2008, on the management of intellectual property in knowledge transfer activities and Code of Conduct for universities and other public research organisations, the Association of Swedish Higher Education has developed principles for handling intellectual property in research agreements which is recommended as praxis for Swedish Higher Education Institutions.</p> <p>Organisational regulation Employees at KI are covered by the “professor’s privilege” also known as teacher exemption, which means that they own the results of their research. Information and guidelines on all steps of IPR-related issues are available at our website, available for all staff. KI Innovations give general advice regarding protection of ideas and patents. One may also get external funding for the patent application. Grants Office at KI give support to researchers regarding how to protect an idea and other related issues. On the website there are information and instructions on open access-publishing. See point 5, 6.</p>	
<p>32. Co-authorship</p> <p><i>Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so</i></p>	<p>+/+</p>	<p>National legislation There is no Swedish legislation regarding co-authorship in research though guidelines and recommendations exist: Good Research Practise, the Swedish Research Council’s guideline. Codex, rules and guidelines for research. The Vancouver Recommendations regarding co-authorship.</p> <p>Organisational regulation Co-authorship is viewed positively by KI.</p>	

<p><i>that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).</i></p>		<p>The KI University Library offer several courses, support and for instance guidance in information searching on a regular basis. See point 4,23.</p> <p>Co-authorship is discussed in course on supervision for doctoral students.</p> <p>KI's scientific representative works for all employees in need of guidance and advice on issues concerning such matters as joint publication and authorship. Responsibility of the scientific representative is also to ensure sufficient knowledge of declarations concerning authorship.</p>	
<p>33. Teaching</p> <p><i>Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities.</i></p> <p><i>Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior</i></p>	<p>+/+</p>	<p>National legislation</p> <p>The Higher Education Ordinance, chapter 5, section 2:</p> <p>Organisational regulation</p> <p>Doctoral students shall devote themselves primarily to their studies. Doctoral students 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. According to the General syllabus for third cycle/doctoral education in the subject of medical science teaching in own research field for practical pedagogical training can give max 4,5 credits. All doctoral students have access to a number of pedagogical training courses.</p> <p>Agreement on time-limited employment for post-doc</p> <p>Those appointed to a postdoctoral position shall primarily devote themselves to their research. They may, however, work to a limited extent with educational tasks and administration. Duties of this kind may not comprise more than 20 per cent of a full-time post.</p>	

<p><i>members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.</i></p>		<p>Working hours for employed teachers are regulated through the Local Term Agreement, appendix 5, Working hours and work-dependent compensation for teachers.</p>	
<p>34. Complains/ appeals</p> <p><i>Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.</i></p>	<p>+/+</p>	<p>National legislation</p> <p>Several articles of national legislation and guidelines cover complains and appeals:</p> <p>The Work Environment Act (SFS 1977:1160) Systematic work (AFS 2001 : 1), SAM, regulations Organisational and social working environment (AFS 2015 : 4) Discrimination Act (SFS 2008:567) Act (1976:580), on Co-Determination at Work (MBL) regulates collective labour law. Its name refers to the Act's objective to promote the employees participation of working conditions and management.</p> <p>Several articles of national legislation and guidelines cover complains and appeals.</p> <p>Organisational regulation</p> <p>According Swedish law.</p> <p>Different kind of off support function for researchers, employees and staff are available regarding conflict management, victimisation, systematic work environment management etc. managed by the central university administration and the departements.</p> <p>KI's Code of conduct is based on the fundamental core values and clarifies responsibilities and expectations of co-workers, mainly from a psychosocial work environment perspective. See point 2.</p>	

		<p>Various kinds of support function for doctoral students at Karolinska Institutet (KI) are regulated and have appropriate procedures. Doctoral students can contact an ombudsperson, a central director of studies, directors of doctoral studies at the departments, an external mentors, their principal supervisor, their co-supervisor, their administrators for doctoral studies at the department, call the occupational health and counselling helpline, a safety representatives, central career Service and international staff service to get support.</p> <p>Local employee organisations help its members with issues regarding salary and benefits, working conditions and the work environment.</p> <p>As well local employee organisations as students are represented in different boards.</p> <p>Please see point 2, 10 for ombudsman type of functions</p>	
<p>35. Participation in decision-making bodies</p> <p><i>Employers and/or funders of researchers should recognise it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution.</i></p>	<p>+/+</p>	<p>National legislation The Swedish Higher Education Act 1992:1434 Ch. 2 §6. The Higher Education Ordinance (SFS 1993:100) Ch. 2, §7a</p> <p>Organisational regulation Collegially elected governing bodies govern KI. Academic staff are eligible for election. Researchers including doctoral students and students are represented in the different information, consultation and decision-making bodies of KI. Students including doctoral students have right to be represented.</p> <p>In the Decision-making procedures and delegation rules for Karolinska Institute it is stipulated that faculty and student representatives are members of the Faculty</p>	

		<p>board and the Faculty Board's three Committees, Recruitment Committee, Docent Committee Faculty Council, Ethics council, Library Advisory Council etc.</p> <p>Researchers from different departments participate in different recruitment groups.</p> <p>All students (incl. doctoral students) at universities and colleges in Sweden have a statutory right to interest on issues of importance to the education or the students' situation.</p> <p>See point 27, 14</p>	
Training and Development			
<p>36. Relation with supervisors</p> <p><i>Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them.</i></p> <p><i>This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed</i></p>	<p>+/+</p>	<p>National legislation</p> <p>The Higher Education Ordinance, Ch. 6, section 28: 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 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>The Higher Education Ordinance, Ch. 6, section 29: An individual study plan (ISP) shall be drawn up for each doctoral student.</p> <p>Organisational regulation</p> <p>The Rules for doctoral education at KI regulate doctoral students relation with the supervisors (requirements, training, duties, obligations for supervisors and co-supervisors).</p>	

<p><i>schedules, milestones, deliverables and/or research outputs.</i></p>		<p>The Individual Study Plan (ISP) contains obligations of the University and the doctoral student and a time plan for the studies (Rules of doctoral education, Ch. 5).</p> <p>The ISP describes the scientific project as well as how the doctoral student – within the assigned research area and research project – can reach the outcomes for doctoral education. The ISP is a roadmap to follow during the doctoral studies. The ISP shall be adopted after consultation with the doctoral student and their supervisors and be reviewed regularly (annually and with an extended half time control) and amended to the extent required. As of 2019/2020 a digital ISP-system will be implemented.</p> <p>A mandatory electronic notebook called KI ELN is replacing paper research logbooks and lab notebooks. KI ELN forms the backbone for research documentation and facilitates not only research documentation but also interaction and collaboration within and between research groups.</p> <p>All supervisors have access to courses related to the role as supervisor.</p> <p>All doctoral students have access to support from Directors of Doctoral studies, a central study director and doctoral students’ ombudsperson.</p> <p>See point 28, 34, 35, 37 and 40</p>	
<p><i>37. Supervision and managerial duties</i></p> <p><i>Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders,</i></p>	<p>+/+</p>	<p>Organisational regulation</p> <p>In the Rules for doctoral education at KI the responsibilities of supervisors are explained. To become a supervisor certain criteria has to be fulfilled and approved (so called green light). All supervisors at KI must have a doctoral degree and at least one of the supervisors must be an associate professor (<i>docent</i>) or a professor.</p>	

<p><i>project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.</i></p>		<p>The principal supervisor must as well complete a introductory doctoral supervision course. Other courses and seminars and are available in order to continuous support and development of skills and approaches in teaching and leadership, not only as working academics but on a personal level as well.</p> <p>In order to provide high quality supervision several support structures are available. See point 3, 28, 36, 40.</p>	
<p>38. Continuing Professional Development</p> <p><i>Researchers at all stages should seek to continually improve --- update skills and competences by various means formal training, workshops, conferences and e-learning</i></p>	<p>+/+</p>	<p>National legislation The Higher Education Ordinance, Ch. 6, section 29</p> <p>Organisational regulation External as well internal funds facilitate participation in conferences or to take part in courses.</p> <p>Researchers at all career stages (employees as fellows) are offered professional development, both at the institution level and faculty level. This may include education in pedagogy, research methodology, project management for PI's, supervisor training, leadership training for research group leaders, etc. According to the Higher Education Ordinance (HF, 6-chapter, section 29) an individual study plan (ISP) shall be drawn up for each doctoral student.</p> <p>New training possibilities and courses are developed constantly.</p> <p>See point 28, 36</p>	

<p>39. Access to research training and continuous development</p> <p><i>Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies.</i></p> <p><i>Such measures should be regularly assessed for their accessibility, takeup and effectiveness in improving competencies, skills and employability.</i></p>	<p>+/+</p>	<p>National legislation The Higher Education Ordinance, Ch. 6, section 29</p> <p>Organisational regulation A variety of possibilities for professional development are available for researchers at all stages and technical administrative staff. A sustainable career and professional development lead to motivated individuals that through their competences, strengths and interests contribute to the research development, increased mobility and employability. Mandatory and non-mandatory programs, courses, seminars, workshops not only in the field but also in leadership, pedagogic and so on are offered. E-learning tools are used for some.</p> <p>Employee performance is part of the KI's process to monitor and ensure the quality and performance on an individual level. This process include discussion on professional development. A structured dialog between managers and employees about overall operations and strategy and how each employee can contribute to business development is routine.</p> <p>Opportunity to and funding for travelling and visiting conferences exist and is supported.</p>	
<p>40. Supervision</p> <p><i>Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional</i></p>	<p>+/+</p>	<p>National legislation The Higher Education Ordinance (SFS 1993:100) Ch. 6, section 28</p> <p>Organisational regulation The Rules for doctoral education Ch. 2., at KI regulate that a prospective principal supervisor must get a "green light" from the department in order to recruit a new</p>	

<p><i>duties, and should inform the researchers accordingly.</i></p> <p><i>Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.</i></p>		<p>doctoral student. A green light is an assessment of the suitability as supervisor; track-record, time to supervise and financial resources. Without a green light a principal supervisor cannot be appointed, nor can a doctoral student be recruited. Examples of reasons for a denied application can further be lack of financial resources, involvement in one or more conflicts with previous doctoral students, inappropriate ethical assessments at several occasions, lack of accessibility or support in the learning process of earlier doctoral students. A green light assessment and decision must be made by at least three people representing Head of Department, Head of Administration and Director of Doctoral Education. The Rules of doctoral education, Ch. 6. define the role as supervisor.</p> <p>See point 28, 36, 37</p>	
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TEMPLATE 3 – OTM-R Checklist

Case number: 2018SE360661

Name Organisation under review: Karolinska Institutet, Stockholm, Sweden

Organisation's contact details: Anna-Carin Christoffersson, Faculty Office and External Relations, Karolinska Institutet, SE-171 77 Stockholm, Nobels väg 6, +46 72 250 85 27,
anna-carin.christoffersson@ki.se

SUBMISSION DATE: 19 DECEMBER 2019

DATE ENDORSEMENT CHARTER AND CODE: 4 December 2018

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.

<i>OTM-R checklist for organisations</i>					
	Open	Trans- parent	Merit- based	Answer: ++ Yes, <i>completely</i> +/-Yes, <i>substantially</i> -/+ Yes, <i>partially</i> -- 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)?	x	x	x	++ Yes, <i>completely</i>	<u>The recruiting process,</u> <u>Recruitment of teachers and researchers</u>

2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	++ Yes, completely	<u>The recruiting process,</u>
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	+/-Yes, substantially	Training programs for HR and for managers in all our management training, supervisor training, etc.
4. Do we make (sufficient) use of e-recruitment tools?	x	x	x	++ Yes, completely	Web-based tool for (all) the stages in the recruitment process, including external reviewers' evaluations. In the upcoming two years, the web-based tool will have added functions such as personality and psychometric tests and video interviews. Action no 12.
5. Do we have a quality control system for OTM-R in place?	x	x	x	+/-Yes, substantially	Yes, but improvements will be done. Action no 12.
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	+/-Yes, substantially	Yes, all positions are advertised externally. However, we can see that for some teaching and research positions, both applicants and those who subsequently are employed are largely internal candidates. One goal is to increase mobility (internally and externally). Action no 4. GAP principle 15. Transparency (Code).
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	+/-Yes, substantially	Yes, all positions are advertised externally. However, we can see that for some teaching and research positions, both applicants and those who subsequently are employed are largely internal candidates. One goal is to increase mobility (internally and externally). Action nr 9. GAP principle 12. Recruitment.

8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	+/-Yes, substantially	Yes, efforts to get even more female applicants and employees at the highest academic level (professor) need constantly to be developed. GAP principle 12. Recruitment
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	+/-Yes, substantially	Yes, but reviewing and revising agreements, terms and actions is ongoing. In recent years, efforts have been made to strengthen our relocation-services etc.
10. Do we have means to monitor whether the most suitable researchers apply?	x	x	x	+/-Yes, substantially	We can see that KI can generally attract staff at the level we want. Challenges exist in some very competitive positions. Executive management, Faculty Board, Expert advisers, recruitment groups monitor the process. Action no 11-12.
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x	x	++ Yes, completely	Yes, both in national legislation, organizational regulation and in internal advising for HR and managers. GAP principles 12. Recruitment, 13. Recruitment (Code), 14. Selection (Code), 15. Transparency (Code), 16. Judging merit (Code)
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit?	x	x	x	++ Yes, completely	Yes.
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x	x	+/-Yes, substantially	KI use besides from EURAXESS job advertising channels, such as Nature, Science, ResearchGate. We could increase our efforts.
14. Do we make use of other job advertising tools?	x	x	x	++ Yes, completely	Yes, for example LinkedIn, Nature, Science, ResearchGate.
15. Do we keep the administrative burden to a minimum for the candidate?	x	x	x	++ Yes, completely	Yes.

Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees?	x	x	x	++ Yes, completely	Yes, both in national legislation, and in organizational regulation (written guidelines). Action nr 4. GAP principles 12. Recruitment, 13. Recruitment (Code), 14. Selection (Code), 15. Transparency (Code), 16. Judging merit (Code)
17. Do we have clear rules concerning the composition of selection committees?	x	x	x	++ Yes, completely	Yes, both in national legislation, and in organizational regulation (written guidelines). Action nr 4. GAP principles 12. Recruitment, 13. Recruitment (Code), 14. Selection (Code), 15. Transparency (Code), 16. Judging merit (Code)
18. Are the committees sufficiently gender-balanced?	x	x	x	-/+ Yes, partially	Statistics on the compositions of panels. GAP principles 12. Recruitment, 13. Recruitment (Code), 14. Selection (Code), 15. Transparency (Code), 16. Judging merit (Code)
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?	x	x	x	++ Yes, completely	Written guidelines Action nr 4. GAP principles 12. Recruitment, 13. Recruitment (Code), 14. Selection (Code), 15. Transparency (Code), 16. Judging merit (Code)
Appointment phase					
20. Do we inform all applicants at the end of the selection process?	x	x	x	++ Yes, completely	Yes, by E-mail. GAP principle 15. Transparency (Code).
21. Do we provide adequate feedback to interviewees?	x	x	x	+/-Yes, substantially	It looks different for different recruits. This part could to be developed, especially for junior teachers and researchers who need feedback on what they need to further develop and merit in, etc. See Action Plan no 12. GAP principle 15. Transparency (Code).

22. Do we have an appropriate complaints mechanism in place?	x	x	x	++ Yes, completely	Yes, both a statutory right to appeal a decision on employment and to file a complaint regarding discrimination to the Equality Ombudsman. Keeping statistics on complaints.
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?	x	x	x	+/-Yes, substantially	Internal and national audit. (see also p. 5). See Action Plan no 12.

TEMPLATE 4: ACTION PLAN

Case number: 2018SE360661

Name Organisation under review: Karolinska Institutet, Stockholm, Sweden

Organisation's contact details:

Anna-Carin Christoffersson, Faculty Office and External Relations, Karolinska Institutet, SE-171 77 Stockholm, Nobels väg 6, +46 72 250 85 27, anna-carin.christoffersson@ki.se, ki.se

SUBMISSION DATE: 19 DECEMBER 2019

DATE ENDORSEMENT CHARTER AND CODE: 4 December 2018

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	2581
Of whom are international (i.e. foreign nationality)	1042
Of whom are externally funded (i.e. for whom the organisation is host organisation)	560
Of whom are women	1377
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	933
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	501
Of whom are stage R1 = in most organisations corresponding with doctoral level	1677
Total number of students (if relevant)	5962
Total number of staff (including management, administrative, teaching and research staff)	4654
RESEARCH FUNDING (figures for most recent fiscal year)	€ million (from KI Annual report 2018)
Total annual organisational budget (7,131 SEK million)	676,44
Annual organisational direct government funding (designated for research) (2995,02 Sek million)	284,13
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding) (1611,7 Sek million)	153,88
Annual funding from private, non-government sources, designated for research (1310,3 Sek million)	124,27

ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)

Karolinska Institutet (KI), founded in 1810, is Sweden's only purely medical university and one of the world's leading medical universities.

KI's vision is to advance knowledge about life and strive towards better health for all. Our mission is to provide education based on a strong scientific foundation and proven experience and to conduct research and development. The research covers the entire medical field, from basic molecular biological research to clinical epidemiology and nursing science.

Since 1901 the Nobel Assembly at Karolinska Institutet has selected the Nobel laureates in Physiology or Medicine.

<https://ki.se/en>

<https://staff.ki.se>

https://issuu.com/karolinska_institutet/docs/ki_a_medical_eng19_low

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.

Thematic heading of the Charter and Code	STRENGTHS and WEAKNESSES
Ethical and professional aspects	<p>As a medical university KI constantly encounters issues that require ethical reflection. Ethical and professional aspects is paramount to KI. Research conducted at KI must comply with the highest ethical standards, be accountable and beneficial to society.</p> <p>An overarching goal in KI's strategy 2030 is to be proactive in ethical issues. To be able to do so, students, teachers and researchers need up-to-date knowledge and an ongoing discussion. To support this, common functions and an academic environment that actualizes and makes available the knowledge at different levels for all target groups are available.</p> <p>During recent years, major improvements have been made regarding ethical and professional aspects. In order to give proactive support to the management and KIs researchers, an Ethics Council, a scientific representative and new procedures for suspected scientific misconduct, suspected embezzlement, harassment or other irregularity have been created and strengthened. The Ethics Council is a strategic function for discussion on ethics in research at KI. It can be international regulations, research in other countries and ethics in</p>

	<p>relation to new research methods and new technology. A structure for academic staff to participate in strategic decision-making and information processes is well-defined and regulated.</p> <p>Maintenance and development of quality assurance in all research environments (as in education) is a constantly ongoing highly prioritized and systematic work. In 2020 an evaluation of methodologies and outcomes will be overseen by the Swedish Higher Education Authority.</p> <p>Based on the principles in the Charter and Code KI will further carry out a several improvements. Two major actions in the next coming year are the important guidelines for research and work of quality assurance. Almost all principles under the heading Ethical and professional aspect are covered and researchers from R1 to R4 at KI are involved one way or another. These two major actions will be of considerable importance to the researchers at KI and improve the work performed.</p>
<p>Recruitment and selection</p>	<p>KI's strengths and weaknesses are reflected in the current strategy. The strategy highlights the goal of increasing international attractiveness for (students and) staff – stating that KI shall be the first choice for prospective students, teachers, researchers, and partners. On way of achieving this is to have a valid recruitment process, good employment conditions and a sound work (and study) environment. In addition, KI is striving for predictable career paths, which requires that the university have an optimum size of the organization with respect to the different career levels. There is also a need to more precisely define the scientific and educational qualifications required for employment and promotion at KI.</p> <p>We consider the following 4 principles to be fully implemented; 14. Selection (Code), 17. Variations in the chronological order of CVs (Code), 19. Recognition of qualifications (Code) and 20. Seniority (Code). Although gaps have been identified in several principles (12. Recruitment, 13. Recruitment (Code), 15. Transparency (Code), 16. Judging merit (Code), 18. Recognition of mobility experience (Code) and 21. Postdoctoral appointments (Code)) the gaps are considered to be relatively small and at the same has clear-cut and feasible actions been identified and planned. This is mostly due to a set of national as well as university-bound regulations and policies building on open, transparent and merit-based recruitment. What in many parts may need to be corrected and clarified on recruitment and selection is that regardless of whether there is a clear regulatory framework in place, it is a challenge for KI (and other universities) to manage a national and local regulatory framework in an international environment that brings together researchers from all over the world. , from different research fields and different sectors (industry, etc.).</p>

Working conditions	<p>KI shall be characterized by a good physical, organizational, and social (study and) work environment that is free from discrimination, offensive behavior, and harassment. Broad recruitment, equal opportunities, and fair and equal treatment must be well established in the university. This is part of KI's quality work, and there shall therefore be continuous, high-quality competence development in broad-based recruitment, leadership, work environment, equality, diversity, and sustainable development. We must secure equal conditions and career paths for all employees, regardless of background.</p> <p>In working towards this and (better) working conditions and social security the Swedish legislation and collective bargaining provides a strong foundation and employees at the university have generous conditions in addition to tax-financed social benefits and state subsidies. Sweden's anti-discrimination legislation ensures that everyone has the right to be treated equally regardless of ethnicity, religion, gender, age, sexual orientation or functional disabilities.</p> <p>We consider the following 9 principles to be fully implemented; 22. Recognition of the profession, 25. Stability and permanence of employment, 26. Funding and salaries, 30. Access to career advice, 31. Intellectual Property Rights, 32. Co-authorship, 33. Teaching, 34. Complains/appeals and 35. Participation in decision-making bodies.</p> <p>For the following principles, gaps have been identified; 23. Research environment, 24. Working conditions, 27. Gender balance and 29. Value of mobility. KI has a good starting position in terms of working conditions etc. with many strengths such as mentioned above. In addition, equal opportunities and a sound work environment is a central part of the strategy and will be further strengthened. Where KI sees weaknesses, several actions are planned, including creating better conditions for balance between work and personal life and opportunities for recovery, an update of KI's gender mainstreaming plan as well improved relocation services for international staff.</p>
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Training and development	<p>Every knowledge-driven organization has its greatest resource in its staff. Therefore, it is of the utmost importance that all members of staff are given the opportunity for (continuous) training and development. In this context, there are three tracks, or perspectives, that appear to be crucial – career development, leadership development and pedagogical training and development.</p> <p>Since long back, KI have offered in-depth support at faculty level for career training and development. KI Career Service works to educate and advice students, PhD students, postdocs and researchers for a future career inside and outside academia. They offer a varied program of seminars workshops, lectures and online support. Career Service also organize a doctoral course as well as financed internship programs for PhD students and postdocs. This support has recently extended to include individual career coaching, mentoring programs and increased opportunities for internal mobility. The support at faculty level is supplemented by various forms of training and development at the institutional and research group level. In terms of leadership training and development various educational programs are offered at the faculty level, such as a course in leadership for research group leaders and a doctoral supervision training programme. At the departmental level, various initiatives for leadership development programs (FAL) have been implemented in collaboration with the HR department's leadership and organizational development specialists.</p> <p>Pedagogical training and development are a recurring priority area but has been strengthened with the establishment of the Unit for Teaching and Learning, KI's medical pedagogical unit. The overall purpose of the</p>

	unit is to contribute to the educational development of KI's educational assignments.
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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: staff.ki.se/charter-code

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:

Proposed ACTIONS	GAP Principle(s)	Timing (at least by year's quarter/semester)	Responsible Unit	Indicator(s) / Target(s)
1. Revision of the Guidelines for research at Karolinska Institutet.	1, 2, 3, 4, 5, 6, 7, 11	Q1 2020, Planning Q3 2020, Input from stakeholders Q4 2020, Proposal of new Guidelines Q2 2021, Decision, Q2 2021, Communication, and implementation Q2 2021, planning of follow up	Central Administration, Faculty Office and External Relations (Marie-Louise Isacson) (decision: Committee for Research)	Target: Raised awareness, knowledge and compliance of the content. Indicator: By Q2 2021 the Faculty Office suggested Guidelines for research is adopted and communicated to staff (includes researchers R1-R4).
2. A new "Guideline on quality assurance regarding research at KI, in order to create conditions for targeted, systematic and coherent quality development and quality assurance to maintain the highest possible quality.	1, 2, 3, 4, 5, 6, 7, 11	Q1 2020, Planning Q3 2020, Input from stakeholders Q4 2020, Proposal Q2 2021, Decision, Q2 2021, Communication, and implementation Q2 2021, planning of follow up	Central Administration, Faculty Office and External Relations (Marie-Louise Isacson) (decision: Committee for Research, Faculty board)	Target: An targeted, systematic and coherent quality development and quality assurance to maintain the highest possible quality. Indicator: By Q2 2021 the document is adopted.

<p>3. A plan for Gender Mainstreaming with targeted areas: Management training, Career development, recruitment and retention, resource allocation and educational content and pedagogy. KI's mainstreaming plan is aimed at achieving gender equality, through improvement, development and evaluation of our organizational processes, so that a gender equality perspective that promotes equal opportunities is incorporated in the organization.</p>	<p>10. Non discrimination 27. Gender balance</p>	<p>Q1 2020, Review of actions taken including evaluation of progress Q2 2020 Revision of targeted areas Q3 2020 Proposal of revised plan Q4 2020 Decision</p>	<p>Central Administration, Faculty Office and External Relations (Marie-Louise Isacson) (final decision: the president after involvement of the vice president and Faculty Board)</p>	<p>Target: Adopted revised Gender Mainstreaming plan with SMART goals. Plan communicated to staff (incl. researchers R1-R4 and management). Indicator: By Q4 2020 the Gender Mainstreaming plan is adopted.</p>
<p>4. Investigate and propose changes regarding career paths for teachers and researchers and clarify the scientific and educational merits. (Från "Mål och uppdrag för KI-gemensam Verksamhetsplan (VP) för Strategi 2030" Dnr 1-462/2019), 7.3.2 Studenter och medarbetare i första rummet)</p>	<p>12. Recruitment 13. Recruitment (Code) 16. Judging merit (Code) 18. Recognition of mobility experience (Code) 21. Postdoctoral appointments (Code) + OTM-R nr. 6, 16, 17, 19</p>	<p>Q1 2020 Investigation and benchmarking Q2 2020 Stakeholders input proposal Q3 2020 Proposal and decision</p>	<p>HR-Office/ Competence Provision Unit (Peter Gustafsson) (decision: Faculty Board)</p>	<p>Target: Predictable and transparent career paths with adaptation of new regulations. Indicator: Adapted and implemented Q3 2020. For persons within KI's career system, this will affect approximately 1 000 researchers/persons (85-90% of all researchers at this level except junior teachers/researchers). This will affect the possible career tracks for researchers both in short term (within 2-3 years) but above all in long term if one take into account</p>

				that the career period from PhD to level R4 is often (at least) 12 years, but usually longer.
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<p>5. Ensure that the recruitment of permanent teacher positions is based on both the needs of education and research (and strengthen the relationship between them).</p> <p><i>(Från "Mål och uppdrag för KI-gemensam Verksamhetsplan (VP) för Strategi 2030" Dnr 1-462/2019, 7.3.6 Utbildningen och forskningen behöver vara tätt sammankopplade)</i></p>	<p>12. Recruitment 13. Recruitment (Code) 16. Judging merit (Code)</p>	<p>Q3 2020 Investigation and benchmarking Q1 2021 Stakeholders input proposal Q3 2021 Proposal Q4 2021 Decision</p>	<p>Central Administration, Faculty Office and External Relations (Marie-Louise Isacson)</p> <p>(decision: Faculty Board and the committees for research/education)</p>	<p>Target: Strengthened relationship between education and research. Adaptation of new regulations.</p> <p>Indicator: Implemented Q4 2021</p> <p>(Action nr 5 is linked to and dependent on action nr 4).</p>
<p>6. Create better balance and coordination between the educational and research assignments in the existing teaching profession.</p> <p><i>(Från "Mål och uppdrag för KI-gemensam Verksamhetsplan (VP) för Strategi 2030" Dnr 1-462/2019, kap 7.3.6, Kärnverksamhetens medarbetare både forskar och utbildar, att utb och forskning måste vara tätt sammankopplade)</i></p>	<p>18 Recognition of mobility experience 24. Working conditions</p>	<p>Q3 2020 Investigation and benchmarking Q1 2021 Stakeholders input proposal Q3 2021 Proposal Q4 2021 Decision</p>	<p>Central Administration, Faculty Office and External Relations (Marie-Louise Isacson)</p> <p>(decision: Faculty Board and committees for research/education)</p>	<p>Target: Clear requirements for employment and in areas of responsibility and duties for staff teachers.</p> <p>Indicator: Increased proportion of teachers who actively research and teach.</p>

<p>7. Identify areas in which there is a lack of teacher capacity and develop action plans to ensure teacher capacity in these areas.</p> <p><i>(Från "Mål och uppdrag för KI-gemensam Verksamhetsplan (VP) för Strategi 2030", 7.3.6 Utbildningen och forskningen behöver vara tätt sammankopplade)</i></p>	<p>12. Recruitment</p>	<p>Q3 2020 Investigation and benchmarking Q1 2021 Stakeholders input proposal Q3 2021 Proposal Q4 2021 Decision</p>	<p>Central Administration, Faculty Office and External Relations (Marie-Louise Isacson)</p> <p>(decision: Academic vice president for higher education)</p>	<p>Target: GAP analyses and action plans.</p> <p>Indicator: Adapted GAP analyses and action plan by Q4 2021.</p>
<p>8. Develop a plan for KI's infrastructure for education, doctoral education and research in order to ensure that student and staff (R1-R4) have access to the very best research infrastructure and education environment.</p> <p><i>(Från "Mål och uppdrag för KI-gemensam Verksamhetsplan (VP) för Strategi 2030" Dnr 1-462/2019, sid 16)</i></p>	<p>23. Research environment</p>	<p>Q2 2020 Planning and review of current status Q4 2020 Collection of stakeholders input Q2 2021 Proposal of new plan Q4 2021 Decision and implementation</p>	<p>Central Administration, Faculty Office and External Relations (Marie-Louise Isacson)</p>	<p>Target: To ensure that research and education have the best environment to reach higher quality.</p> <p>To optimize the use of research funding.</p> <p>Indicator: increased use and improvements of infrastructure and education environment.</p>
<p>9. Develop the relocation services for international staff.</p> <p><i>(Från "Mål och uppdrag för KI-gemensam Verksamhetsplan (VP) för Strategi</i></p>	<p>24. Working conditions 29. Value of mobility OTM-R no 7</p>	<p>Q1 2020 Evaluation of current agreement and procurement of new agreement Q3-Q4 2020 Follow-up on how international staff review our relocation services Q1 2021 Plan changes of relocation services</p>	<p>HR-Office/ Competence Provision Unit (Peter Gustafsson)</p>	<p>Target: Contract on current and new services with relocation companies and developed services and support through the Stockholm Academic Forum.</p>

<p>2030" Dnr 1-462/2019, 7.5.3 Öka internationell attraktionskraft för studenter och medarbetare)</p>		<p>based on the follow-up Q2 2021 Implement developed relocation services.</p>		<p>Revised processes, new services offered and, faster relocation for individual employees.</p> <p>Indicator: Contract signed and new services offered. With a high proportion of international researchers, KI has many people who move to Stockholm, Sweden every year. An estimated 250-320 researchers already receive support service for international relocation and will by the end of 2022 receive even better relocation support. Better support is expected to reduce the time from recruitment until the employee is on site, while enabling more recruitment of researchers from other countries.</p>
<p>10. Give teachers the opportunity for pedagogical skills development.</p> <p><i>(Från "Mål och uppdrag för KI-gemensam Verksamhetsplan (VP) för Strategi 2030" Dnr 1-462/2019, sid 13)</i></p>	<p>24. Working conditions</p>	<p>Q2 2020 Planning and review of current status Q4 2020 Collection of stakeholders input Q2 2021 Proposal Q4 2021 Decision and implementation of actions</p>	<p>Central Administration, Faculty Office and External Relations (Marie-Louise Isacson)</p> <p>(decision: Faculty board)</p>	<p>Target: education should be characterised by a well-developed and modern pedagogy</p> <p>Indicator: Number of courses / courses offered. Number of people who have completed courses.</p>
<p>11. Development of (better) information about our recruitment processes and selection criteria to potential and actual applicants for different positions.</p> <p>Information about internal career</p>	<p>15. Transparency (Code)</p> <p>OTM-R Checklist: 10, 20-21.</p>	<p>Q1 2020 Review existing information on the web, ads etc. Q2-Q3 2020 See what information needs to be revised and supplemented based on, among other things HRS4R. Q4 2020 Update (revised and supplemented) information.</p>	<p>HR-Office/ Competence Provision Unit (Peter Gustafsson)</p>	<p>Target: Published information on external and internal websites.</p> <p>Indicator: For external and internal candidates there is clear information about our recruitment processes etc. In addition to</p>

<p>paths.</p> <p><i>(Från "Mål och uppdrag för KI-gemensam Verksamhetsplan (VP) för Strategi 2030" Dnr 1-462/2019, sid 15)</i></p>				<p>researchers already employed at levels R2 and R3 (approximately 1 000 researchers/persons) being able to access this improved information, an additional 5,000-6,000 applicants for various positions are expected to take part of this information.</p>
<p>12. Develop system support for our recruitment processes so that it allows us to fully use it as a quality control system and</p>	<p>12. Recruitment</p> <p>OTM-R Checklist:4, 5, 10, 21, 23.</p>	<p>Q4 2020 Study of extended functionality</p> <p>Q1 2021 Review of study and order of extended functionality from our system supplier</p>	<p>HR-Office/ Competence Provision Unit (Peter Gustafsson)</p>	<p>Target: New/extended functionality and data derived from this provides decision basis for changed routines etc. lead to best</p>

assess our OTM-R processes.		Q2 2021 Implementation of new, extended functionality		possible recruitments. Indicator: Extended functionality in the digital recruitment system.
13. Translation of relevant documents into English KI undertake to produce all internal documents in English and ensure that they are easily available to incoming researchers.		Q2 2020 review Q4 2020 translations completed and published	HR-Office/ Competence Provision Unit (Peter Gustafsson)	Target: Translated documents published on KI's website. Indicator: By Q2 2020 review of documents on the web site By Q4 2020 90% of the documents on the web site will be translated into English.

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. Max 1000 words

Open, Transparent and Merit-Based Recruitment processes and principles are the basis for a system that ensures recruitment that both are a prerequisite for and favor scientific quality and productivity. An Open, Transparent and Merit-Based Recruitment is usually self-evident in the Swedish system, protected by national legislation and implemented by government employers, including the universities.

At KI, we base ourselves on national legislation and (best) practices in designing internal governance documents and processes, as well as provide detailed guidelines or descriptions about our recruitment procedures on our website.

Although our current OTM-R policy is in line with policies to provide attractive working conditions for researchers, there are some challenges in recruiting researchers from other countries. Examples of such challenges are differences in social insurance systems, migration issues and the lack of housing in the Stockholm region. KI works actively on several fronts to prevent and facilitate these issues.

KI is an attractive employer nationally and internationally, but we see some tendencies that, like other Swedish universities, we have a lower degree of mobility compared to other European countries and universities. In this part, enhanced efforts within OTM-R can, and should, be an important part of our future perspective. Even though we have many applicants, and in many cases

many competent applicants, we cannot always be sure to as the most suitable researchers apply (if by this we mean the absolute best candidate we can get).

One development area is to better highlight information about our recruitment processes to potential and actual applicants and clarify information about internal career paths. For actual applicants (interviewees) it also important to provide adequate feedback.

Another area of development is to develop system support for our recruitment processes so that it allows us to fully use it as a quality control system and assess our OTM-R processes.

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:

URL:

<https://staff.ki.se/recruiting>

<https://staff.ki.se/recruitment-of-professor-and-senior-lecturer>

4. IMPLEMENTATION

General overview of the expected implementation process:

(free text, 1000 words maximum)

HRS4R is in line with the [Strategy 2030](#) and the implementation thereof. Goals and projects within Strategy 2030 are identified as important for the development of the Karolinska Institute's operations. All areas identified in the HRS4R Action Plan are to be integrated and mainstreamed in the annual process, as well as in the regulations, strategies and policies.

In order to guarantee a solid and effective implementation with high quality of the process the organisation of HRS4R will have a detailed plan with among others resource allocation, schedule of milestones, deliverables. Dependencies between HRS4R actions and other actions within Strategy 2030 and the management plan will be followed up. KI's management organisation according to [delegation rules](#) as well as competencies related to each principle and action will be involved.

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

Checklist	*Detailed description and duly justification free text 500 words maximum
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<p>How will the implementation committee and/or steering group regularly oversee progress?</p>	<p>An implementation Committee, appointed by the president, will be instituted to supervise the implementation of the actions. The implementation Committee will be in charge of the Internal Review after 24 months. A report on the progress of implementation the actions will be compiled. The Report will be basis for the revised Action Plan.</p>
<p>How do you intend to involve the research community, your main stakeholders, in the implementation process?</p>	<p>All parts of the university (students, technical-administrative staff, researchers from R1 to R4, all departments, the faculty, committees, administration, unions, junior faculty etc) will be involved. A thorough process of planning, controlling, monitoring will be decided upon.</p>
<p>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.</p>	<p>The HRS4R is in line with Strategy 2030, KI's strategy and operational plan. Description of Strategy 2030 please see Gap analysis – process.</p>
<p>How will you ensure that the proposed actions are implemented?</p>	<p>The Action Plan will be incorporated into the regular, annual, process of planning, controlling and monitoring of the operations at KI. Directives will be given, and the responsible units and other parties will report their progress twice a year.</p>
<p>How will you monitor progress (timeline)?</p>	<p>The actions and its content will be formalised and transmitted to relevant responsible unit. On a regular basis a follow up will be performed and a progress report send to the Steering Committee.</p>
<p>How will you measure progress (indicators) in view of the next assessment?</p>	<p>The project manager will on an annual basis present the indicators and status to the University Management.</p>

Additional remarks/comments about the proposed implementation process:

(free text, 1000 words maximum)