

HR Award for Karolinska Institutet

Internal Review for Interim Assessment

Case number: 2018SE360661

Name Organisation under review: Karolinska Institutet

1. Organisational Information

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) *	5363
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	75600000
Annual organisational direct government funding (designated for research)	28413000
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	15388000
Annual funding from private, non-government sources, designated for research	12427000

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

Ethical and professional aspects *

Strengths and Weaknesses (Initial Phase)

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.

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 various levels for all target groups are available.

During recent years, major improvements have been made regarding ethical and professional aspects. In order to give proactive support to the management and KI's 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 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.

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.

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.

Strengths and Weaknesses (Interim Assessment)

Ethics is a particularly important area for Karolinska Institutet and relevant for all activities and parts of the university. Apart from above mentioned initiatives, functionalities, and actions, a structured and informative webpage has been put in place targeting all groups (students, researchers F1-F4, administrators, technical staff). The webpage gives information and functions on ethics at KI including who is who, who does what, possibility to ask for advice, useful links to useful sources on ethical issues, rules and guidelines, literature, and education. Furthermore, a function for whistleblowing on research is available, a web training on Research ethics to all researchers at KI, includes an introduction to research ethics, Research on humans, Research misconduct, Ethical publishing, Being a researcher at a university / an authority in Sweden, Research under other regulations etc. The two major actions mentioned in the initial phase (guidelines for research and quality assurance work) has been fulfilled according to plan.

One important and now extended action linked to ethics that continuously is to be prioritised is information in English. Almost all information (guidelines, webpages etc.) at KI is available in English so those international researchers having good support and guidance. Much work has been done the recent years, but one issue related to this is that the National Swedish Ethics Review Authority does not translate neither information nor documents related to application for ethical permission into English. This is problematic for researchers who are not fluent in Swedish whereby support for this is made available.

<https://ki.se/en/about/ethics-at-ki>

Recruitment and selection *

Strengths and Weaknesses (Initial Phase)

KI's strengths and weaknesses are reflected in the current strategy - Strategy 2030. 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.

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 a number of 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.).

Strengths and Weaknesses (Interim Assessment)

Strengths

Strengths in terms of recruitment and selection with both revised and newly implemented governing documents regarding research and teaching staff is implemented. Since the application was approved in 2020, KI has formulated and implemented several governing documents and rules aimed at further clarify recruitment and selection.

This includes

- a revised appointment procedure,
- new rules for docents,
- rules regarding other positions than teaching positions,
- complementing the already existing appointment procedure for teachers and
- the instructions to the appointment procedure.

Above all, the new regulations mean a broadening of career paths for teaching and research staff, but also for staff in research support. The work has begun to, if possible, further, to broaden career paths for staff in research support and then especially for KI's core facilities (new action).

The new governing documents and rules implies clearer and alternative career paths for people already employed and for people who want to apply for employment at KI. The new rules regulate several existing and new positions i.e., Post-doctoral Fellow, Senior Researcher, Research Specialist and Senior Research Specialist.

OTM-R: 2, 6, 7, 9, 11, 16-19, 22

Weaknesses

One weakness, or overhead challenge, within recruitment and selection lies in the difficulties of recruiting internationally, increase mobility within and outside Sweden and between different sectors, and to achieve an even or more even gender distribution of e.g. professors. (new action)

Other challenges are to dimension and adapt career paths for such different activities and research fields that exist within KI. (action)

OTM-R: 7-8

Working conditions *

Strengths and Weaknesses (Initial Phase)

KI shall be characterized by a good physical, organizational, 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 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.

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.

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. Complain/appeals and 35. Participation in decision-making bodies.

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.

Strengths and Weaknesses (Interim Assessment)

Strengths

The internal work of strengthening and developing good working conditions is constantly ongoing and involves many managers and employees (including researchers) in the organisation at various levels. When applying, KI was able to state that nine principles were fully implemented, but that there were gaps regarding the four principles, 23. Research environment, 24. Working conditions, 27. Gender balance and 29. Value of mobility. Since the application, the focus has been on Action 6 and Action 9, which aims to strengthen and develop the principle 24. Working conditions and 29. Value of mobility.

As part of KI's regular quality assurance and follow up KI conducts on regular basis an employee survey. In March - April 2022 all employees were given the opportunity to convey their experience of the work environment, commitment and organization at their department and at KI as a whole. A high response frequency in combination with high, positive results in the categories of Employee engagement (76 per cent) and Leadership (81 per cent) with increases of 5 and 6 percentage points respectively from the last employee survey is crucial for the university to continue to develop and improve its operations as well as to implement the European Charter and Code at all levels. The purpose of the survey is to get an idea of what employees think about their work and about KI as an employer, to give managers and employees a material to use in the improvement work so that we focus on the right things, find strengths and development potential and be a help in make the right decision and be able to make a comparison of results over time, and against their own and other industries. The results from the employee survey when completely analysed will in all probability show a number of areas for improvement and involve actions to develop parts that will strengthen 23. Research environment, 24. Working conditions and 27. Gender balance.

Weaknesses

Although high, positive results in general in the employee survey, the survey also showed challenges in terms of areas where the results remain low and where the increase is not as clear are Organisation (66 to 69 per cent), which includes clear Organisational structure (55 to 60 per cent). This can mean weaknesses or difficulties in maintaining and developing good physical, organizational, and social (study and) work environment. At the individual level, we also see challenges with recovery and rest for many of our employees. At the time of this review, there are no decided action plans, either at central level or research group level, that meet the above challenges. Responsible research group leaders/managers will be taking on board their employees' opinions by developing the areas that need improving. This is being done in consultation with staff, union and health & safety officers, and with administrative support from the departmental HR offices and planned to be finished autumn 2022. (Action)

Training and development *

Strengths and Weaknesses (Initial Phase)

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.

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.

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 unit is to contribute to the educational development of KI's educational assignments.

Strengths and Weaknesses (Interim Assessment)

Strengths

In recent years, the work of completing and starting new leadership development programs has continued. These include a completed and commenced round of KI Higher Leadership Program for head of departments and head of administration, and several departmental programs such as Future Academic Leadership Program. A leadership development program for managers in business support and core facilities is ongoing. The target group for these programs is primary R3 - Established Researchers and R4 - Leading Researchers.

Furthermore, a revised training for new managers at KI - the majority of these are researchers and research group leaders - which is now given in both Swedish and English, has a higher degree of digital learning, case methodology and new themes such as research support. A complementary effort is to establish a "crash course" for new managers so that they can get into the role and assignment faster (new Action 16). The course is planned to include what a new manager needs to fulfil his or hers responsibilities. There is a clear focus on HR issues and includes much of what is also stated in the Charter & Code - e.g.

recruitment and selection, employees working conditions and training and development for researchers.

Weaknesses

A follow-up introductory day is planned to link the various introductory days that currently exist - one for newly hired staff, one for researchers relocated from outside of Sweden and one for new doctoral students (new Action 19)

The pandemic made it difficult to hold physical meetings within leadership development programs. The programs have been adapted for digital format and also supplemented with digital manager webinars on various themes - effective communication, change management, flexible working methods - teleworking and labour law for managers.

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

The priorities themselves have not changed, neither short- nor medium-term. However, priorities and resources over the past two years have been shaped by the pandemic and the university's transformation of both education and research. During the pandemic, the KI, like other employers and universities, has had a digital transformation which is now important to maintain. Digitalisation can create new opportunities in the work on the priorities within the framework of HRS4R and, in the long term, also lead to new activities and priorities in the area.

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

The pandemic has brought many new challenges but also many new solutions - increased digitalisation was one such way to counteract reduced mobility. A flexible workplace is a solution aimed at enabling employees to work more independently of location and, above all, a concrete opportunity to drive culture change in line with the ambition of KIs 2030 Strategy on trust-based leadership. The flexible working approach will enable better working conditions but also places higher demands on managers and employees. The HR-strategy has not as such changed during this period.

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

At the moment there are no strategic decisions under way that may influence the action plan.

3. Actions

Action 1

Revision of the Guidelines for research at Karolinska Institutet.

GAP Principle(s):

- (+/-) 1. Research freedom
- (+/-) 2. Ethical principles
- (+/-) 3. Professional responsibility
- (+/-) 4. Professional attitude
- (+/-) 5. Contractual and legal obligations
- (+/-) 6. Accountability
- (+/-) 7. Good practice in research
- (+/-) 11. Evaluation/ appraisal systems

Timing (at least by year's quarter/semester):

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

Responsible Unit:

Central Administration, Research support Office/Research Data Office (decision: Committee for Research)

Indicator(s) / Target(s):

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).

Current Status, remarks

The Guidelines for research at Karolinska Institutet (1-21/2021) were adopted by the Committee for research in January 2021 containing sections such as Quality-assured research, Good research conduct, responsibility and ethics (with a new scientific representative for guidance) and Approvals and agreements for research. Parts regarding research documentation and data management have been included in the new Guidelines for research documentation and data management. Reference has also been added to the new Guidelines for the examination of suspected deviations from good research practice. This document is directed towards all researchers and doctoral students at Karolinska Institutet, who should have knowledge on regulations and need to follow those that apply to their own research. The Guidelines for research at KI was prepared in a working group consisting of researchers including a reference group with researchers connected to the Research Data Office and the Legal Unit. To raise awareness, knowledge, and compliance of the Guidelines for research they were communicated to staff in several ways among others through the KI newsletter, the staff

portal (web page), directed e-mail to the heads of the departments (with a request to spread the information at their departments) and open seminars and workshops. In the same process an existing mandatory web-based course for PhD-students in good research data management and documentation was revised. - <https://staff.ki.se/guidelines-for-research> - <https://staff.ki.se/media/99345/download>

Action 2

A new "Guideline on quality assurance regarding research at KI, to create conditions for targeted, systematic and coherent quality development and quality assurance to maintain the highest possible quality.

GAP Principle(s):

- (+/-) 1. Research freedom
- (+/-) 2. Ethical principles
- (+/-) 3. Professional responsibility
- (+/-) 4. Professional attitude
- (+/-) 5. Contractual and legal obligations
- (+/-) 6. Accountability
- (+/-) 7. Good practice in research
- (+/-) 11. Evaluation/ appraisal systems

Timing (at least by year's quarter/semester):

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

Responsible Unit:

Central Administration, Faculty Office and External Relations decision: Committee for Research, Faculty board)

Indicator(s) / Target(s):

Target: A targeted, systematic and coherent quality development and quality assurance to maintain the highest possible quality. Indicator: By Q2 2021 the document is adopted.

Current Status, remarks:

The new "Guideline on quality assurance regarding research at KI" was adopted in March 2022. In order to create conditions for targeted, systematic and coherent quality development and quality assurance to maintain the highest possible quality a quality assurance system based on the national law, European standards and recommendations has been created. KI's quality work is carried out in a cyclical process where the improvement work is planned, implemented, followed up and developed

strategically towards the goals of the respective operations. The Vice-Chancellor decides on regulations for quality work at an overall level. The respective committee and the university director decide on instructions for the quality work within their respective areas of responsibility. The Quality work means continuous improvement work and therefore a new action is planned for. Linked to the new action number 14: Implementation and communication of quality assurance regarding research at KI (GAP principle 1-7, 11)

Action 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.

GAP Principle(s):

(+/-) 10. Non discrimination

(+/-) 27. Gender balance

Timing (at least by year's quarter/semester):

Q1 2020, Review off actions taken including evaluation of progress Q2 2020 Revision of targeted areas Q3 2020 Proposal of revised plan Q4 2020 Decision

Responsible Unit:

Central Administration, Faculty Office and External Relations (final decision: the president after involvement of the vice president and Faculty Board)

Indicator(s) / Target(s):

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.

Current Status, remarks:

The Gender Mainstreaming plan was adopted in January 2021. Decided by the president and drafted with the Faculty Board, Vice President, Committee for Doctoral Education, Committee for Research, Faculty Office and External Relations, managers and employees in various areas of activity, HR Office, including Head of HR Office. The plan describes the development needs, goals and activities. The plan has been communicated to all relevant target groups (incl. researchers R1-R4 and management).

Action 4

Investigate and propose changes regarding career paths for teachers and researchers and clarify the scientific and educational merits. (+ OTM-R nr. 6, 16, 17, 19)

GAP Principle(s):

(+/-) 12. Recruitment

(+/-) 13. Recruitment (Code)

(+/-) 16. Judging merit (Code)

(-/+) 18. Recognition of mobility experience (Code)

(+/-) 21. Postdoctoral appointments (Code)

Timing (at least by year's quarter/semester):

Q1 2020 Investigation and benchmarking Q2 2020 Stakeholders input proposal Q3 2020 Proposal and decision

Responsible Unit:

HR-Office/ Competence Provision Unit (decision: Faculty Board)

Indicator(s) / Target(s):

Target: Predictable and transparent career paths with adaptation of new regulations. Decisions on new/revised career paths will have impact on/for researchers at levels R2 and R3 in particular.

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 that the career period from PhD to level R4 is often (at least) 12 years, but usually longer.

Current Status, remarks:

The target mentioned was achieved according plan i.e., Implementation of a new career structure for teachers and researcher and Implementation of new rules for docent (associate professor) in July 2020 in order to clarify the scientific and educational merits. (links to OTM-R nr. 6, 16, 17, 19)

Implementation of a new career structure. On 1st July 2021 KI implemented a career structure for an academic career with the aim of offering a clear career path for academic staff. The new rules, "Rules regarding other positions than teaching positions" complement the already existing appointment procedure for teachers and the instructions to the appointment procedure. The new rules regulate the positions post doctoral fellow, senior researcher, research specialist and senior research specialist. One further new position, Assistant Senior Lecturer, is regulated in the Appointment Procedure for Teachers. Before implementation the following stakeholders were consulted: the Head of Departments, Head of Administrations, the deans, HR staff at the departments, Junior Faculty, trade unions, the Recruitment Committee, the Working Group on Skills Provision and the Legal Department. The final decision on the rules was taken by the KI President. Overview of regulations and rules governing recruitment at KI: <https://staff.ki.se/recruitment-regulations-and-legislation>

Overall career structure for academic staff at KI: <https://staff.ki.se/career-structure-for-academic->

staff Rules regarding other positions than teaching positions:

<https://staff.ki.se/media/108585/download> Implementation of new rules for docent (associate professor) in July 2020. The title of Docent is a nationally well known and recognised indicator of scientific and pedagogical expertise. Obtaining a docentur implies that the holder has achieved a degree of independence such that he or she can lead, supervise and evaluate research and academic instruction. Rule changes included providing one “track” instead of two (research or research and education) ; equate teaching on doctoral education level to teaching in first and second cycle levels, thereby enabling more non-Swedish speaking researchers to obtain the teaching experience needed. This change takes into consideration the breadth and scope of doctoral education provided by KI. Before implementation the following stakeholders were consulted: Head of Departments, deans, trade unions, Junior Faculty, the Committees. Final decision made by the Faculty Board. The impact of the change has been evaluated during 2022. The result of the evaluation shows that more applications are approved after the rule change. In the years 2013-2017, 31 percent of the applications were denied whilst for the first year of the new rules 2020-2021, only 12 percent were denied. The Docent Committee has also seen an increase in the number of applications, with 140 applications in the first year, compared to around 100/year during 2013-2017. This is most likely a result of lowering the threshold for docent which means more people can apply. About docent at KI: <https://staff.ki.se/docent> Rules for docent at KI: <https://medarbetare.ki.se/media/65275/download> Instructions for Rules for docent: <https://staff.ki.se/media/65375/download> Linked to new actions: New action 15: Investigate and propose changes in the rules governing the appointment procedure for teachers New action 16 Investigate and propose possible new position for staff within KI’s core facilities (connected to the implementation of a new career structure) New action 17: That for 2021 – 2024, 3 percent of all research and teaching staff are Assistant Professors. New action 18: Implement a “crash course” for new managers. New action 19: Implement a follow-up introductory day.

Action 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).

GAP Principle(s)

(+/-) 12. Recruitment

(+/-) 13. Recruitment (Code)

(+/-) 16. Judging merit (Code)

Timing (at least by year’s quarter/semester):

Q3 2020 Investigation and benchmarking Q1 2021 Stakeholders input proposal Q3 2021 Proposal Q4 2021 Decision

Responsible Unit:

Central Administration, Faculty Office and External Relations (decision: Faculty Board and the committees for research/education)

Indicator(s) / Target(s):

Target: Strengthened relationship between education and research. Adaptation of new regulations.
Indicator: Implemented Q4 2021 (Action nr 5 is linked to and dependent on action nr 4).

Current Status, remarks:

In order to ensure that the recruitment of permanent teacher positions based on both the needs of education and research (and strengthen the relationship between them) has been successfully completed (Action nr 5 is linked to and dependent on action nr 4). The initiative was taken in a strategic effort to reinforce the educational development of KI's programmes and to improve the conditions for a close collaboration between research and education with the recruitment of up to nine new Professors (or Senior Lecturers) with a focus on research and education. The appointed professors are expected to assume a large responsibility in leading the development of educational activities within their field, in order to ensure a high-quality education with strong ties to research. Each appointment is combined with a bonus of SEK 1 million for three years. The initiative will be followed-up on an annual basis, and an evaluation is carried out after the full period. So far five Professors and one Senior Lecturer have been recruited within the central strategic initiative. Another three recruitment's are ongoing with the goal of finalising all three in 2022. Please also see Action nr 4 for further information as these two actions are connected.

Action 6

Create better balance and coordination between the educational and research assignments in the existing teaching profession.

GAP Principle(s):

(-/+) 18. Recognition of mobility experience (Code)

(+/-) 24. Working conditions

Timing (at least by year's quarter/semester):

Q3 2020 Investigation and benchmarking Q1 2021 Stakeholders input proposal Q3 2021 Proposal Q4 2021 Decision

Responsible Unit:

Central Administration, Faculty Office and External Relations (decision: Faculty Board and committees for research/education)

Indicator(s) / Target(s):

Target: Clear requirements for employment and in areas of responsibility and duties for staff teachers. Indicator: Increased proportion of teachers who actively research and teach.

Current Status, remarks

To target clearer requirements for employment and in areas of responsibility and duties for staff teachers different ways has been addressed. Overall an increased proportion of teachers who actively research and teach has been achieved. New regulations for the relationship between education and research (1-410/2020) were adapted on the 27th of October 2021 by the Faculty Board (the overall strategic decision-making body with responsibility for education, research, and

outreach work at the faculty). Please see above under action nr 5 regarding strategic recruitment of up to nine Professors/Senior Lecturers with focus on education and research. In addition to the positions in the Rules regarding other positions than teaching positions, one further teaching position has been implemented in order to create better balance and coordination: Assistant Senior Lecturer. The implementation process of this new position was the same as for those regulated in the above mentioned rules (please see Action 4 for further information). The Assistant Senior Lecturer is regulated in the Appointments procedure for teachers. Since it is a teaching position with main tasks in teaching, high demands are placed on teaching expertise.

Action 7

Identify areas in which there is a lack of teacher capacity and develop action plans to ensure teacher capacity in these areas.

GAP Principle(s)

(+/-) 12. Recruitment

Timing (at least by year's quarter/semester):

Q3 2020 Investigation and benchmarking Q1 2023 Stakeholders input proposal Q3 2023 Proposal Q4 2024 Decision

Responsible Unit:

Central Administration, Faculty Office and External Relations (decision: Academic vice president for higher education)

Indicator(s) / Target(s):

Target: GAP analyses and action plans. Indicator: Adapted GAP analyses and action plan by Q4 2024.

Current Status, remarks:

The action to investigate and propose actions in areas where there is a lack of teacher and researcher capacity as well as dimensioning on different service levels has been as well completed and extended according plan. A working group was tasked with presenting a report on teacher capacity and dimensioning. The working group consisted of the Academic Vice President for research, Academic Vice President for education, a number of Heads of Department, teacher representatives, a representative from Junior Faculty, HR, and a student representative. The group's assignment was threefold: Inventory and competence provision of employment of teaching and research staff / Review of the recruitment process of Senior Lecturers and Professors / Proposals for strengthening career development and career support for junior researchers and teachers. The following stakeholders were consulted before the report was presented to the Faculty Board: departments, deans, committees, the Recruitment Committee, trade unions, Departmental Directors of Education, Program Directors. The group's report was presented to the Faculty Board in August 2021. The Faculty Board decided to move forward with a number of the group's proposals: Dimensioning: - Increase visibility of Senior Lecturers on the KI website, similar to that of Professors <https://ki.se/en/research/professors-at-ki> - Clarify career path on the website. <https://staff.ki.se/career-structure-for-academic-staff> - Clarify the assignment for Professors and Senior Lecturers - Assignment to specialised higher management group to investigate financing

models for distributing funds to fund the employment of research and teaching staff. Discuss the need for a better basis for decision making and a better overview regarding recruitment on Professor and Senior Lecturer levels. There is a need for a function to improve the preparation before recruiting a Professor/Senior Lecturer. Recruitment process/Career support: - Implement more Consolidator grants for junior researchers - Update checklist to clarify the recruitment process of Senior Lecturers and Professors. - Introduce time plans for recruitment of Senior Lecturers and Professors - Recommend that the Departments introduce Department Seminars for candidates who have applied for a Professorship/Senior Lectureship - Departmental Directors of Education should be involved in the recruitment process - Use the pedagogical assessment group's support in the recruitment process when applicable - Investing in career development for junior researchers and support Assistant Professors when they start at KI and by conducting half-time controls. Several of the above proposals are ongoing and KI will continue to work with them. New action 20: Update internal check lists and instructions for the recruitment of Senior Lecturers and Professors.

Action 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.

GAP Principle(s):

(+/-) 23. Research environment

Timing (at least by year's quarter/semester):

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

Responsible Unit:

Central Administration, Faculty Office and External Relations

Indicator(s) / Target(s):

Target: To ensure that research and education have the best environment to reach higher quality. To optimize the use of research funding. Indicator: increased use and improvements of infrastructure and education environment.

Current Status, remarks:

The plan for KI's infrastructure for education, doctoral education and research, named "Strategy for Karolinska Institutet's research infrastructure 2021 – 2024" has been adopted according to plan. In recent years, KI has made a number of strategic recruitment's, especially of international researchers, developed new research fields and established new research methodologies. It is important for KI to offer relevant infrastructure for research and education to reach their full potential. KI has invested heavily in premises and research infrastructure, a process that culminated in 2018, when 80 per cent of the experimental research relocated into new premises designed and equipped to meet the needs of the future. This strategy has 2024 as its target year, but will be subjected to an updating annually or whenever it is deemed warranted. An accompanying action

plan describes a number of activities, which are to be allocated the necessary time and resources, as well as responsibilities for ensuring that the strategy is implementable. The implementation of the activities defined in the action plan will be followed up annually, with goal fulfilment measured quantitatively and qualitatively through surveys and interviews with KI researchers, research infrastructure representatives and outside parties. The increased use and improvements of infrastructure and education environment can be seen through among others the accessibility, long-term planning, coordination, follow up, dialogues, investments and training.

<https://staff.ki.se/research-infrastructure-strategy>

<https://staff.ki.se/media/117565/download?attachment>

Action 9

Develop the relocation services for international staff.

GAP Principle(s)

(+/-) 24. Working conditions

(+/-) 29. Value of mobility

Timing (at least by year's quarter/semester):

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 based on the follow-up Q2 2021 Implement developed relocation services.

Responsible Unit:

HR-Office/ Competence Provision Unit

Indicator(s) / Target(s):

Target: Contract on current and new services with relocation companies and developed services and support through the Stockholm Academic Forum. Revised processes, new services offered and, faster relocation for individual employees. 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.

Current Status, remarks:

The contract on relocation services has been signed and new services offered (as of Q1/Q2 2021).

The new contract focuses more on accessibility and expertise within e.g. tax issues.

<https://staff.ki.se/checklist-for-administration-of-international-staff> . The HR department, through the newly procured contract, are also offering relocation support to all the international Assistant Professors recruited through the central initiative for Assistant Professors. This is expected to speed up the relocation to Sweden and support the Assistant Professors and their partners/families in their decision to move to Sweden. In addition, the new Assistant Professors get a mentor from Junior

Faculty. Central initiative for recruitment of Assistant Professors in Medical Science:
<https://staff.ki.se/positions-as-assistant-professor-in-medical-science>

Action 10

Give teachers the opportunity for pedagogical skills development.

GAP Principle(s)

(+/-) 24. Working conditions

Timing (at least by year's quarter/semester):

Q2 2020 Planning and review of current status Q4 2020 Collection of stakeholders input Q2 2021
Proposal Q4 2021 Decision and implementation of actions

Responsible Unit:

Central Administration, Faculty Office and External Relations (decision: Faculty board)

Indicator(s) / Target(s):

Target: education should be characterised by a well-developed and modern pedagogy Indicator:
Number of courses / courses offered. Number of people who have completed courses.

Current Status, remarks:

A new unit "Teaching and Learning" (TL) is established and works as the educational unit of Karolinska Institutet. The overall purpose of the unit is to contribute to the pedagogical development of KI's assignment. All teachers at KI can use the same possibilities for pedagogical skills development. The number of courses and the number of people who have completed courses on the subject has increased significantly. There has been several initiatives to achieve an education characterized by a well-developed and modern pedagogy for pedagogical skills development, among others Introduction of pedagogical ambassadors that are a new way of raising educational issues and stimulating pedagogical development in doctoral education, courses at different levels and areas in order to develop pedagogical skills and course in designing doctoral courses, workshops on team-based learning, a collection of tools and resources which can be used for distance teaching and learning, and tips on how to get started, support in Canvas, media production, digital tools, or personal support. A possibility to get funded for pedagogical skills development is given and a KI Pedagogical Academy consisting of teachers who demonstrate skills above and beyond those seen in ordinary teaching and learning at KI is put in place.

Action 11

Development of (better) information about our recruitment processes and selection criteria to potential and actual applicants for different positions. Information about internal career paths. OTM-R Checklist: 10, 20-21.

GAP Principle(s)

(+/-) 15. Transparency (Code)

Timing (at least by year's quarter/semester):

Q1 2023 Review existing information on the web, ads etc. Q2-Q3 2023 See what information needs to be revised and supplemented based on, among other things HRS4R. Q4 2024 Update (revised and supplemented) information.

Responsible Unit:

HR-Office/ Competence Provision Unit

Indicator(s) / Target(s):

Target: Published information on external and internal websites. Indicator: For external and internal candidates there is clear information about our recruitment processes etc. In addition to 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.

Current Status, remarks:

Extended due to revised governing documents and the work in progress with revisions of existing governing documents and preparation of new governing documents. When adapting the new rules for docent (<https://staff.ki.se/docent>) as well as the "Rules regarding other positions than teaching positions" the relevant actors have updated the information on the KI website to make the information clearer and more accessible (<https://staff.ki.se/career-structure-for-academic-staff>). For example on the docent webpage all relevant information is gathered on one page where applicants can read about the regulations, the meaning of the title docent, the application process as well as a detailed explanation of how to apply. The importance of improving information has been highlighted internally at KI and there are several ongoing projects to provide clearer information for those employed at levels R2 – R4. - <https://staff.ki.se/docent> - <https://staff.ki.se/career-structure-for-academic-staff>

Action 12

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. OTM-R Checklist:4, 5, 10, 21, 23.

GAP Principle(s):

(+/-) 12. Recruitment

Timing (at least by year's quarter/semester):

Q4 2020 Study of extended functionality Q1 2021 Review of study and order of extended functionality from our system supplier Q2 2021 Implementation of new, extended functionality

Responsible Unit:

HR-Office/ Competence Provision Unit

Indicator(s) / Target(s):

Target: New/extended functionality and data derived from this provides decision basis for changed routines etc. lead to best possible recruitments. Indicator: Extended functionality in the digital recruitment system.

Current Status, remarks:

A well functioning quality control system assessing the OTM-R processes for the best possible recruitment with a new, extended and transparent functionality for the best possible recruitment is in place. All steps of the recruitment process are managed through a dedicated online application and evaluation platform. Several extended functionalities are in place, making the process more transparent, efficient, open, supportive and of higher quality. Data derived from the system is among others providing decision basis for follow-up, changed routines and reporting. Information of the review process for open positions (published for applicants), notes and other indicator for the recruiters, the eligibility review process, notifications to the applicants and involved staff within the process is made within the system. For all eligibility procedures, the interviews, the selection, the decision, and the reply to applicants are as well included in the system. At the moment this action is considered completed but is constantly open for future innovations. OTM-R Checklist: 4, 5, 10, 21, 23.

Action 13

Translation of relevant documents into English

GAP Principle(s):

(+/-) 1. Research freedom

(+/-) 2. Ethical principles

(+/-) 3. Professional responsibility

(+/-) 4. Professional attitude

(+/-) 5. Contractual and legal obligations

(+/-) 6. Accountability

(+/-) 7. Good practice in research

(+/-) 11. Evaluation/ appraisal systems

(+/-) 12. Recruitment

Timing (at least by year's quarter/semester)

Q2 2020 review Q4 2020 translations completed and published

Responsible Unit:

Central Administration, Faculty Office and External Relations and HR-Office/ Competence Provision Unit

Indicator(s) / Target(s):

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.

Current Status, remarks

To work to produce a majority of all internal documents in English on the website and to ensure the availability to incoming researchers has been achieved accordingly. All relevant rules and regulations are translated into English, please see e.g. <https://staff.ki.se/rules-and-guidelines-a-z>. Some of the local collective agreements are not translated because we believe there is a risk that the translation will lead to misunderstandings. However, KI are aiming to publish an explanatory webpage about collective agreements during Q4 2022. Having documents translated into English has been integrated into our way of working and translating new documents into English has become a natural part of the process. New documents are continuously published so this is an ongoing process - KI will continue to aim towards having 90 % of the documents translated into English. (new action)

Action 14 (NEW)

Planning, implementation, and communication of quality assurance regarding research

GAP Principle(s)

- (+/-) 1. Research freedom
- (+/-) 2. Ethical principles
- (+/-) 3. Professional responsibility
- (+/-) 4. Professional attitude
- (+/-) 5. Contractual and legal obligations
- (+/-) 6. Accountability
- (+/-) 7. Good practice in research
- (+/-) 11. Evaluation/ appraisal systems

Timing (at least by year's quarter/semester):

- Q3 2022, Planning and initiating strategy and process for regularly follow up and continuously collect, analyse and use relevant information regarding the quality and relevance of research. This serves as a basis for quality enhancement, strategic decisions and setting priorities.
- Q4 2023, Communication and implementation of follow up strategy
- Q2 2023, Planning of structures for recurrent reviews of research at KI from a national and international perspective supported by peer review.
- Q2 2024, Establishing the follow up strategy and timetable for recurrent review.
- Q4 2024, Planning of recurrent review

Responsible Unit:

Central Administration, Faculty Office and External Relations (decision: Vice- Chancellor after preparation with the coordination group for quality work)

Indicator(s) / Target(s):

Indicator: By Q4 2024 the quality assurance processes are significant improved and a natural and integrated process visible in all steps of relevance. Target: A targeted, systematic and coherent quality development and quality assurance to maintain the highest possible quality.

Action 15 (NEW)

Investigate and propose changes in the rules governing the appointment procedure for teachers OTM-R 6, 7, 19.

GAP Principle(s):

(+/-) 12. Recruitment

(+/-) 13. Recruitment (Code)

(+/-) 16. Judging merit (Code)

Timing (at least by year's quarter/semester):

Q3 2022, consultation with stakeholders Q1 - Q2 2023 implementation

Responsible Unit:

HR-Office/ Competence Provision Unit

Indicator(s) / Target(s):

Target: Revised regulatory document decided and implemented by Q2 2023. Indicator: A more accessible regulatory document which will result in clearer scientific and educational merits, enabling applicants to better understand the level of merit required for each position.

Remarks

KI has identified a need to clarify the scientific and educational merits for teachers by restructuring the instructions to the appointment procedure for teachers.

Action 16 (NEW)

Investigate and propose possible new position for staff within KI's core facilities OTM-R 7, 9.

GAP Principle(s):

(+/-) 12. Recruitment

(+/-) 13. Recruitment (Code)

(+/-) 16. Judging merit (Code)

(-/+) 18. Recognition of mobility experience (Code)

(+/-) 21. Postdoctoral appointments (Code)

Timing (at least by year's quarter/semester):

Q3 2022, Investigation on the need for a new position done Q1 2023, proposal of new position Q3 2023, implementation.

Responsible Unit:

HR-Office/ Competence Provision Unit

Indicator(s) / Target(s):

Target: Regulatory document decided and implemented by Q3 2023. Indicator: A accessible regulatory document which will result in clearer career tracks to better understand the level of merit required for each position. This will be of importance for KI itself but also possible applicants and staff within KI's core facilities.

Remarks:

Whilst developing the new rules mentioned above a need for a position for staff within KI's core facilities have been identified. This position would focus on staff with competence in technical advancements and method development. (connected to Implementation of a new career structure) <https://ki.se/en/research/core-facilities-for-research>.

Action 17 (NEW)

That for 2021 –2024, 3 percent of all research and teaching staff are Assistant Professors OTM-R 7, 9.

GAP Principle(s):

(+/-) 12. Recruitment

(+/-) 13. Recruitment (Code)

(+/-) 16. Judging merit (Code)

(-/+) 18. Recognition of mobility experience (Code)

(+/-) 21. Postdoctoral appointments (Code)

Timing (at least by year's quarter/semester):

Q4 2024 - The target period refers to 2021-2024 where the target must be achieved by the end of 2024.

Responsible Unit:

HR-Office/ Competence Provision Unit

Indicator(s) / Target(s):

Target: Create better opportunities for a career path where there is a possibility to be promoted.
Indicator: 3% of teaching and research staff to be Assistant Professors

Remarks:

The Swedish government has mandated that each university sets a recruitment goal for Assistant Professors. KI's goal is that 3 percent of all research and teaching staff are Assistant Professors 2021-2024. Assistant Professors have a right to be assessed for promotion to Senior Lecturer so increasing the number of Assistant Professors will create further career opportunities, as there is a possibility of promotion.

Action 18 (NEW)

Implementation of a "crash course" for new managers OTM-R: 6, 7.

GAP Principle(s):

(+/-) 24. Working conditions

(++) 38. Continuing Professional Development

Timing (at least by year's quarter/semester):

Q3 2022 planning, Q4 2022, implementation

Responsible Unit:

HR-Office/ Competence Provision Unit

Indicator(s) / Target(s):

Target: Create better conditions for new research group leaders, both for themselves in their role as manager and research leader but also for the research group in general. Indicator: The goal is for 15-30 new managers to undergo the "crash course" each year.

Action 19 (NEW)

Implement a follow-up introductory day OTM-R: 6, 7.

GAP Principle(s):

(+/-) 24. Working conditions

(++) 38. Continuing Professional Development

Timing (at least by year's quarter/semester):

Q4 2022, implementation

Responsible Unit:

HR-Office/ Competence Provision Unit

Indicator(s) / Target(s):

Target: Create better conditions for new research group leaders, both for themselves in their role as manager and research leader but also for the research group in general. Indicator: A test round of the follow-up introductory day is scheduled for Q4 later this year with the goal of getting at least 100 participants. Corresponding goals are expected to apply for future introductory days.

Action 20 (NEW)

Update internal check lists and instructions for the recruitment of Senior Lecturers and Professors. OTM-R: 2, 11, 15, 16, 17, 18, 19.

GAP Principle(s)

(+/-) 12. Recruitment

(+/-) 15. Transparency (Code)

Timing (at least by year's quarter/semester):

Q1 2023 Updated and communicated Q1 2024 Follow up

Responsible Unit:

HR-Office/ Competence Provision Unit

Indicator(s) / Target(s):

Target: Finalised and communicated check lists and instructions. Indicator: Improved internal checklists and instructions. Visible through number of downloads from webpage and less questions regarding recruitment to the recruiters.

Action 21 (NEW)

Translation of relevant documents into English

GAP Principle(s):

(+/-) 1. Research freedom

(+/-) 2. Ethical principles

(+/-) 3. Professional responsibility

(+/-) 4. Professional attitude

(+/-) 5. Contractual and legal obligations

(+/-) 6. Accountability

(+/-) 7. Good practice in research

(+/-) 11. Evaluation/ appraisal systems

Timing (at least by year's quarter/semester):

Q3 2022 review Q4 2023 translations completed and published

Responsible Unit:

Central Administration, Faculty Office and External Relations

Indicator(s) / Target(s):

Target: Translated documents published on KI's website. Indicator: By Q3 2022 review of documents on the web site By Q4 2023 90% of the documents on the web site should be translated into English.

Action 22 (NEW)

Establishment of a KI Research Incubator

GAP Principle(s)

(+/-) 1. Research freedom

(+/-) 3. Professional responsibility

(+/-) 4. Professional attitude

(++) 9. Public engagement

(++) 28. Career development

(++) 30. Access to career advice

(++) 38. Continuing Professional Development

Timing (at least by year's quarter/semester):

Q3 2022 Planning Q4 2023 Implementation Q3 2025 Follow up

Responsible Unit

Central Administration, Faculty Office and External Relations

Indicator(s) / Target(s):

Target: Give excellent opportunities to develop the talents and achieve the goals of Junior researchers In the long run to promote creative thinking and cutting-edge research with groundbreaking discoveries that can address the major medical and health needs of the future. Indicator: establishing a KI Research Incubator.

Remarks:

Junior researchers must be given excellent opportunities to develop their talents and achieve their goals. This is a prerequisite for creative thinking and cutting-edge research. In 2020, the Committee for Research commissioned a working group to identify the best actions to stimulate curiosity and groundbreaking research. The working group concluded that to enable junior researchers to think in new ways and to break new ground, a new research environment needs to be established. The basis of such an environment should be to bring together researchers from different scientific fields and disciplines with the ambition to drive innovation collaboratively.

Unselected principles:

(++) 8. Dissemination, exploitation of results (++) 14. Selection (Code) (++) 17. Variations in the chronological order of CVs (Code) (++) 19. Recognition of qualifications (Code) (++) 20. Seniority (Code) (++) 22. Recognition of the profession (++) 25. Stability and permanence of employment (++) 26. Funding and salaries (++) 31. Intellectual Property Rights (++) 32. Co-authorship (++) 33. Teaching (++) 34. Complains/ appeals (++) 35. Participation in decision-making bodies (++) 36. Relation with supervisors (++) 37. Supervision and managerial duties (++) 39. Access to research training and continuous development (++) 40. Supervision

The OTM-R policy

URL *:

<https://ki.se/en/about/the-human-resources-strategy-for-researchers-hrs4r>

Comments on the implementation of the OTM-R principles (Initial Phase)

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 attract 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 is 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.

Comments on the implementation of the OTM-R principles (Internal Review for Interim Assessment)

- New initiatives regarding OTM-R since the start of the initial phase is among others
 - continuous integration of OTM-R into to HR strategy.
 - a dedicated webpage with KI:s OTM-R policy that is published online in English and Swedish.
 - a new employment framework that clarifies the different positions, requirements for employment and detailed tasks, etc. for researchers who wish to apply to the KI.
 - a more coherent career structure with positions that are used across the KI and that are internationally and nationally viable, will increase an open, transparent and merit-based recruitment.
 - a video-interviewing-tool that in 2022 will be available for recruiters and people applying.
 - for 2023, a possible digital and automated solution for reference checks may be introduced to increase quality and security.
 - KI monitored the candidate experience of all those who did not receive a job offer at KI. The survey showed that very many were satisfied, even if they did not receive a job offer, as they received prompt and clear feedback that they were not offered to move forward in the process and also why.
 - KI has launched an e-learning course in recruitment, which includes OTM-R. This training is available to all recruiting managers, supervisors and HR.

Ideally, the extended version of the reviewed OTM-R policy and actions should be published on your organisation's website.

Please provide the web link to the OTM-R dedicated webpage(s) if it is different than the one where the reviewed HR Strategy is located.

URL: <https://ki.se/en/about/open-transparent-and-merit-based-recruitment>

4. Implementation

General overview of the implementation process:

As 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 (the chief executive of KI) is project owner.

The work and the preparation of the internal review has been a continuous process since the award. A detailed project plan and organization set up facilitated the review. The project plan included among others resource allocation, milestones, deliverables, risk mitigation plan, dependencies between HRS4R actions and other actions within KIs other strategies and the KI Strategy 2030 and management plan.

To guarantee a solid review people with high expertise, broad representation and engagement from as well KI's administration as the research community (R1-R4) participated. The strategy process 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. The HRS4R process engaged all management departments directly or indirectly responsible for researcher's development at KI. KI's management organisation according to delegation rules as well as competencies related to each principle and action has been involved, involving several university-wide positions, units and bodies. To mention the vice president, the university director, the faculty board, the committee of research, the academic vice president for Research, the committee of doctoral education, the committee of education, Recruitment Committee, and university support functions. The central administration participated and then mainly the student support office i.e., the Executive and Professional Education Unit, the Study Administration Unit, the Unit for Admissions, Graduation and Dissertation, the Faculty Office and International Relations i.e., the Sustainable Development and Equal Opportunities Office, Research and Doctoral Education Office, Education - first and second cycle office and the HR Office.

The staff working with the implementation and the review has had regular meetings, brainstormings etc regularly throughout the two years since the application was approved. During these meetings, activities have been progressed, the action plan has been followed up in detail. Outside the meetings, the group members have been responsible for driving the work with the implementation of the action plan at KI.

How have you prepared the internal review? *

In order to guarantee a solid implementation, it was already with the endorsement letter back in 2018 important to involve KIs management including steering groups, Head of operations but also student representatives, the unions, the postdoc association, researchers etc. It has also been important that this work is linked with other strategies goals and objectives in progress and decided at KI. It is mandatory that the KI-HRS4R strategy must be very well anchored, integrated and embedded in order to reach the best outcome for our researchers (R1-R4) (including technical and administrative staff) and to fully implement all parts of the Charter and Code. Further the national legislation has changed during the time and KI have adapted to it, also some actions reflect this. These new actions

match the gaps identified in the Gap Analysis and the actions planned in order to make sure all gaps are addressed throughout the HRS4R process, based on the KIs own priorities and tactics.

With this in mind the project plan (dnr 1-753/2020) and the different steps was developed.

Please see also text in the above section "General overview of the implementation process:"

How have you involved the research community, your main stakeholders, in the implementation process? *

The involvement of the research community has been an important part of the implementation process. Researchers R1 - R4 has been part in all actions and the decision thereof. According to national law and the rules at KI researchers need to be part of all decisions of relevance. KI has a well structured process for this and following as well within the HRS4R process.

Do you have an implementation committee and/or steering group regularly overseeing progress? *

Yes on regular basis. The project client is the President, project owner is the University Director and the implementation committee/Steering group is consisting of the vice president, Head of Office HR Office, Head of Office Research Support Office, Head of Office, Faculty Office and International Relations and Head of Unit Research and Doctoral Education. There is a project leader that worked on the project since the beginning. Different groups and constellations is described as well above in the general overview.

Is there any alignment of organisational policies with the HRS4R? For example, is the HRS4R recognized in the organisation's research strategy, overarching HR policy *

Yes. Since the start this has been of very importance for KI.

How has your organisation ensured that the proposed actions would be also implemented? *

Each action has a responsible unit with a responsible contact person. Each action is decided as priority from the management. Furthermore each action is well anchored in the policies and in the operationions.

How are you monitoring progress (timeline)? *

As during the initial phase, the project Group and the Steering group follows up on progress of the activity plan during their regular meetings. All activities in the action plan have one or two representatives in the Implementation Group who are responsible for reporting on updates, progress, and planned completion.

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

Immediately after the implementation phase the HRS4R Steering group will discuss the next phase in more detail. The work will be in a similar way. Each action has detailed planning with detailed targets and indicators.

How do you expect to prepare for the external review? *

In the same way as for the implementation phase but with one phase will be adapted to the specification and recommendations on the external review. For instance, will KI well in advance for the external review make all relevant documents available in English.