TEMPLATE 2 – GAP ANALYSIS - OVERVIEW

Case number: **2018SE341662**

Name of organisation under review: **Karlstad University, Karlstad, Sweden**

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GAP ᴀɴᴀʟʏsɪs

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. In order to help the organisation's recruitment strategy, a specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment.

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

- **Status**: to what extent does this organisation meet the following principles?
- **Implementation (++ , +/- , -/+, --)** :
  ++ fully implemented
  +/- almost but not fully implemented
  -/+ partially implemented
  -- insufficiently implemented
- **GAP**: In case of --, -/+, or +/-, please **indicate the actual "gap"** between the principle and the current practice in your organisation.
  Implementation impediments: If relevant, please list any national/regional legislation or organisational regulation currently impeding implementation.
- **Initiatives undertaken/new proposals**: If relevant, please list any initiatives that have already been taken to improve the situation and/or new proposals that could remedy the current situation.

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
Ethical and Professional Aspects			

1. Research freedom	++	**Relevant legislation**
		
		Higher Education Act (1992:1434)
		Chapter 1, Section 6: 'The following general principles shall apply to research:
		1. research issues may be freely selected,
		2. research methodologies may be freely developed, and
		3. research results may be freely published.'
		
		Fundamental Law on Freedom of Expression (1991:1469)
		The purpose of this law is to secure the free exchange of opinion, free and comprehensive information, and freedom of artistic creation.
		
		Freedom of the Press Act (1949:105)
		Freedom of the press refers to the right of every Swedish citizen to publish written matter, without prior hindrance by a public authority or body, and not to be prosecuted thereafter on the grounds of its content other than before a court of law, or punished for any other reason than because the content contravenes an express provision of law, enacted to preserve public order without suppressing information to the public.
		
		Act (1976:580) on Co-Determination in the Workplace
			Organisational regulations/procedures
			
			Research freedom is one of the pillars of research in Sweden and as a state university, KAU is committed to complying with national legislation. Researchers are free to publish, own and benefit from their results. KAU continues to follow current and future legislation and will provide researchers with advice on legislation and researchers' rights and obligations.
			
			• Karlstad University's Vision and Strategy 2030
			  Vision and strategic goals to reinforce our academic mandate and further prioritise excellent teaching and research.
			
			• Strategic Plan 2017-2019
			
			• Doctoral supervision course
			  Supervision is the most important educational instrument in doctoral-level education. The supervision of doctoral students is not just about communicating knowledge to students, but also involves promoting the development of doctoral students into independent researchers. This includes supporting the development of skills such as analytical abilities, critical and innovative thinking,

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		The law describes employees' rights to information about their workplaces.	project management and collaborating with others.
2. Ethical principles	++	**Relevant legislation and national boards** Act (2003:460) concerning the Ethical Review of Research Involving Humans ! Please note: proposal in progress![1] The purpose of this act is to protect the individual and ensure respect for human dignity in research. Animal Welfare Act (SFS 1988:534) This act applies to the care and treatment of domestic and laboratory animals, and other animals kept in captivity. The Swedish Research Council (Sw *Vetenskapsrådet*, VR) is an authority within the Ministry of Education and Research. It has a leading role in developing Swedish research of the highest scientific quality, thereby contributing to the development of society. At the beginning of 2004, independent ethical vetting authorities were established, consisting of a Central Ethical Review Board and six local boards. The authorities fall under the Parliamentary Ombudsman and the Chancellor of Justice, and ensure compliance with the Ethical Review Act and the regulations issued under the Act. Further assistance for researchers in ethical matters: About Codex Swedish Research Council's publications	**Organisational regulations/procedures** KAU has a number of structures in place to deal with aspects of research ethics, some of which are listed below. • Research Handbook, section 3.4 specifically deals with research ethics. The Swedish Research Council has published a guide to Good Research Practice, which is linked to in the Research Handbook. • Ethical Review Process at Karlstad University • Local Research Ethics Committee • Access to Research Ethics Consultants within each faculty • Ethical principles are discussed during the Research Induction Session, offered to all new researchers. • The doctoral supervision course includes a specific session on ethics • Doctoral student course on research ethics • Doctoral students have to consider the necessity of ethical review in the *Individual Study Plan*, which is mandated for doctoral students in the Swedish Higher Education Ordinance.
3. Professional responsibility	++	**Relevant legislation** Higher Education Act (1992:1434) **Chapter 1, Section 3a:** 'In the course of their operations, higher education institutions shall uphold academic credibility and good research practice. Ordinance	**Organisational regulations/Procedures** • Regler om åtgärder vid anmälan om vetenskaplig oredlighet (Eng: Rules of procedure on reported research misconduct). The document will be updated due to legislative change in 2019 and will then be translated into

[1] A memorandum (Ds 2016:12) is in progress (September 2016), containing not yet decided proposals aimed at adapting Swedish law regarding the ethical review of research involving humans to the EU ordinance (EU no 536/2014) on clinical trials on medicinal products. If the proposal is accepted and legislated the regulation becomes directly applicable in Sweden.

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		(2000:1370).' Administrative Procedure Act (1986:223) This act applies to the handling of matters by public authorities (e.g. universities).	English. • Policy on Dissemination and Utilisation of Knowledge and Research • Leadership and Co-Workership Policy • Research Handbook, section 6.4 specifically deals with professional responsibilities, such as utilising research, intellectual property and collaborative research. • Doctoral supervision course • Doctoral student course on utilisation of research
4. Professional attitude	-/+	**Relevant legislation** A professional attitude is unambiguously linked to professional responsibility and the contractual and legal obligations to which each researcher must adhere. Swedish legislation includes ethical aspects in a number of laws and regulations, referred to in paragraph of this document, and thus sets the framework for each researcher's personal accountability. Examples include: Act (2003:460) concerning the Ethical Review of Research Involving Humans ! Please note: proposal in progress![2] The purpose of this act is to protect the individual and ensure respect for human dignity in research. Data Protection Act (2018:218) and Data Protection Ordinance (2018:219) The EU's General Data Protection Regulation (GDPR) applies from 25 May 2018. In connection with this, a new national act and ordinance were enacted to supplement the GDPR at a general level. The Data Protection Act clarifies under which circumstances certain personal data	**Organisational regulations and structure** • Karlstad University's Vision and Strategy 2030 Vision and strategic goals to reinforce our academic mandate and further prioritise excellent teaching and research. • Research Handbook, section 3.1 specifically deals with internal procedures, such as financial control and ethical considerations. • A form ensuring accountability and transparency must be completed for all applications for external research funding. The form is also intended to clarify the roles and responsibilities in any future project for which a funding application is submitted. The form is signed by the vice-chancellor, dean or head of department, depending on the amount of funding applied for. • Every researcher has access to a financial officer for support, ensuring financial accountability and transparency. Each externally funded project must have a budget drawn up and signed by the financial officer of the department. Each research project has an account

[2] A memorandum (Ds 2016:12) is in progress (September 2016), containing not yet decided proposals aimed at adapting Swedish law regarding the ethical review of research involving humans to the EU ordinance (EU no 536/2014) on clinical trials on medicinal products. If the proposal is accepted and legislated the regulation becomes directly applicable in Sweden.

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		may be used.	within the main accounting system and is monitored twice annually, at a minimum. If any changes to research funding are noted by the financial officer assigned to the specific research project, appropriate action is taken and documented. • In the *Individual Study Plan, ISP* (required through the Swedish Higher Education Ordinance), the doctoral student and the supervisor must inform the University if a research project is delayed, redefined, or completed. The ISP is updated at least once a year or when necessary. The process is digital and the doctoral student can choose to submit an ISP in Swedish or English. • The KAU legal team and the Grants and Innovation Office are always involved in contractual matters with third parties, both before and after funding has been awarded. • The doctoral supervision course covers aspects of research environment and funding mechanisms. GAP identified: There is a lack of formal structure and procedures for post-award support.
5. Contractual and legal obligations	++	**Relevant legislation** Act (1960:729) on Copyright in Literary and Artistic Works Patent Act (1967:837) Act (1945:345) on the Right to Employee Inventions Design Protection Act (1970: 485) Trademark Act (2010:1877) Trade Names Act (1974:156) Act (1992: 1685) on the Protection of Topographies of Semiconductor Products Plant Breeders' Rights Act (1997:306)	**Organisational regulations/Procedures** • Policy on Dissemination and Utilisation of Knowledge and Research • Research Handbook, section 6.4 specifically deals with contractual and legal obligations. • The Grants and Innovation Office and legal team provide support for utilisation in regards to contractual and legal obligations. • The induction/welcome day for new staff includes a lecture for researchers on the internal routines as described in the Research Handbook as well as support

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		Names Act (1982:670) Higher Education Act (1992:1434), Chapter 1, Section 6 !Please note: see preamble!	provided to grant applicants. • The doctoral supervision course covers aspects of contractual and legal obligations for researchers. • The doctoral student course (Fyrklövern) covers contractual and legal obligations in depth.
6. Accountability	+/-	**Relevant legislation** Higher Education Act (1992:1434) **Chapter 1, Section 4:** 'The operations of higher education institutions shall be arranged to ensure that high standards are attained in courses and study programmes and in research.' 'The resources available shall be used effectively to sustain a high standard of operation.' 'Quality assurance procedures are the shared concern of staff and students at higher education institutions.' Ordinance (2013:119) The principle of public access to official records is expressed in different ways in the fundamental Swedish laws, for example through the right to freedom of expression, freedom of information for officials and the principle of public access to official documents. Governmental agreements and responsibility as a governmental employee. Public Employment Act (1994:260) Research contracts with foundations, research councils, the EU etc. For more information, see the Swedish Research Council on Open Access. Public Procurement Act (2016:1145) Budget Act (2011:203) Ordinance (2007:603) on Internal Management and Control	**Organisational regulations/Procedures** • Research Handbook, section 3.1 specifically deals with internal procedures, such as financial control and ethical considerations. • A form ensuring accountability and transparency must be completed for all applications for external research funding. The form is also intended to clarify the roles and responsibilities in any future project for which a funding application is submitted. The form is signed by the vice-chancellor, dean or head of department, depending on the amount of funding applied for. • Internal and external peer review is standard practise throughout doctoral programmes. This is recorded in the ISP. • The induction/welcome day for new staff includes a lecture for researchers on the internal routines as described in the Research Handbook as well as support provided to grant applicants. • Karlstad University's Publishing Policy covers Open Access issues. The policy states that each research publication must be registered in DiVA, the University's publication repository. Staff at the KAU Library support researchers in dealing with all publication issues. • Policy för bevarande av digital information vid Karlstads universitet (Eng: Policy for the preservation of digital information at Karlstad University). • Regler om åtgärder vid anmälan om vetenskaplig

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			oredlighet (Eng: Rules on procedure on reported research misconduct). The document will be updated due to legislative change in 2019 and will then be translated into English.

Every researcher has access to a financial officer for support, ensuring financial accountability and transparency. Each externally funded project must have a budget drawn up and signed by the financial officer of the department. Each research project has an account within the main accounting system and is monitored twice annually, at a minimum. If any changes to research funding are noted by the financial officer assigned to the specific research project, appropriate action is taken and documented.
In addition, a financial officer specialised in EU research funding provides support to financial officers and research advisors.

As a state university, Karlstad University is bound by Swedish legislation regarding the accountable use of tax-payers' money and regulations about representation, purchasing, business travel, alcohol and narcotics as for example below:

Entertainment and Representation at Karlstad University
Inköpspolicy (Eng: Purchasing policy)
Alkohol- och narkotikapolicy (Eng: Alcohol and narcotics policy)
Regler för tjänsteresor vid Karlstads universitet (Eng: Regulations for business travel at Karlstad University)
In order to meet future demands of open research data, KAU is running a project for implementing qualitative routines for research data management as well as support for individual researchers and research groups.

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			Research data policies and routines are under development. Research storage solutions are being developed. Information sessions will be offered to researchers and a doctoral student course on research data management and open data will be offered during 2019. A research data management support function will be established before the end of 2019. GAP identified: Research collegiality in relation to peer review, seminars, research discussion groups, and idea reflecting forums occurs in some research areas but is not standard practice throughout the university.
7. Good practice in research	++	**Relevant legislation** Work Environment Act (1977:1160) Comprises general provisions regarding the work environment. A fundamental principle is that work should be adapted to the physical and psychological situation of the employee. The act also regulates cooperation between employer and employees. Data Protection Act (2018:218) and Data Protection Ordinance (2018:219) The EU's General Data Protection Regulation (GDPR) applies from 25 May 2018. In connection with this, a new national act and ordinance were enacted to supplement the GDPR at a general level. The Data Protection Act clarifies under which circumstances certain personal data may be used. Archives Act (1990:782) Public Access to Information and Secrecy Act (2009:400)	**Organisational regulations/Procedures** KAU considers health and safety issues vital in ensuring all our staff's wellbeing. In compliance with national legislation, KAU promotes a good work environment through a number of policies, organs and services: • Working environment committee • Working Environment policy • Arbetsmiljöhandbok (Eng: Working Environment Handbook) • Heads of departments are responsible for providing introductions, including clear instructions when working in labs or engineering workshops. • Handbok för hantering av hot, våld och obehagliga situationer (Eng: Handbook on dealing with threats, violence and uncomfortable situations) • The KAU Safety Organisation, including a number of safety representatives, monitors the work environment. The representatives, together with the heads of departments, annually conduct safety inspections. Both the physical and social environments are included in the

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			inspection.
			• The head of security along with HR offer seminars for staff, conduct drill exercises and coordinate actual emergencies if they should occur.
			• KAU provides several central storage facilities with different levels of confidentiality, integrity and availability, where researchers can publish their material according to the information classification model that KAU uses. KAU works actively with information security according to ISO/IEC 27000, including continuity management.
			• Ongoing project to examine all research projects in order to identify the processing of personal data and special categories of personal data, to ensure that the treatment of data complies with laws and regulations. KAU has both a data protection officer and an ethics advisor to support researchers when processing personal data.
			• Ongoing review of instructions for work in lab or workshops.
8. Dissemination, exploitation of results	++	**Relevant legislation** Higher Education Act (1992:1434) **Chapter 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.'	**Organisational regulations/Procedures** KAU recognises and promotes the dissemination and exploitation of results as a way of creating value within academia and society as a whole. • Karlstad University's Publishing Policy covers Open Access issues. The policy states that each research publication must be registered in DiVA, the University's publication repository. Staff at the KAU Library support researchers in dealing with all publication issues. • Policy on Dissemination and Utilisation of Knowledge and Research • Karlstad University Holding AB, Karlstad University's Innovation AB and Karlstad University's Uppdrags AB, and

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			the Innovation Office Fyrklövern and its Licensbank are all tools for the utilisation, dissemination and exploitation of results.
			• Research Handbook, section 6 deals with the dissemination and utilisation of research.
			• All agreements with third parties involving intellectual property rights issues must contain information on how are IPR is handled. The KAU legal team and the Grants and Innovation Office are always involved in matters with third parties, both before and after funding has been awarded.
			• All grant agreements with third parties obliging researchers to meet open science criteria are implemented.
			• The induction/welcome day for new staff includes a lecture for researchers on the internal routines as described in the Research Handbook as well as support provided to grant applicants.
			• KAU Library podcast "Forskarpodden" allows researchers to communicate their doctoral theses in a popular scientific manner and gives media training. The podcast is available on iTunes, Soundcloud and kau.se/forskningspodden.
			• KAU offers researchers training in pitching their research in order to reach out effectively to funders, business, the media and for public engagement.
			• "Meet a researcher", an open seminar series arranged by the KAU Library, where KAU researchers present their current research.
			• The KAU Library offers support for publishing and gives advice on increasing the visibility of research, both as part of the doctoral student course as well as in individual

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			meetings and regular meetings with departments and/or other research forums.
			• An internal university fund for Open Access publishing
			• KAU is a member of the BIBSAM consortium, which provides national Open Access agreements with a number of publishers.
			• Through the Grants and Innovation Office, researchers can get in touch with the appropriate actors within the regional innovation system, which is directly connected to the national as well as international innovation systems.
			• The Side-Line Occupation Policy regulates employees' possibilities to engage in side-line occupations.
			• PhD course *Communicating Science?*
			• PhD course *Innovative Applications of Research and Science*
			Currently the procedures are in place to meet this criteria. However, there is ongoing work to minimise the variation of awareness and knowledge of the exploitation of research results among researchers.
9. Public engagement	++	**Relevant legislation** Higher Education Act (1992:1434) **Chapters 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.'	**Organisational regulations/Procedures** KAU collaborates on a regular basis with regional as well national and international actors to disseminate research results. This engagement ranges from the Children's University to membership in Public and Science, a foundation that promotes dialogue and openness between the public and researchers. See also other examples below: • KAU Library podcast "Forskarpodden" allows researchers to communicate their doctoral theses in a popular scientific manner and gives media training. The podcast is available on iTunes, Soundcloud and

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			kau.se/forskningspodden.
			• "Meet a researcher", an open seminar series arranged by the KAU Library, where KAU researchers present their current research.
			• KAU offers researchers training in pitching their research in order to reach out effectively to funders, business, the media and for public engagement.
			• The KAU Library offers support for publishing both scientific and popular science. It gives advice on increasing the visibility of research and hosts monthly public lectures.
			• The Communications Office produces press releases and other relevant research news and events, and connect researchers to external media upon request.
			• KAU participates in the Merit and Value of Collaboration Skills (Sw: MerSam), a national collaboration project financed by Vinnova. The purpose of the project is to strengthen the value accorded to teachers' and researchers' collaboration merits, propose changes in employment regulations and procedures and contribute to a national consensus on collaboration skills as a valued qualification.
10. Non-discrimination	++	**Relevant legislation** Discrimination Act (2008:567) The purpose of this act is to combat discrimination and in other ways promote equal rights and opportunities regardless of sex, transgender identity or expression, ethnicity, religion or other belief, disability, sexual orientation or age. The Discrimination Ombudsman is a government agency that promotes equal rights and opportunities and combat discrimination.	**Organisational regulations/Procedures** KAU consider this a highly important matter and has a collection on policies and procedures that clearly demonstrate the position on discrimination and associating areas. • Leadership- and Co-Workership Policy • Working Environment Policy • Action Plan for Gender Mainstreaming at Karlstad University 2017-2019

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
		The Swedish Secretariat for Gender Research has been a central actor in the area of gender research and gender equality since 1998, and conducts assignments on behalf of several national, Nordic and European actors. It has been commissioned by the Swedish government to support all state-funded higher education institutions in their gender mainstreaming efforts 2016–2019. The government requires all state-funded higher education institutions in Sweden to develop a gender mainstreaming plan for 2016–2019. The purpose of the initiative is for the higher education sector to contribute towards the nationally declared gender equality objective of women and men having equal power to shape society and their own lives. The government identifies equal career opportunities in academia among the areas of particular importance. These plans shall also describe how gender equality will be integrated into the institutions' everyday operations, such as in management processes. Plans were to be presented by 15 May 2019 with continuous reporting of implemented measures and results.	• Arbetsmiljöhandbok (Eng: Working Environment Handbook) • Åtgärdsplan vid diskriminering, trakasserier, sexuella trakasserier och kränkande särbehandling (Eng: Procedures in case of discrimination, harassment, sexual harassment and violating treatment) • Handbok för hantering av hot, våld och obehagliga situationer (Eng: Handbook on dealing with threats, violence and uncomfortable situations) • HR supports managers in discrimination issues • Discrimination issues are discussed and followed up in the annual appraisal talks (see point 11). • Bi-annual employee survey includes questions directly related to discrimination. • The Graduate Student Association (GSA) invites their members to participate in a survey which includes questions on discrimination. (The GSA is part of the Student Union and is independent of University Management.)
11. Evaluation/ appraisal systems	+/-	**Relevant legislation** The Swedish Research Council (Sw. *Vetenskapsrådet*, VR) conducts various types of evaluations of research, both evaluations of research topics and evaluations of government-initiated research efforts; the latter are done more frequently. The focus of the evaluations is on scientific quality, though aspects such as strategic management at the university level and research impact may occur. Responsibility for the compliance with ethical guidelines rests with the academic institution. Evaluation may lead to a redistribution of funds within the framework of an ongoing initiative.	**Organisational regulations/Procedures** • After evaluation and quality assurance by national and international experts, the strong and excellent research groups at Karlstad University receive additional financial support for an agreed period of time. Evaluations are conducted at three points: at the initial application, midway through the agreed period and at the end of the period. • All research centres must submit annual reports to the Faculty Boards which are responsible for monitoring the quality of their research. Faculty Boards and research centres have external members.

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		The quality of education (including third-cycle education) is externally evaluated by the Swedish Higher Education Authority (UKÄ) according to the national system for the quality assurance of higher education. Ordinance (2007:603) on Internal Control Internal Audit Ordinance (2006:1228), 1 and 2§§	• External evaluations/assessments when applying for promotion or career-development positions. • Employee Performance Appraisal Interview, guidelines that describe annual appraisal talks between manager and employee concerning the employee's work situation, focusing on tasks, assignments, work environment and professional development. • The Internal Audit Office reports directly to University Board • The Researcher Development Framework is a self-reflection tool for career development • In the *Individual Study Plan* (ISP), required through the Swedish Higher Education Ordinance, the doctoral student and supervisor set research outcomes which are a benchmark for future discussions and progress monitoring. The ISP is updated at least once a year or when necessary. The process is digital and the doctoral student can choose to submit an ISP in Swedish or English. GAP identified: Research collegiality in relation to peer review, seminars, research discussion groups, and idea reflecting forums occurs in some research areas but is not standard practice throughout the university.
Recruitment and Selection – please be aware that the items listed here correspond with the Charter and Code. In addition, your organisation also needs to complete the checklist on Open, Transparent and Merit-Based Recruitment included below, which focuses on the operationalization of these principles.			
12. Recruitment	++	**Relevant legislation** The Instrument of Government **Chapter 12, section 5:** 'When making appointments to posts within the State administration, only objective factors, such as merit and competence, shall be taken into account.'	**Organisational regulations/Procedures** • General strategies, eligibility, assessment criteria and other information pertaining to specific appointment categories are available in the Regulations for the Appointment and Promotion of Teaching Staff. "Teaching staff" refers to both teachers and researchers.

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
		Public Employment Act (1994:260, in Swedish) **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.' Higher Education Act (1992:1434) Higher Education Ordinance (SFS 1993:100) Discrimination Act (SFS 2008:567)	• The Procedures for the Recruitment and Promotion of Teaching Staff supplement these regulations. • Strategy and Action Plan for Recruiting Academic Staff • Career paths at Karlstad University shall be based on equality and inclusion. Equal gender distribution is sought in all staff categories. If possible, women and men shall participate in the wording of employment advertisements, serve as experts and participate in the selection of a candidate. • Teaching and research staff engaged in management duties as Deans and Heads of Departments are entitled to a sabbatical period to enable a return to a research or teaching career. • Application Guidelines for the appointment/promotion of professors or senior lecturer and appointment of associate senior lecturer • Action Plan for Gender Mainstreaming at Karlstad University 2017-2019 The principle is considered fulfilled, but in order to maintain the status the Strategy and Action Plan for the Recruitment of Academic Staff will need to be either updated or be adapted into a Recruitment Policy or Strategy without a specific timeframe for implementation.
13. Recruitment (Code)	++	**Relevant legislation** The Instrument of Government **Chapter 12, section 5:** 'When making appointments to posts within the State administration, only objective factors, such as merit and competence, shall be taken into account.' Public Employment Act (1994:260, in Swedish) **Section 4:** 'When making appointments only objective factors such as service merits and competence shall be	**Organisational regulations/Procedures** • Standardised routines and templates characterise the recruitment process, such as appointment profiles including required qualifications and assessment criteria stated prior to recruitment, templates for advertising, strict procedures for expert evaluations when appropriate, guidelines for interviews and contacting candidates' references. A web-based tool for e-recruitment (VARBI) is used in all appropriate stages of

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		taken into account. Competence shall be a primary consideration, unless specific reasons otherwise exist.' Higher Education Act (1992:1434) Higher Education Ordinance (SFS 1993:100) Discrimination Act (SFS 2008:567)	the process. • KAU website contains information on benefits, local union agreements, opportunities for professional development, career paths and information on moving to Karlstad. www.kau.se/en/work-us See also principle 12 and the OTM-R checklist.
14. Selection (Code)	++	**Relevant legislation** Higher Education Act (1992:1434) Higher Education Ordinance (SFS 1993:100)	**Organisational regulations/Procedures** • The Procedures for the Recruitment and Promotion of Teaching Staff describe the selection process. "Teaching Staff" refers to both teachers and researchers. • The selection process usually includes statements from external experts. A recruitment group from the recruiting unit carries out trial lectures, interviews and reference taking based upon the experts' report. Finally the Appointment and Promotions Committee reviews the process and submits a recommendation on which candidate to employ to the Vice-Chancellor (for Professors) or the Dean (for all other academic positions). • Each of the two faculties has an Appointment and Promotions Committee, which consists of a broad composition of representatives from the faculty. There is an even distribution of gender within both Appointment and Promotions Committees. Where appropriate, representatives from different sectors may be co-opted to the Appointment and Promotions Committee. • Line management is given an introduction on the recruitment process when appointed. A training programme on the OTM-R regulations and procedures of the recruitment process is now offered every term, starting spring 2019, with the aim to reach all staff involved in the recruitment process.
15. Transparency (Code)	++	**Relevant legislation**	**Organisational regulations/Procedures**

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		Higher Education Act (1992:1434) Higher Education Ordinance (SFS 1993:100) Employment Ordinance (1994:373) Public Access to Information and Secrecy Act (2009:400) !Please note: see preamble!	KAU uses an e-recruitment tool called VARBI, which provides a standardised application process. On the website and in the advertisement, applicants are provided with clear guidelines about the process. Applicants are informed throughout the process. The strengths and weaknesses of the applications are reviewed in the experts' report and are available upon request.
16. Judging merit (Code)	++	**Relevant legislation** Public Employment Act (SFS 1994:260) Section 4: Merits and competence Higher Education Ordinance (SFS 1993:100) chapter 4	**Organisational regulations/Procedures** The regulations for judging merit at KAU consist of general required qualifications and assessment criteria, which can be more specified in the appointment profile stated prior to recruitment. Procedures including an instruction to external experts for judging the candidates' merits secures the quality element of the process. Altogether, this provides transparency, consistency and equity for all candidates. • The Regulations for the Appointment and Promotion of Teaching Staff includes general required qualifications. "Teaching Staff" refers to both teachers and researchers. • The Procedures for the Recruitment and Promotion of Teaching Staff includes strict procedures for screening.
17. Variations in the chronological order of CVs (Code)	++	**Relevant legislation** Employment Ordinance (1994:373)	**Organisational regulations/Procedures** Candidates submit their applications, consisting of a CV and personal letter along with other documents or material to verify the required qualifications. The applicant is responsible for submitting the documents or material required to ensure that the university can make a complete and accurate assessment of all qualifications. This also means that the applicants have a great amount of freedom in how they prefer to present their qualifications. The assessment focuses on the quality of skills for the position not the quantity of skills or the chronological order of the CV.

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
18. Recognition of mobility experience (Code)	++	**Relevant legislation** Instrument of Government Chapter 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 prioritising otherwise. The Employment Ordinance (1994:373) 4-5 § Assessment grounds for employment 6-8 § Procedures for employment	**Organisational regulations/Procedures** • KAU recognises the value of mobility experiences from different sectors as well as international experience when recruiting and promoting researchers as stated in the Regulations for the Appointment and Promotion of Teaching Staff. "Teaching Staff" refers to both teachers and researchers. • The Grants and Innovation Office supports researchers in writing proposals for outgoing fellowships and incoming researchers through e.g. the Marie Sklodowska-Curie Individual Fellowships, STINT, KKS.
19. Recognition of qualifications (Code)	++	**Relevant legislation** Higher Education Ordinance (SFS 1993:100) Chapter 4: According to the Higher Education Ordinance (SFS 2010: 1064) Chapter 2, § 2, the University Board shall set employment regulations (Sw. *Anställningsordning*) that the university applies together with the rules of appointment and promotion of teachers.	**Organisational regulations/Procedures** The Appointment Procedures at KAU provide clear criteria for when and how assessments should be carried out. Non-formal qualifications cannot replace formal qualifications but can be added value to the recruiting unit as well as to the candidate being selected.
20. Seniority (Code)	++	**Relevant legislation** Instrument of Government Chapter 12, section 5 Civil Service Act (1994:260) section 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 prioritising otherwise. Discrimination Act (2008:567)	**Organisational regulations/Procedures** KAU, as a Swedish university, is bound by the Discrimination Act and the Higher Education Ordinance. The Regulations for the Appointment and Promotion of Teaching Staff clearly determine how staff are to be appointed and promoted. "Teaching Staff" refers to both teachers and researchers.
21. Postdoctoral appointments (Code)	++	**Relevant legislation** Employment Protection Act (1982:80) (LAS) § 5 Collective Agreement for Post-doc positions	**Organisational regulations/Procedures** • KAU follows the national collective agreement on post-doc positions. • General qualification requirements are stipulated in the Regulations for the Appointment and Promotion of Teaching Staff. "Teaching Staff" refers to both teachers

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
			and researchers.
			• Procedures are described in the document [Procedures for the Recruitment and Promotion of Teaching Staff]().

Working Conditions and Social Security

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
22. Recognition of the profession	++	**Relevant legislation** [Higher Education Act (1992:1434), chapter 1, §6 and chapter 2 §6]()	**Organisational regulations/Procedures** All researchers are recognised as professionals and are treated accordingly. At the beginning of doctoral studies all candidates have employment contracts with full social security provision, either at KAU or with collaborating partner organisations. If candidates do not complete within the defined period, they sometimes, work towards completion outside of their originally agreed period of employment, although this rarely happens.
23. Research environment	+/-	**Relevant legislation** [Work Environment Act (SFS 1977:1160)]() [Work Environment Ordinance (SFS 1977:1166)]() [Discrimination Act (SFS 2008:567)]() [Social Insurance Act (SFS 2010:110)]() [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)]()	**Organisational regulations/Procedures** • Specialised equipment, labs, simulation rooms • Unlimited access to a large number (approx. 13,000) of electronic international scientific journals, and also to 100+ international and national databases, in all fields covered by Karlstad University's research. • Researchers are offered internal and external personal professional development opportunities, for example through [CTRIVE](). • Language training • Office space, up-to-date IT facilities (not older than three years) and telephone access See also principle 24. GAP identified: Research collegiality in relation to peer-review, seminars, research discussion groups, idea reflecting forums occurs in some research areas but is not standard practice

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
			throughout the university.
24. Working conditions	++	**Relevant legislation** Work Environment Act (SFS 1977:1160) Work Environment Ordinance (SFS 1977:1166) Discrimination Act (SFS 2008:567) Social Insurance Act (SFS 2010:110) Flammable and Explosive Goods Act (SFS 2010:1011) 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)	**Organisational regulations/Procedures** • All researchers at KAU are offered good opportunities to combine work, leisure and family through collective agreements on annual working hours, holiday allowances and parental leave pay supplements. • Health maintenance benefits, a free gym at campus during off-peak hours, a university employee subsidised bi-cycle scheme, a subsidy of SEK 2000 a year for promoting wellbeing at and outside of work. • Annually appraisal talks (see principle 11) • Employee survey every two years (see principle 11) • Most university facilities are accessible to disabled researchers. • Heads of Departments are responsible for analysing and developing action plans in response to the employee survey as well as other investigations concerning the working environment. • Heads of Departments are responsible for reasonable adjustments to ensure accessibility and other necessary aids. • Campus Services supports disabled staff and students in regards of their specific needs. • Safety representatives, appointed by the labour unions, are involved when investigations of the work environment are conducted. Employees can turn directly to the safety representatives for issues regarding the work environment. • Employees may work in other places than the official office, upon agreement with the line manager. See also principle 23 above.

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
25. Stability and permanence of employment	++	**Relevant legislation** Employment Protection Act (1982:80 LAS) Employment contracts are of indefinite duration. Contracts for temporary employment are allowed in the cases listed below: • Probationary period, not exceeding six months • General temporary-term ALVA • Substitute • Seasonal work • Workers from age 67 General temporary contract, ALVA (SFS 1982:80) §5a A worker may be employed for a defined time on a general temporary contract, ALVA. There are no specific conditions for employment according to ALVA. Though, when a worker has been employed as per ALVA in aggregate more than two of the last five years, the contract is converted to a permanent one. Employment on other temporary contracts than ALVA does not qualify employees for a permanent position. 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, chapter 4-5) Higher Education Act (1992:1434) Civil Service Act (1994: 260)	**Organisational regulations/Procedures** • Regulations for the Appointment and Promotion of Teaching Staff ("Teaching Staff" refers to both teachers and researchers.) The University strives for job security and long-term employment, and vacancies are advertised to enable recruitment of the best possible skills. • KAU has been implementing new procedures centred on employment stability. This has created a cultural shift in moving away from renewing multiple short-term contracts as a standard practice, towards a higher percentage of permanent contracts. • Doctoral studies in Sweden comprise the equivalent of four years full-time study, rather than the three years of most other EU countries. When a doctoral student has 20% other duties, the doctoral training period is extended from four to five years, which is common at KAU. • At the beginning of their doctoral studies all candidates have employment contracts with full social security provision, either at KAU or with collaborating partner organisations. However, if candidates do not complete within the defined period, they sometimes work towards completion outside of their originally agreed period of employment, although this rarely happens.
26. Funding and salaries	++	**Relevant legislation** The general social insurance system in Sweden consists of the following insurance branches: • Health insurance • Benefits in case of occupational accidents and occupational diseases	**Organisational regulations/Procedures** • The individual salary is based on objective grounds such as responsibility, complexity of the tasks, the individual's results and skill in relation to the goals for the organisation as described in the Lönepolicy (Eng: Salary policy). • Salaries are usually revised on an annual basis, and

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
		• Disability benefits • Old-age pension and survivor's pension • Unemployment insurance • Family benefits and parental insurance National collective bargaining agreements exist between government agencies and the labour unions SACO-S and OFR / S, P, O., ensuring that researchers receive a contractual salary and equitable social security provisions. https://www.arbetsgivarverket.se/avtal--skrifter *Kammarkollegiet* (the Swedish Legal, Financial and Administrative Services Agency) provides a national group insurance covering all foreign scientists doing research. http://www.kammarkollegiet.se/english/insurance Discrimination Act (SFS 2008:567)	depend on agreements made with local labour union representatives as well as at the national level. • Salary levels for doctoral student positions are fixed and have a standard progression based on achieving certain performance targets. Salary levels are internationally competitive. Doctoral studies in Sweden comprise four years' full-time study, rather than the three years of most other EU countries. Social security benefits in Sweden are very generous for employees at all categories and levels. • Parental benefit is paid out for 480 days for one child. For 390 of those days, the compensation is based on the income one has (days at the sickness benefit level). For the other 90 days, the compensation is SEK 180 per day (days at the minimum level). 90 days of parental benefit are reserved for each parent. • Sickness benefit for employees is between 80 and 90 percent of the salary. • Pension payments in state government agencies: a minimum of 4.5% of the annual income is set aside for future pension withdrawals.
27. Gender balance	++	**Relevant legislation** Discrimination Act (SFS 2008:567) Employers are to promote an equal distribution of women and men in different types of work and in different employee categories, by means of education and training, skills development and other appropriate measures.	**Organisational regulations/Procedures** Karlstad University is consistently working on achieving an even gender balance among all categories of staff, including senior management. • Representation in advisory and decision-making bodies has to be quantitatively and qualitatively gender equal. Action Plan for Gender Mainstreaming at Karlstad University 2017-2019 • Departments must annually draw up skills supply plans that take into account gender balance.

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
28. Career development	-/+	**Relevant legislation** Higher Education Ordinance (SFS 1993:100), chapter 6, §§28, 29 ! Please note: proposal in progress![3]	**Organisational regulations/Procedures** • Departments must annually draw up skills supply plans, ensuring that the competence needed to reach department goals is available, in both the short and the long term. Research competence is embedded in the process. A Guide to Strategic Skills Supply (Sw: Strategisk kompetensförsörjning – en vägledning) • The appraisal talk between the line manager and researcher must result in an individual professional development plan. This also needs to be in line with the department's skills supply plan. Employee performance appraisal interviews at Karlstad University • A website with information on Opportunities for professional development for researchers is under development • Karlstad University – A Euraxess service centre • CTRIVE, Karlstad University's in-house transferable skills development package for researchers (of all stages) • Swedish language course for international employees • KAU is a member of the Compostella Network, an international network with the aim to offer opportunities for projects, bilateral research and education collaborations. • Staff exchange opportunities through Erasmus+ • KAU is a member of the Nordic Centre in India, NCI,

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[3] SOU 2016:29

A proposal is in progress, based on government directive Ds 2015:74 and on a subsequent report by Ann Fust, Deputy Director General of Swedish Research Council, called Security and Attractiveness: Research Careers for the Future (SOU 2016:29, *Trygghet och attraktivitet – en forskarkarriär för framtiden*) embracing new guidelines for research, higher education and research related innovation. The proposal aims at improved general conditions for students and researchers as well as increased mobility within the field of research and higher education. A decision is likely to be made during November 2016.

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
			which aims to promote collaboration between the Nordic Countries and India. Researchers can apply for grants, receive support from NCI in questions concerning research, accommodation, etc.
			• Bibliometric support
			• Publishing support
			• Supervising Doctoral and Licentiate Students
			• Karlstad University Research Handbook
			• Podcast interviews with doctoral students who just completed their theses. The target audience is non-practitioners, which allows an opportunity to talk about their research in a popular scientific manner and for media training.
			• Doctoral student course in information retrieval
			• Doctoral student course in innovative applications of research and science
			• LinkedIn – an introduction
			• 'Curious about leadership', a programme that provides insights and advice for potential future leaders
			• Regularly arranged workshops and seminars to support directors of studies through new knowledge and shared experiences
			GAP identified:
			There is a wide variety of career development opportunities. However, the information about these opportunities is neither easily accessible to researchers, nor recorded to facilitate easy follow-up.

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
29. Value of mobility	++	**Relevant legislation** ! Please note: proposal in progress![4] Act (1974: 981) on workers' rights to time off for studies (Study Leave Act) Act (1997: 1293) on the right to time off to conduct business Act (2008: 565) on the right to leave because of illness or in order to try another job Leave for workers in the governmental sector For employees of authorities subordinated the government are special rules in the Ordinance on Leave of Absence (1984:111) and in collective agreements. The Ordinance on Leave of Absence also includes regulations on the right to leave for governmental employees during service abroad.	**Organisational regulations/Procedures** KAU values mobility through broad recruitment and participation in collaborative international research projects. Below are some examples: • KAU demonstrates the value of mobility by supporting researchers in writing proposals for outgoing and incoming research fellowships through e.g. the Marie Sklodowska-Curie Individual Fellowships, STINT, KKS. • Participation within the EU Framework Programme ensures transnational and transdisciplinary approaches to research. • KAU is a member of the Compostella Network, an international network with the aim to offer opportunities for projects, bilateral research and education collaborations. • Staff exchange opportunities through Erasmus+ • KAU is a member of Nordic Centre in India, NCI, which aims to promote collaboration between the Nordic Countries and India. Researchers can apply for grants, receive support from NCI in questions concerning research, accommodation, etc.
30. Access to career advice	-/+	**Relevant legislation** Higher Education Ordinance (SFS 1993:100), chapter 6, §§28, 29 ! Please note: proposal in progress![5]	**Organisational regulations/Procedures** • Opportunities for professional development for researchers at https://www.kau.se/en/work-us/work/opportunities-professional-development. • Annually appraisal talks (see principle 11), including

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[4] Ds 2016:29, ibid

[5] Ds 2016:29, ibid

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
			development discussions with manager.
			• CTRIVE, Karlstad University's in-house transferable skills development package for researchers (of all stages).
			• Research Development Framework, a self-reflection tool for career development.
			• Transpeer, a transnational project on wider employability for researcher and research supervisors.
			• Research advisors annually give information about career paths to the Graduate Student Association.
			• 'Curious about leadership', a programme that provides insights and advice for potential future leaders
			• Karlstad University Research Handbook
			• Doctoral supervision course available in Swedish and English, which covers information on career paths
			• Career advise available through Euraxess
			See also principle 28.
			GAP identified:
			When looking at points 28 and 30, we noticed the difference between offering development opportunities and career advice. Considering this principle (30), we discovered a lack of internal structure regarding career advice.
31. Intellectual Property Rights	++	**Relevant legislation** Act (1949: 345) on the Right to Employee Inventions Higher Education Act (1992:1434 §3a) !Please note; *"Principles for handling intellectual property in research agreements" (Principer för immaterialrättslig hantering i forskningsavtal)* by the Association of Swedish Higher Education is recommended as praxis for Swedish Higher Education Institutions.	**Organisational regulations/Procedures** Researchers are covered by the 'professor's privilege' (also known as the 'teacher's exemption'), which means that they own the results of their research. KAU has set up a holding company that supports researchers in dealing with intellectual property rights and complex issues due to the 'professor's privilege'. • Research Handbook, section 6.4 specifically deals with

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
			contractual and legal obligations.
			• Policy on Dissemination and Utilisation of Knowledge and Research
			• Karlstad University's Publishing Policy covers Open Access issues. The policy states that each research publication must be registered in DiVA, the University's publication repository. Staff at the KAU Library support researchers in dealing with all publication issues.
			• Support to researchers on copyright issues.
			• All agreements with third parties involving intellectual property rights issues must contain information on how are IPR is handled. The KAU legal team and the Grants and Innovation Office are always involved in matters with third parties, both before and after funding has been awarded.
			• The Grants and Innovation Office and legal team provide support for utilisation in regards to contractual and legal obligations.
			• The induction/welcome day for new staff includes a lecture for researchers on the internal routines as described in the Research Handbook as well as support provided to grant applicants.
			• The doctoral supervision course covers aspects of contractual and legal obligations for researchers.
			• The doctoral student course (Fyrklövern) covers contractual and legal obligations in depth.
32. Co-authorship	-/+	**Relevant legislation** There is no Swedish legislation regarding co-authorship in research. However, as a response to the recommendation of the European Commission (April 2008) on the management of	**Organisational regulations/Procedures** Co-authorship is encouraged and KAU strives to follow the Vancouver convention. However, this is not regulated. • The University Library provides information on publication ethics and publication strategies in regards to

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
		intellectual property in knowledge transfer activities and the 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" (Sw: *Principer för immaterialrättslig hantering i forskningsavtal*) which is recommended as praxis for Swedish higher education institutions. The Swedish Research Council provides guidelines for Good Research Practice. Rules and guidelines: Codex	authorship as part of the doctoral student course in information retrieval. • Co-authorship is addressed in the doctoral supervision course • The annual bibliometric report takes co-authorship into account. Likewise co-authorship is analysed in the evaluation of strong and excellent research groups. GAP identified: Praxis varies between different disciplines across Karlstad University. However, there are no explicit and clear KAU guidelines regarding co-authorship.
33. Teaching	++	**Relevant legislation** Higher Education Ordinance, chapter 5, section 2: 'Those appointed to doctoral studentships shall primarily devote themselves to their studies. Those appointed to doctoral studentships may, however, work to a limited extent with educational tasks, research and administration. Duties of this kind may not comprise more than 20 per cent of a full-time post.'	**Organisational regulations/Procedures** • Local collective agreement regarding the annual workload of teaching staff. "Teaching staff" refers to both teachers and researchers. Supervision of doctoral students is considered a teaching duty. • Riktlinjer för doktoranders institutionstjänstgöring vid Karlstads universitet (Eng: Guidelines for doctoral students' departmental duties at Karlstad University, only available in Swedish). When a doctoral student performs 20% other duties, the doctoral training period is extended from four to five years. • All teaching and researching staff, including R1 researchers, have access to a number of pedagogical training courses, of which some are mandatory for a permanent position as a university teacher, and one is mandatory for doctoral students involved in teaching.
34. Complains/appeals	++	**Relevant legislation** Various articles of national legislation and guidelines cover complaints and appeals. Work Environment Act (SFS 1977:1160)	**Organisational regulations/Procedures** At KAU there are several procedures for handling complaints, appeals and grievances. • The recruitment process includes the possibility to appeal

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
		Systematic work regulations (AFS 2001:1), SAM Organisational and social working environment (AFS 2015:4) Discrimination Act (SFS 2008:567)	against the appointment and selection process, and the appointment per se. This does not apply to doctoral student positions. • R1 researchers have the right to switch supervisors, without providing reasons. • There is an ombudsman for doctoral students (R1 researchers). • Regular employee surveys and the annual work environment inspection (physical and social) are followed up at the individual appraisals (see point 11). • The HR Office provides support in conflict management, victimisation and systematic work environment management. • Working environment policy • Arbetsmiljöhandbok (Eng: Working environment handbook) • Åtgärdsplan vid diskriminering trakasserier, sexuella trakasserier och kränkande särbehandling (Eng: Procedures in case of discrimination, harassment, sexual harassment and violating treatment)
35. Participation in decision-making bodies	++	**Relevant legislation** Higher Education Act 1992:1434 chapter 2 §6 Higher Education Ordinance (SFS 1993:100) Chapter 2, §7a	**Organisational regulations/Procedures** • Researchers at KAU have the opportunity and are encouraged to get involved with decision-making bodies at many different levels, as regulated in steering documents such as the Rules of Procedure at Karlstad University and the Rules of Procedure for Boards and Committees. Students, including doctoral students, have the right to be represented in all elected governing bodies at the University. • Gender must be considered for each function when appointing representatives to advisory and decision-making bodies. Action Plan for Gender Mainstreaming at

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
			Karlstad University 2017-2019 • Språkpolicy (Eng: Language policy) revised in 2019 that will shortly be translated into English: "To a great extent, Karlstad University is an international workplace with responsibility for ensuring that all employees understand and are able to participate in many activities. Therefore, it is important to eliminate linguistic barriers by creating a parallel-language environment whenever possible and to offer as much training as possible in Swedish and English."
Training and Development			
36. Relation with supervisors	++	**Relevant legislation** Higher Education Ordinance, Chapter 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 during his or her studies unless the vice-chancellor has decided otherwise by virtue of Section 30. A doctoral student who so requests shall be allowed to change supervisor.' *A PhD candidate is called a "doctoral student" in Swedish.	**Organisational regulations/Procedures** • Regulations about doctoral supervision in Antagningsordning (Eng: Admission Regulations for Third-cycle Education at Karlstad University). The doctoral supervision course is required to become the main supervisor of a doctoral student. A minimum of two supervisors is required: one main and one assistant supervisor. The doctoral supervision course focuses on aspects of relations between supervisors and doctoral students as well as insuring that the procedures are in line with national regulations. • The Individual Study Plan (ISP) for each doctoral student includes the commitments of the University and the doctoral student, a schedule for the PhD programme, and a description of how supervision is organised. The ISP is determined in consultation between the doctoral student and supervisor. The ISP is regularly updated, at least once annually, or when necessary. The process has been digitalised and the doctoral student can choose to submit an ISP in Swedish or English. • R1 researchers have the right to switch supervisors,

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
			without providing reasons.
			• There is an ombudsman for doctoral students (R1 researchers).
			• R1 researchers may participate in faculty and departmental meetings as well as annual appraisal talks with departmental management (see point 11).
37. Supervision and managerial duties	+/-	**Relevant legislation**	**Organisational regulations/Procedures**
			There are different opportunities to get insight into the many formal and informal leadership roles within academia. Below are some examples:
			• Leadership development programme
			• 'Curious about leadership', a programme that provides insights and advice for potential future leaders.
			• Doctoral supervision course
			• Individual Study Plan (ISP)
			• Regulations about doctoral supervision in Antagningsordning (Eng: Admission Regulations for Third-cycle Education at Karlstad University). The doctoral supervision course is required to become a doctoral supervisor. A minimum of two supervisors is required: one main and one assistant supervisor.
			• Collegial support for newly employed teachers and researchers
			GAP identified:
			The multifaceted roles of senior researchers are demonstrated within the research collegiate and the doctoral supervision collegiate, for example in relation to peer review, seminars, research discussion groups, and idea reflecting forums. Although research collegiality occurs in some research areas, this is not standard practice throughout the University.

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
			The ongoing professional development opportunities for doctoral supervisors are also limited. The impact of outcomes from the supervision course on doctoral students has not been established.
38. Continuing Professional Development	+/-	**Relevant legislation** Higher Education Ordinance (SFS 1993:100), Chapter 6, §29	**Organisational regulations/Procedures** • Continuing professional development is encouraged and is seen as a merit. • Professional development is discussed and followed up in the annual appraisal talks (see principle 11). • The professional development component of teaching and research positions is regulated in a collective bargaining agreement. • Programme conferences arranged by external funders. • External seminars and conferences, as well as internal courses and shorter seminars, are attended. • Participation in e-learning environments such as MOOCs and webinars is increasing. See also principles 6, 8, 9, 23, 28, 29, 30, 39. GAP identified: There is a variation in how researchers utilise the opportunities for professional development and in how these are recorded and evaluated.
39. Access to research training and continuous development	+/-	**Relevant legislation** Higher Education Ordinance (SFS 1993:100), Chapter 6, §29	**Organisational regulations/Procedures** • Welcome day for newly employed • Professional development is discussed and followed up in the annual appraisal talks (see point 11). • The professional development component of teaching and research positions is regulated in a collective bargaining agreement • Regulated in the curricula for doctoral students

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
			• General doctoral student courses in addition to the subject-specific courses
			• Doctoral supervision course
			• CTRIVE, Karlstad University's in-house transferable skills development package for researchers (of all stages)
			• Researcher Development Framework, a self-reflection tool for career development
			• Transpeer, a transnational project on wider employability for researcher and research supervisors
			• All teaching and researching staff, including doctoral students, have access to a number of pedagogical training courses, of which some are mandatory for a permanent position as a university teacher, and one is mandatory for doctoral students involved in teaching.
			• Collegial support for newly employed teachers and researchers
			• Programme conferences arranged by external funders
			See also principles 6, 8, 9, 23, 28, 29, 30, 38.
			GAP identified:
			There is a variation in how research training and professional development is structured, shared and followed up within the departments.
40. Supervision	+/-	**Relevant legislation** Higher Education Ordinance (SFS 1993:100) **Chapter 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 during his or her studies unless the vice-chancellor has decided otherwise by virtue of Section 30. A doctoral student who so requests shall be allowed to	**Organisational regulations/Procedures** • Regulations about doctoral supervision in Antagningsordning (Eng: Admission Regulations for Third-cycle Education at Karlstad University). The doctoral supervision course is required to become a doctoral supervisor. A minimum of two supervisors is required: one main and one assistant supervisor. • The Individual Study Plan (ISP) of each doctoral student includes the commitments of the University and the

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
		change supervisor.' **Chapter 6, section 29: Individual study plans** An individual study plan shall be drawn up for each doctoral student. This plan shall contain the undertakings made by the doctoral student and the higher education institution and a timetable for the doctoral student's study 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 and amended by the higher education institution to the extent required after consultation with the doctoral student and his or her supervisors. The period of study may only be extended if there are special grounds for doing so. 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). **Chapter 6, section 30: Entitlement to supervision and other resources** If a doctoral student substantially neglects his or her undertakings in the individual study plan, the vice-chancellor shall decide that the doctoral student is no longer entitled to supervision and other study resources. Before such a decision is made, the doctoral student and the supervisors shall be given an opportunity to make representations. The case shall be considered on the basis of their reports and any other records available. The assessment shall take into account whether the higher education institution has fulfilled its own undertakings in the individual study plan. A written record of the decision shall be made, which is to include reasons for the decision. Resources may not be withdrawn for any period in which the third-cycle student has been appointed to a doctoral	doctoral student's commitments, and a schedule for the PhD programme, and a description of how supervision is organised. The ISP is determined in consultation between the doctoral student and supervisor. The ISP is regularly updated, at least once annually, or when necessary. The process has been digitalised and the doctoral student can choose to submit an ISP in Swedish or English. • Collegial support for newly employed teachers and researchers GAP identified: There is variation in how supervision or mentoring of early stage researchers, in particular after completion of the PhD, is structured, shared and followed up within the departments.

Status	Implementation (++ , +/- , -/+, --)	GAP / Implementation impediments	Initiatives undertaken/new proposals
		studentship or is receiving a doctoral grant. Ordinance (2010:1064). **Chapter 6, section 31** If study resources have been withdrawn pursuant to Section 30, the doctoral student may, on application to the vice-chancellor, recover his or her entitlement to supervision and other resources. The doctoral student must then demonstrate convincingly, by presenting prospective study results of considerable quality and scope or in some other way, that he or she can fulfil his or her remaining undertakings in the individual study plan. Ordinance (2010:1064).	
Any additional issues			

Template 1 – Annex: Open, Transparent and Merit-based Recruitment Check-list[6]
OTM-R checklist for organizations

	Open	Trans-parent	Merit-based	Answer: ++ Yes, completely +/-Yes, substantially -/+ Yes, partially -- No	Suggested indicators (or form of measurement)
OTM-R system					
1. Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	+/-	[web link] Vacancies https://www.kau.se/en/about-university/working-karlstad-university/work-here/jobs-and-vacancies In the KAU Strategies many of the aspects aligned with OTM-R practises are included, such as *Regulations for the Appointment and Promotion of Teaching Staff* as well as the *Recruiting academic staff – Strategy and action plan*. Regulations about doctoral students in Antagningsordning (Eng: Admission Regulations for Third-Cycle Education at Karlstad University). It has been identified that doctoral students are not included in some of these steering documents, since doctoral students are not considered teaching staff by Swedish law. The Admission Regulations for Third-Cycle Education is not published in English on the Vacancies website.
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	+/-	Date of latest update; ensure that it is sent to all staff *Procedures for the Recruitment and Promotion of Teaching Staff* describes the OTM-R procedures set out for teaching and researching staff. Published online in Swedish and English on external web and on our intranet, Inslaget. Latest update 17/06/21. Vacancies

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[6] http://ec.europa.eu/euraxess/index.cfm/services/researchPolicies

	Open	Trans-parent	Merit-based	Answer: ++ Yes, completely +/-Yes, substantially -/+ Yes, partially -- No	Suggested indicators (or form of measurement)
					https://www.kau.se/en/about-university/working-karlstad-university/work-here/jobs-and-vacancies It has been identified that doctoral students are not included in these steering documents, since doctoral students are not considered teaching staff by Swedish law.
3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	++	- Existence of training programmes for OTM-R - Number of staff following training in OTM-R Managers and HR-specialists have good knowledge of and training in the area of OTM-R. All new managers are introduced to OTM-R. This provides sufficient knowledge for quality assurance. In addition, a training programme on the regulations and procedures of the recruitment process is now delivered every term, with the aim to reach all staff involved in the recruitment process. The programme covers three elements: 1) recruitment of teaching and research staff (17), 2) recruitment of administrative staff (8), and 3) the interview situation (27). The figures above refer to the number of participants in each section of the programme during spring 2019. See also *Action Plan for Gender Mainstreaming at Karlstad University 2017-2019*, Area 3:D.1, action 2: "Providing training to heads, HR specialists and the appointment and promotions committees in norm-critical and gender-equal recruitment." The action has been carried out and is now standard procedure.
4. Do we make (sufficient) use of e-recruitment tools?	x	x		++	Web-based tool for (all) the stages in the recruitment process E-recruitment tool: VARBI https://kau.varbi.com/en/what:login/
5. Do we have a quality control system for OTM-R in place?	x	x	x	++	Yes, control points are imbedded in all recruitment processes ensuring their quality, for example recruitment groups, requirement profiles, expert advisors, appointments and promotions committees, appeal system, internal audit.

	Open	Trans-parent	Merit-based	Answer: ++ Yes, completely +/-Yes, substantially -/+ Yes, partially -- No	Suggested indicators (or form of measurement)
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	+/-	Trend in the share of applicants from outside the organization *Recruiting academic staff – Strategy and action plan*: KAU "needs to pay special attention to recruiting externally and to advertise positions internationally." "The University offers a good working environment, interesting research and teaching tasks, opportunities for professional development and attractive terms of employment appealing to new highly qualified colleagues. Employees recruited from abroad are offered support in settling in Sweden and in Karlstad. The employer brand is clear – both internally and externally." It has been identified that doctoral students are not included in these steering documents, since doctoral students are not considered teaching staff by Swedish law.
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	+/-	Trend in the share of applicants from abroad *Recruiting academic staff – Strategy and action plan*: KAU "needs to pay special attention to recruiting externally and to advertise positions internationally." "The University offers a good working environment, interesting research and teaching tasks, opportunities for professional development and attractive terms of employment appealing to new highly qualified colleagues. Employees recruited from abroad are offered support in settling in Sweden and in Karlstad. The employer brand is clear – both internally and externally." *Språkpolicy* (Eng: Language policy) revised in 2019 and will shortly be translated into English: "To a great extent, Karlstad University is an internationally workplace with responsibility for ensuring that all employees understand and are able to participate in many activities. Therefore, it is important to eliminate linguistic barriers by creating a parallel-language environment whenever possible and to offer as much training as possible in Swedish and English." KAU offers language courses in Swedish and English and time to attend these for newly employed international staff.

	Open	Trans-parent	Merit-based	Answer: ++ Yes, completely +/-Yes, substantially -/+ Yes, partially -- No	Suggested indicators (or form of measurement)
					It has been identified that doctoral students are not included in these steering documents, since doctoral students are not considered teaching staff by Swedish law.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	+/-	Trend in the share of applicants among underrepresented groups (frequently women) The KAU Strategy states that "We always promote democratic values, equality and diversity." In the KAU Strategies many of the aspects aligned with OTM-R practises are included, such as the *Regulations for the Appointment and Promotion of Teaching Staff* as well as *Recruiting academic staff – Strategy and action plan*. The terms teaching staff and academic staff includes researchers. Current gender balance (from annual report 2018): • All staff: 55% female, 45% male • Researchers and teaching staff, R1-R4: 48% female, 52% male • Doctoral student positions: 43% female, 57% male • Professors: 30% female, 70% male • Administrative and technical staff: 69% female, 31% male • Management, all levels: 53% female, 47% male See also *Action Plan for Gender Mainstreaming at Karlstad University 2017-2019*, Area 3:D.1, action 1: "Giving special consideration to the underrepresented gender when recruiting researchers, teaching staff and professors." It has been identified that doctoral students are not included in these steering documents, since doctoral students are not considered teaching staff by Swedish law.
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	+/-	Trend in the share of applicants from outside the organization There's an increasing trend in the proportion of applicants from outside KAU. This is partly due to the attractive working conditions at KAU, and in Sweden as a whole.

	Open	Trans-parent	Merit-based	Answer: ++ Yes, completely +/-Yes, substantially -/+ Yes, partially -- No	Suggested indicators (or form of measurement)
					Recruiting academic staff - Strategy and action plan: "The University offers a good working environment, interesting research and teaching tasks, opportunities for professional development and attractive terms of employment appealing to new highly qualified colleagues. Employees recruited from abroad are offered support in settling in Sweden and in Karlstad. The employer brand is clear – both internally and externally." The professional development component of teaching and research positions is regulated in collective bargaining agreements. It has been identified that doctoral students are not included in these steering documents, since doctoral students are not considered teaching staff by Swedish law
10. Do we have means to monitor whether the most suitable researchers apply?				++	We utilise our strong and excellent research as a tool to attract the most suitable candidates. All departments must annually produce skills supply plans ensuring a long-term perspective in recruitments. Regulations, procedures and the ability to appeal decisions ensure that the suitability of researchers is the core issue in recruitment.
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		+/-	Templates for advertising are available and adequately used in VARBI, the e-recruitment tool. However, the routine for using templates in all non-permanent positions can be improved.
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit? [*see Chapter 4.4.1 a) of the OTM-R expert report[7]*]	x	x		++	Information available on the website. Link to the webpage from all advertisements. https://www.kau.se/en/work-us
13. Do we make full use of EURAXESS	x	x		++	- The share of job adverts posted on EURAXESS;

	Open	Trans-parent	Merit-based	Answer: ++ Yes, completely +/-Yes, substantially -/+ Yes, partially -- No	Suggested indicators (or form of measurement)
to ensure our research vacancies reach a wider audience?					- Trend in the share of applicants recruited from outside the organisation/abroad All permanent researcher positions are advertised on EURAXESS.
14. Do we make use of other job advertising tools?	x	x		++	Platsbanken, Academic Positions, Research Gate, LinkedIn, Facebook
15. Do we keep the administrative burden to a minimum for the candidate? [*see Chapter 4.4.1 b)* [45]]	x			++	As far as Swedish legislation allows.
Selection and evaluation phase					
16. Do we have clear rules governing the appointment of selection committees? [*see Chapter 4.4.2 a)* [45]]		x	x	--	Statistics on the composition of panels It has been noticed that KAU does not have clear rules regarding the appointment of recruitment groups or Appointments and Promotions Committees.
17. Do we have clear rules concerning the composition of selection committees?		x	x	--	Written guidelines It has been noticed that KAU does not have any clear rules regarding the composition of recruitment groups or Appointments and Promotions Committees.
18. Are the committees sufficiently gender-balanced?		x	x	++	The Appointments and Promotions Committees are sufficiently gender-balanced.
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	++	Written guidelines *Regulations for the Appointment and Promotion of Teaching Staff* *Procedures for the Recruitment and Promotion of Teaching Staff* Requirement profile Guidelines for interviews and contacting candidates references
Appointment phase					
20. Do we inform all applicants at the end of the selection process?		x		++	Information about the outcome of the selection process is normally provided to all the applicants through VARBI. Information includes

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					procedures for complaints/appeals. Reasons for offering the position to a specific candidate are listed in the minutes from the Appointments and Promotions Committee.
21. Do we provide adequate feedback to interviewees?		x		++	Information about the outcome of the selection process is normally provided to all the applicants through VARBI. The University recommends that the recruiting unit should provide adequate feedback to interviewees. Information includes procedures for complaints/appeals. The strengths and weaknesses of the applications are reviewed in the experts' report. Reasons for offering the position to a specific candidate are listed in the minutes from the Appointments and Promotions Committee. The experts' report and the minutes are available upon request.
22. Do we have an appropriate complaints mechanism in place?		x		++	Statistics on complaints The recruitment process includes the possibility to appeal against the appointment and selection process, and the appointment per se. As per Swedish legislation, this does not apply to doctoral student positions. There is an ombudsman for doctoral students (R1 researchers).
Overall assessment					
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?				++	The internal audit of the university must examine and suggest improvements to the institution's processes for risk management, management, monitoring and leadership. Internal auditing is done by mandate of the University Board.