TEMPLATE 1 – GAP ANALYSIS – HALMSTAD UNIVERSITY, SWEDEN

Case number: 2019SE372597

Name Organisation under review: Högskolan I Halmstad, **Halmstad University**

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DATE ENDORSEMENT CHARTER AND CODE: 31/01/2019

GAP ANALYSIS

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation's GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation. 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:	Implementation From + **fully implemented**, +/- **almost but not fully** implemented, -/+ **partially** implemented, to - **insufficiently** implemented	GAP / Implementation impediments In case of --, -/+, or +/-, please **indicate the actual "gap"** between the principle and the current practice in your organisation. If relevant, list any national/regional legislation or organisational regulation currently impeding implementation. (Comment: We mention in this column a) relevant national legislation that support the implementation of HRS4R, b) potential gaps at HH and, in such cases, c) proposed actions.)	Initiatives undertaken and/or suggestions for improvement:
Ethical and Professional Aspects			
1. Research freedom **Forskningsfrihet**	**+**	**Relevant legislation** National legislation that is relevant includes the Swedish Higher Education Act (Högskolelagen) (1992:1434), 1 kap § 6. The following general principles are applicable to research: • research issues may be freely selected, • research methodologies may be freely developed, and • research results may be freely published. In addition, the Freedom of Speech Act (Yttrandefrihetsgrundlagen) (1991:1469) regulates that the purpose of freedom of expression under this Fundamental Law is to secure the free exchange of opinion, free and comprehensive information, and freedom of artistic creation. The Freedom of Press Act (Tryckfrihetsförordningen) (1949:105) secure the free exchange of opinion, free and comprehensive information, and freedom of artistic creation, and the Act on Co-Determination in the Workplace (Lag om medbestämmande i arbetslivet) (1976:580) describes	**Organisational regulation** Research freedom is guaranteed att Halmstad University (HH) e.g. via the model for distributing governmental grants for research and education internally to the research environments. This model is decided by the Research and Education board (FUN) (document "Modell för fördelning av prestationsbaserat forskningsanslag till Högskolans forskningsmiljöer 2016-04-07"). (NB! FUN is an overarching collegial body responsible for research as well as for education, thus representing the researchers at the University.) The model used by this board to allocate state funding strives conciously to guide grants without controlling the research content or research methods. Information about the annual decisions about the distribution of the the governmental grants is published as internal news at the Intranet, also in English. HH communicates internally how the Higher Education (HE) sector is financed by the Swedish state, and about research funding totally for HH, also in comparison with other institutions. The Research Support at HH contributes to making

		employees rights to co-determination and information about the workplace.	researchers at the university aware about the needs for, and possible means to receive, external funding for research. Similar support is given to HH-researchers when it comes to publication channels etc. Training for research leaders started up on a regular basis at HH i 2018, and includes themes such as research funding, project administration, project economy, collaboration with external partners, research freedom, publication etc.
2. Ethical principles **Etiska principer**	+	**Relevant legislation** National legislation that is relevant includes e.g. the Higher Education Act (Högskolelagen) , Chapter 1, Section 3 - In the course of their operations, higher education institutions shall uphold academic credibility and good research practice. The Swedish Research Council (Vetenskapsrådet, VR) CODEX – a collection of guidelines, ethical codes and laws that regulate and place ethical demands on the research process (http://codex.vr.se/omcodex.shtml). Ethical review boards (national and regional bodies) give guidelines for ethical vetting (www.epn.se). The Act concerning the Ethical Review of Research Involving Humans (Lag om etikprövning av forskning som avser människor) (2003:460). The purpose of the act is to protect the individual and the respect for human dignity in research.	**Organisational regulation** HH-Intranet information is available (also in English) on 'Ethical review and personal data in research' with links to the Research and Education Board (for contacts). Here are also links to information on the Ethical review boards, CODEX rules for research (VR), and information on data protection rules. The Intranet page "Personal data & Privacy Protection Law" have links and documents relevant to Personal Data (Act) handling and informs about the new (EU and national) legislation on data protection rules. HH regularly run a course for Ph.D. supervisors in which, in addition to national and local governing documents, discusses ethical issues in the supervisory situation; including e.g. the relationship between supervisors and doctoral students and the publication and utilization of research results. HH also offers courses in scientific communication for Ph.D. students where ethical issues regarding the publication of research results are addressed. A compulsory introductory course for doctoral students contains research ethics. A course in Research Ethics (Forskningsetik, 3 credits) is given within the program for Ph.D. students. The School of Health and Welfare has a specific Ethics board. Courses offered for project leaders at arranged by the Research support office includes a session about ethics handling in applications for research funding and in projects. HH has routines for handling of misconduct in research, and suspicions about such (Ordning för hantering av misstänkt vetenskaplig oredlighet vid Högskolan i Halmstad, Fastställd av

			rektor 2016-06-28. Dnr L 2016/105). The Vice Chancellor has a central role here, with support from a dedicated Board responsible for investigating suspect misconduct in research. HH has a Staff Disciplinary board is the decision-making body in extensive personnel cases (according to the Higher Education Ordinance (Högskoleförordningen) (1993:100) Chapter 2; 2 §).
3. Professional responsibility **Professionellt ansvar**	+	**Relevant legislation** The Swedish Higher Education Act (Högskolelagen) (1992:1434), § 3a. In the course of their operations, higher education institutions shall uphold academic credibility and good research practice. Last amended (2000:1370).	**Organisational regulation** Professional responsability in research is ensured at HH by procedures and routines estblished to ensure good research quality. This work is headed by the Research and Education Board (FUN), and the Committe for Doctoral Education (FUU). Relevant documents include guidelines for handling of misconduct in research (Ordning för hantering av misstänkt vetenskaplig oredlighet vid Högskolan i Halmstad, Fastställd av rektor 2016-06-28. Dnr L 2016/105), the Doctoral guide and Guidelines for supervisors. The Pedagogical Support and Consultation (HPC) at HH provides tools against plagiarism. The courses for Ph.D. students in Research Ethics and (annual or bi-annual) courses for supervisors, as well as the Doctoral guide and Guidelines for supervisors, cover the theme. The model for allocation of internal research funding by the Research and Education board (FUN) ("Modell för fördelning av prestationsbaserat forskningsanslag till Högskolans forskningsmiljöer 2016-04-07") (see pt 1 and 11), systems for continous quality follow up of research and routines for handling of research documents (archiving; Intranet, also in English), are important tools foren ensruing quality management of research at HH.
4. Professional attitude **Professionell inställning**	+	**Relevant legislation** The professional attitude is unambiguously linked to the professional responsibility and the contractual and legal obligations to which each researcher must adhere. The Swedish legislation embraces ethical aspects in a number	**Organisational regulation** See point 3 on professional responsability and training for research leaders. HH ensures professional attitudes via e.g. the Strategic Research team (Forskningsstaben), Research support (Forskningsstödet),

		of laws and regulations, referred to in this document under each paragraph, and thus set the frames for each researcher's personal accountability. Each university/research institute must describe the specific section of the law relating to their specific activities.	support and guidelines for grant applications, project implementation and agreement handling (at Intranet) and guidelines for decision making and delegation (Organisationsplan för Högskolan i Halmstad, dnr 10-2010-2598, och Beslutsordning för Högskolan i Halmstad, dnr 19-2003-1087 och dnr 10-2012-725). The Project Economists have a key role in project preparations, implementation and completion practical issues. HH is one of five universities in Sweden qualified as a 'Knowledge Foundation Environment' by the Swedish financer the Knowledge Foundation (www.kks.se). A substantial part of HH's research and innovation project (all in collaboration with external private partners) is financed via this, and internal HH routines that guarantee quality in all parts of project process have been developed and implemented. These routines are currently under development to be used in all research project processes at the university.
5. Contractual and legal obligations **Avtalsmässiga och rättsliga skyldigheter**	+	**Relevant legislation** The Act on the Right to Employee Inventions (Lag om rätten till arbetstagares uppfinningar) (1949:345) **. Act on Copyright in Literary and Artistic Works (Lag om upphovsrätt till litterära och konstnärliga verk) (1960 : 729), The Patent Act (Patentlag) (1967:837), Design protection Act (Mönsterskyddslag) (1970: 485), The Trademark Act (Varumärkeslag) (2010:1877, The Trade Names Act (Firmalag) (1974:156), The Names Act (Namnlag) (1982:670), The Swedish Higher Education Act (Högskolelagen) (1992: 1434), Chapter 1 §6. ** The Teacher Exception (Lärarundantaget) is an exception to the Act on the Right to Employee Inventions (1949: 345). This is very important for teachers and researchers at universities in Sweden and means that they have the right to the results of the research they perform . Since the researchers in Sweden own the results of their	**Organisational regulation** Halmstad University (HH) provides a system for support to the researchers to develop research ideas into innovation e.g. via HH innovation AB, a company owned by the university and part of this innovation support system. HH innovation AB offers all employees and students individual advice in innovation issues, on new technology, new products and product development, as well as new services and working methods. Together with e.g. Chalmers Innovation Office in Gotherburg we try to find the right development support for each project idea. Handling of research projects is taken up in courses for project leaders arranged by HH Research support office. From HH Research support office researchers can also get advice and support regarding contractual and legal obligation during the proposal procedure and during the implementation of externally financed projects. In the Individual Study Plan (discussed mainly under pt 36), the doctoral student and the supervisor must inform the university

		research they are can choose when and where to report their research results. They can also apply for patents based on their research results.	whether the research project is delayed, redefined, or completed. HH has routines for handling of agreements, and legal support for IPR (also discussed under pt 31) and other legal questions for projects (grant agreements, consortia agreements), cooperation, third parties etc. HH is currently partner in a project with several other Swedish HEI-partners, the "Knowledge management platform" , financed by Vinnova (the Swedish Innovation Authority) aiming at further developing the capabilities to utilize research results in collaboration with external partners.
6. Accountability **Ansvar**	+	**Relevant legislation** The Swedish Higher Education Act (Högskolelagen) (1992:1434), § 4: The operations of higher education institutions shall be arranged to ensure that high standards are attained in courses and study programs and in research. Offentlighetsprincipen - is expressed in different ways in the Swedish Constitution, for example through the right to freedom of expression, freedom of information for officials and the public documents publicity. Governmental agreements and responsibility as a governmental employee. Civil Service Law (Lag om offentlig anställning) (1994:260) Research contracts with foundations, research councils, EU etc.	**Organisational regulation** See also points 3-5 above. Important tools for researcher's accountability at HH include e.g. the key role of Project Economists (administrators) in practical issues on project preparation, implementation, completion, repoprting and auditing. When it comes to other important things such as routines for handling of research documents (e.g. archiving) information is found, also in English, at the HH Intranet. The guidelines for project within KK-environment have been a guiding star, with clear demands from the funder (KKS) on 'good handling of projects' within the KK-environment: Project administrators are attached to each research project and monitor practival and financial aspects, and there is a process for monitoring and archiving achieved data and for storage of project documentation.
7. Good practice in research **Bra praxis inom forskning**	+	**Relevant legislation** Work Environment Act (Arbetsmiljölagen) (1977:1160) comprise general provisions regarding work environment. A fundamental principle is that work should be adapted to the physical and psychological situation of the employee. The Act also regulates co-operation between employer and employees. The Personal Data Act (Personuppgiftslagen)	**Organisational regulation** HH follows the comprehensive legislation in Sweden on work environment issues. The Human Resources Department (HR) is responsible for this. In addition to the Work Environment Act, there are many provisions (AFS in Swedish) issued by the Swedish Work Environment Authority, among them AFS 2001:1 Systematiskt arbetsmiljöarbete (Systematic Work Environment

		(1998:204) Archives Act (Arkivlagen) (1990:782) Public Access to Information and Secrecy Act (Offentlighets- och sekretesslagen) (2009:400**).**	Management) and AFS 2015:4 Organisatorisk och social arbetsmiljö (Organisational and Social Work Environment). The former regulates the work done by the employer to investigate, carry out and follow up activities in such a way that ill-health and accidents are prevented and a satisfactory work environment is achieved. The latter regulates knowledge requirements, goals, workloads, working hours and victimisation.
			HH has a Work Environment Policy (Arbetsmiljöpolicy, dnr P 2016/46) and an accompanying Action Plan (Arbetsmiljöplan, dnr P 2016/46). In addition there is a routine for an annual follow-up, Rutin för årlig uppföljning av det systematiska arbetsmiljöarbetet samt likavillkorsarbetet avseende arbetsförhållanden (dnr P 2016/45). The organisation for the systematic work environment management involves a Central Work Environment Committee as well as Local Work Environment Committees at our Schools/Departments, the latter with their own action plans. There are also two advisory committees, addressing staff and student issues respectively. The Coordinator for Equal Opportunities are on both these committees and equal opportunities perspectives are integrated in all aspects of work environment management. Work environment tasks are allocated throughout the organisation and there are work environment representatives among staff, students and PhD students. Work environment security checks are made once a year to look into the physical work environment, and surveys are done regularly to also include social and psychological aspects. In addition there are Previa, the occupational health services (who have a representative in the Central Work Environment Committee), and the Student Healthcare Centre (also directly involved in the work) which also contribute to the work.
			The Campus Services department is in charge of ICT services. HH has implemented routines for handling questions related to the new Personal Data Act (GDPR; nya Dataskyddsförordningen, Europaparlamentets och rådets förordning (EU) 2016/679 av

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<td>den 27 april 2016 om skydd för fysiska personer med avseende på behandling av personuppgifter och om det fria flödet av sådana uppgifter och om upphävande av direktiv 95/46/EG (allmän dataskyddsförordning) and the Euroepan Commission's guidance on the direct application of the General Data Protection Regulation as of 25 May 2018 (GDPR) at all levels, including such related to research.

Regarding GDPR, HH has a GDPR workgroup, complied of an IT, an archivist and a legal expert that, actually was started up before the Regulation entered into force. This group works continuously with questions related to GDPR at the university. HH has also implemented policies, routines, and education respecting GDPR. In order to comply with the Regulation, HH has also implemented a system to register and control all the registers that process personal data. In addition, HH has a data protection ombudsman.

Regarding open science, HH participates in the Swedish National Consortium (SND – Svensk National Data) where more than 30 universities strive to create a national infrastructure for open access to research data. At the university there is work group, which consist of 3 librarians, one archivist and one legal expert that works to establish a function called DAU (Data Access Unit) – a local support function for questions relating to management, storage, availability and preservation of research data. This function will also comply with FAIR principles (Findable, Accessible, Interoperable and reusable) and also helps our researchers to create Data Management Plan (DMP) which are a key element of good data management and also a requirement for Horizon 2020 program and The Swedish Research Council, Sweden´s largest governmental research funding body.</td>
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<td>8. Dissemination, exploitation of results

Spridning och utnyttjande av</td>
<td>+</td>
<td>**Relevant legislation**
The role of universities shall include conducting third stream activities and providing information about their operations, as well as taking actions to ensure that benefit</td>
<td>**Organisational regulation**
Dissemination of research results is much in focus at HH. The university library provides support for scientifical publications, including access to publications, and make recurrent strategic</td>
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resultat		is derived from research findings at the university. The Swedish Higher Education Act (Högskolelagen) (1992:1434). In the objectives of the universities are included collaboration with the community and information about the activities and to promote that research results will be of benefit.	analyses of bibliometric data. The Communications department have communicators at each School and an active agenda with popular science dissemination as articles in the e-magazine Samspel, as arrangements such as Researcher Nights and lots of other initiatives. HH has organisational structures for handling of innovative initiatives (see also pt 4). Courses for HH researchers has recently started up on a regular basis and includes themes such as collaboration with external partners, dissemination and utilization of research results. Innovation and innovation science is of special focus where one of the four Schools at the University holds specific academic competence. Projects are ongoing, both internal at the university and in cooperation with other HEI's in Sweden, about e.g. following up on publications and bibiometric indicators, to develop methods for identifying, and about valuing and utilizing knowledge assets to enable increased co-responsibility and social responsibility. The implementation of an Impact case database is ongoing at HH. This is an initiative in support for researchers on how research results can become useful.
9. Public engagement **Samhällsansvar**	+	**Relevant legislation** The Swedish Higher Education Act (Högskolelagen) (1992:1434) Chapter 1, 2 and 2 §§. The role of universities shall include conducting third stream activities and providing information about their operations, as well as taking actions to ensure that benefit is derived from research findings at the university.	**Organisational regulation** Extenal cooperation and innovation are focus areas in the HH Strategies (Towards 2030 - Vision, Goals and Strategies for Halmstad University) (see below on new HH-strategy). Recently a Vice Rector for cooperation, innovation and internationalisation was appointed. HH has a long tradition of cooperation with industry, public service, which is seen in the recognition of a KK-environment 2011-2021 (see point 4 above) and the solid cooperation with schools and preschools and their principals in the region in the Regional Development Center (RUC). As part of the collaboration strategy the University has invested in around 10 cooperation arena labs, such as the FabLab and Digital Laboratory Center, that are important for

			cooperation with industry, schools and society. Currently, a process involving all staff is initiated to develop new HH-strategies for education, research and cooperation, as well as new policy for policy for Employeeship and Leadership (named "We make each other better"). Staff meetings (for all staff) have been held at HH on a six-month basis and during these meetings everyone have been able to contribute to the process. Three main goals have so far been identified (Providing students with a top-quality university experience, A creative and innovative university, Collaboration for mutual vitality and benefit) and strategies and action plans are currenty being developed, in a process that still is ongoing. See also point 8.
10. Non discrimination **Icke-diskriminering**	+	**Relevant legislation** The Discrimination Act (Diskrimineringslagen) (2008: 567) purpose is to counteract discrimination and in other ways promote equal rights and opportunities regardless of sex, gender identity or expression, ethnicity, religion or other belief, disability, sexual orientation or age. Work Environment Act (Arbetsmiljölagen) (1977:1160). The purpose of this Act is to prevent occupational illness and accidents and to otherwise ensure a good work environment. Civil Service Act (Lag om offentlig anställning) (1994: 260) For employment shall be paid only objective factors such as merit and skills. Skills must be foremost, unless there are specific reasons for doing otherwise.	**Organisational regulation** As a public authority in Sweden, HH must follow the Discrimination Act (Diskrimineringslagen (2008:567)). Since 2017 the law regulates a cyclical work method in four steps covering five prescribed areas from the perspective of all seven protected grounds for discrimination. The work is to be continuously documented. As noted under 7. Good practice in research, the equal opportunities perspectives of gender equality and diversity are integrated with the work environment management as far as possible. In addition, HH, along with Sweden's other institutions of higher education, has during the period 2016-2019 been commissioned to work especially with the government initiativ Gender Mainstreaming in Academia (GMA). At the end of the commission, routines for gender mainstreaming should be implemented throughout the organisation (Plan för jämställdhetsintegrering vid Högskolan i Halmstad 2017-2019, dnr L2017/95). The Swedish Gender Equality Agency (Jämställdhetsmyndigheten) runs the programme GMA and supports the participants in their work. The work is to be reported in the University's Annual report.

			Initially HH has prioritised the recruitment processes of personnel and of students for gender mainstreaming, but there are several other initiatives also running. These include the gender mainstreaming of new courses, policies and regulatory documents, quality assurance programmes, the reception and introduction of students etc. HH has a Policy for Equal Opportunities as well as Guidelines concerning (the handling of) harassment, discrimination and victimisation, both currently under revision in order to better encompass the requirements of both the Discrimination Act and the Work Environment Act as well as strategies being developed at HH. HH has a Coordinator for Equal Opportunities, a leader for the programme Gender mainstreaming in academia (GMA). Information is to be found on HH Intranet (Staffnet), also in English. All external webpages are to be found both in Swedish and English, and much information on the intranet is also available in both languages. HH as a national auhority is obliged to have information in the national language (Swedish) but has also guidelines regarding translation of information (Riktlinjer för användning av svenska och engelska språket i Högskolans kommunikation, Beslut av förvaltningschefen 2015-05-07. Dnr I 2015/7). Here, it is stated that, following the university's international strategic ambitions, that it is the individual administrator who is responsible for judging whehter information needs to be translated into or summarized in English, with assistance from the Communications Department. Questionaires among Ph.D. students are done regularly (every 3rd year, 2017 the latest), also including issues also on gender and discrimination (see Doktorandbaromentern, in Swedish). Gaps identified from the Questionnaires form the basis for action plans. These kinds of questions are also discussed elsewhere. See pt 12, 16, 18, 19, 27 and 29.

11. Evaluation/ appraisal systems **System för utvärdering/bedömning**	+	**Relevant legislation** The Swedish Research Council (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. https://www.vr.se/english/en -sidfot/about-the-swedish-research-council/the-swedish-research-council.html VR conducts various types of evaluations of research, both evaluations of research topics (such as mechanics or Literature) and evaluations of government -initiated research efforts, the latter more frequent). Two specific examples are the evaluation of strategic research (SFO) and several evaluations of Linnaeus supports. In some cases valuations are carried out during a (mid-term) investment and then the evaluation results are used for eventual reprogramming of appropriations. Focus of the evaluations are set on the scientific quality, though aspects such as strategic management at the university level and research impact may occur. Responsibility for the compliance with ethical guidelines rests with the beneficiary/academic institution. Evaluation may lead to a redistribution of funds within the framework of an ongoing effort. Ordinance on Internal Control (Förordning om intern styrning och kontroll (2007:603) Internal Audit Ordinance (Internrevisionsförordning) (2006 : 1228), 1 and 2 §§	**Organisational regulation** Analyses of research quality have been done for some time at HH. These are made mainly from an organisational, rather than individual, point of view. A major evalutation of HH research was e.g. done 2013 ("ARC13 Assessment of Research and Coproduction Reports from the assessment of all research at Halmstad University 2013"). Currently a system with frequent (annual or biannual) evaluations of HH research has been initiated by the HH's Research and Education board (FUN). (The Quality assurance work at Halmstad University, summarized in English at: http://www.hh.se/en-US/omhogskolan/ledningstyrningochorganisation/kvalitet.1249.html. Additional information is given at the intranet (Staffnet). On a national level, the Swedish Higher Education Authority (UKÄ) (in cooperation with the Swedish Research Council; VR) in 2017 got a new and extended assignment from the Swedish Government on "Quality assurance of research". UKÄ will in cooperation with VR be responsible for the quality assurance of research (in addition to previous one on higher education) at Swedish higher education institutions (HEIs) but details on this are at the time of writing not known (see UKÄ press release at http://english.uka.se/about-us/news--events/nyheter/2017-08-08-extended-assignment-quality-assurance-of-research.html). For the researchers at HH, the annual development dialogues between managers and employees (medarbetarsamtal) is the main, and a very important, tool to develop activities for career development, for developing professional roles and relations. This to make an overview and status, to match mutual expectations and give feedback during the past period (HH documents Medarbetarens guide och Chefens guide; 2015 respektive 2016).

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 **Rekrytering**	+	**Relevant legislation** Instrument of Government (Regeringsformen) (1974:152) Chapter 12 5§. For governmental employments shall be paid only objective factors such as merit and skills. The Civil Service Act (Lag om offentlig anställning) (1994: 260): For employment shall be paid only objective factors such as merit and skills. Skills must be foremost, unless there are specific reasons for doing otherwise. The Higher Education Ordinance (Högskoleförordningen) (1993:100) Chapter 4: 3-4, 12a §§: Determines eligibility for the post of Professor (incl. Adjunct professor and Visiting professor), Senior lecturer and career-development position. Chapter 5: 3, 5 §§, Chapter 7: 34-41 §§: Determines eligibility for employment as a PhD student, and what applies in the case of information about the vacancy. The Act of Discrimination (Diskrimineringslagen) (2008:567) Chapter 3, 7-9 §§: Employers shall strive for people of different genders, ethnic origin religion or other belief are given the opportunity to apply for vacant positions, through education promote equal representation of women and men, and when recruiting staff ensure a gradual increase of under-represented sex.	**Organisational regulation** The guidelines and processes regarding recruitment of researchers at HH can be characterized as to a large extent being efficient, transparent and merit-based, and to a large extent open, i.e. the HR-strategy can be said to be mainly OTM-R based. HH-guidelines for recruiting teaching staff and researchers cover most of the demands, and are easily accessible on the web. The HR department has stated in the plan for the activities that the European Charter & Code for Researchers will be a guiding star for all development onwards. Overall, there is a continuous development on recruitment and other HR-issues ongoing at HH. Currently (with deadline March 2020) a revision is undertaken of the **guidelines for recruitment and employment** (Anställningsordning vid Högskolan i Halmstad, Ersätter anställningsordning beslutad av högskolestyrelsen 2017-04-21, dnr: 40-2012-977). This inludes also a translation of the guidelines to English, currently a shortage at HH. The European Code of conduct and the toolkit provided in the OTM-R report will be used as important input and guiding star in this and future revision processes. The current action plan for the HR-department att HH has two other relevant bullets: i) Develop a recruitment plan and reception of internationally recruited employees (to be implemented early 2020) and ii) implementation of the "Upstart and leaving job process" project. The recruitment process at HH include standardised routines and internal templates for advertising, recruitment and employment. An update of the internal description of the recruitment process is undertaken during 2018. As a background to this, all parts in the process from development of HH as an attractive work place, to recruitment and introduction, competence development and completion is being analysed. (See also pt 27 on Gender balance)

			Some other relevant HH documents are: Guidelines for recruiting teaching staff, including Career paths in the Appointments, Riktlinjer för antagning av docent vid Högskolan i Halmstad, Reviderade och fastställda av forsknings- och utbildningsnämnden 2016-11-03. Dnr L 2014/158, Riktlinjer för antagning av excellent lärare vid Högskolan i Halmstad, Reviderade och fastställda av forsknings- och utbildningsnämnden 2017-06-08. Dnr L 2017/109, "Riktlinjer för befordringsgång", See pt. 10 on underrepresented groups and pt 16, 18, 19, 27 and 29. Internal education on recruitment started up in 2018, for leaders and recruitment committés, and with a focus on discrimination and equal rights questions. During the past two years, a process involving all staff at HH is initiated to develop new strategies for education, research and cooperation, as well as a new policy for employeeship and leadership. Staff meetings (for all staff) have been held at HH on a six-month basis and during these meetings everyone have been able to contribute to the process, that still is ongoing. The new policy for employeeship and leadership under development is named '"We make each other better" and include many important points of an open, transparent and merit-based recruitment system, including parts highly important for career development etc. It is stated in the policy that 'a prerequisite for reaching our goals is that the University is characterised by a respectful, sustainable and inclusive culture. Employees with different competencies and roles work together and with the students under the motto "We make each other better". Halmstad University's employees have the necessary prerequisites to establish and take responsibility for a good work environment and workplace culture. The University's working methods, organisation and routines free up time for quality assurance management and higher levels of reflection and creativity.'

| 13. Recruitment (Code)

Rekrytering (Allm princ o krav) | + | **Relevant legislation**
Instrument of Government Chapter 12 5§ and Civil Service Act (Lag om offentlig anställning) (1994:260) 4§: For employment shall be paid only objective factors such as merit and skills. Skills must be foremost, unless there are specific reasons for doing otherwise.
Employment Ordinance (Anställningsförordningen) (SFS 1994:373) 4-5 § Assessment grounds for employment 6-8 § Procedures for employment.

Higher Education Ordinance (1993:100) Chapter 5: 3, 5 §§, Chapter 7: 34- 41 §§: Determines eligibility for employment as a PhD student, access to third level education and what applies for information on the vacant position.
The Public Employment Act Section 4 Merits and Competence.

Discrimination Act (2008:567
Regulation of governmental vacancies/ announcements (1984: 819) § 2 - When a job vacancy is announced, it shall also be notified to the Public Employment Service.

Information and Secrecy Act (2009:400)
Registration and disclosure of public documents and appeal | **Organisational regulation**
See also pt 12.
HH-guidelines for recruiting teaching staff and researchers cover most of the demands stated in 'The Code of Conduct for the Recruitment of Researchers' and are easily accessible on the web. A translation to English of the document guidelines for recruitment and employment (Anställningsordning vid Högskolan i Halmstad, Ersätter anställningsordning beslutad av högskolestyrelsen 2017-04-21, dnr: 40-2012-977) is currently in progress.
HH publish an increasingly amont of job advertises in English at the EURAXESS job portal, as an effect of the work with the HRS4R process. The plan is to increase using this and other international channels more frequently. |
| 14. Selection (Code)

Urval | + | **Relevant legislation**
Higher Education Ordinance (Högskoleförordningen) Chapter 4, 5-6. Procedures for employment regarding gender representation in the review panels panels and expert advisors. Chapter 5: 41§. Selection. The Swedish Higher Education Act (Högskolelagen) (1992:1434) | **Organisational regulation**
The composition of the selection committes out from a gender perspective is not regulated in guidelines or similar, but the HH Governing Board and the Research and Education Board (FUN) has a long-term practice to strive for having a balanced composition in selection committes regarding functions and gender. |

15. Transparency (Code) **Insyn**	+	**Relevant legislation** The Swedish Higher Education Act (Högskolelagen) (1992:1434), The Higher Education Ordinance (Högskoleförordningen) (1993:100), Chapter 2 , § 2 , the University Board shall set employment regulations (sw. ning) that the university applies together with the rules of appointment and promotion of teachers. Employment Ordinance (Anställningsförordningen) (1994:373), Public Access to Information and Secrecy Act (Offentlighets- och sekretesslagen) (2009:400).	**Organisational regulation** HH uses an external recruitment system (Varbi). Information about the recruitment process is easy to find on the web for applicants and potential applicants. Applicants are continually informed about the recruitment process via the recruitment system. Relevant documents and guidelines are published on the website. The current shortage at HH regarding information about recruitment processes for applicants in English will be addressed in coming revisions within shortly. See pt 12.
16. Judging merit (Code) **Bedömning av meriter**	+ / -	**Relevant legislation** Instrument of Government (Regeringsformen) Chapter 12 5§ and Civil Service Act (Lag om offentlig anställning) (1994:260) 4§. For employment shall be paid only objective factors such as merit and skills. Skills must be foremost, unless there are specific reasons for doing otherwise. Employment Ordinance (Anställningsförordningen) (1994:373) 4-5 § Assessment grounds for employment 6-8 § Procedures for employment. Higher Education Ordinance (Högskoleförordningen) Chapter 4: Section 3-4 Eligibility and assessment grounds for employment. The Association of Swedish Higher Education Assessment handbook group Working party for drawing up handbooks for assessing qualifications. **Gap:** There is a risk that lack of awareness on e.g. gender perspectives, experiences other than those from the academy etc. may affect the assessment of merits associated with appointments. **HH Action:** HH intend to focus on implementing actions stated in HH Guidelines for recruitment and HH Gender Mainstreaming Action Plan (parts related to the recruitment process). HH	**Organisational regulation** The procedures for recruitment at HH follow national Swedish legislation and are expressed in HH-guidelines for recognition of qualifications (Arbetsordning - Anställningsordning vid Högskolan i Halmstad, Beslutad av högskolestyrelsen 2017-04-21. Ersätter anställningsordning beslutad 2014-12-05. Dnr 40-2012-977). See also pt 12 about ongoing revision. HH's work on getting equality integration into policies etc for the recruitment process is very good, according to expert. Now it is especially important to implement this; inform, educate, etc. Se also discussion under pt 27 (especially) and pts 10, 12, 14, 18, 19 and 29. In the gender mainstreaming plan at Halmstad University the judging or merits is identified as an area for development. Raising competence and knowledge levels as well as analysing steering documents are important means of working with the issue. Guidelines for expert reviewers have been revised in order to combat unconscious gender and other biases. Managers are offered courses in competence-based recruitment and further activities are planned.

		intend to ensure such compliance for instance via training for staff involved in recruitment processes and for managers, via focused information, reminders, follow-ups, eval etc.	
17. Variations in the chronological order of CVs (Code) **Variationer i den kronologiska följden i meritförteckningar**	+	**Relevant legislation** Employment Protection Act (LAS) (1982:80) regulates relationship between employees and employers. Instrument of Government (Regeringsformen) Chapter 12 5§ and Civil Service Act (Lag om offentlig anställning) (1994:260) 4§. For employment shall be paid only objective factors such as merit and skills. Skills must be foremost, unless there are specific reasons for doing otherwise. Employment Ordinance (Anställningsförordningen) (1994:373) 4-5 § Assessments grounds for employment.	**Organisational regulation** Applications are completed in standardised forms in the recruitment system (Varbi), but can otherwise be formulated in a quite freely chosen format.
18. Recognition of mobility experience (Code) **Erkännande av erfarenhet från utlandet/annan sektor osv.**	+	**Relevant legislation** Instrument of Government (Regeringsformen)Chapter 12 5§ and Civil Service Act (Lag om offentlig anställning) (1994:260) 4§. For employment shall be paid only objective factors such as merit and skills. Skills must be foremost, unless there are specific reasons for doing otherwise. Employment Ordinance (Anställningsförordningen) (1994:373) 4-5 § Assessment grounds for employment 6-8 § Procedures for employment.	**Organisational regulation** Mobility, cross-disciplinary and cross-border cooperation are important experiences for researchers, and recognized at HH. The Strategy for HH state that "collaboration at regional, national and international level are of benefit to all parties and promote relevance, vitality and profile development". This aim is reflected in the relative large proportion of international researchers at HH. For HH guidelines and internal processes regarding recruitment of researchers, see pt 11. Routines for recruitment of researchers needs to be broadened and more actively search for applicants of non-Swedish speaking origin and researchers outside the academia. HH also need to develop better routines for reception of international researchers on practical issues such as accomodation, permit issues etc. See also pt 10, 12, 16, 19, 27 and 29.

			Support for international students exists, but needs to be improved and to be better coordinated. Such work is described as a part of the action plan for the Human Resources department at HH for 2019-2021 (Verksamhetsplan 2019–2021 HR-avdelningen), but needs to be concretized and implemented. See pt 28: One of the suggested activities in HH's HRS4R Action Plan is to 'improve reception of international researchers; internal routines for this etc'.
19. Recognition of qualifications (Code) **Erkännande av kvalifikationer**	+	**Relevant legislation** According to the Higher Education Ordinance (Högskoleförordningen) (1993:100) and (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. Instrument of Government (Regeringsformen) Chapter 12 5§ and Civil Service Act (Lag om offentlig anställning) (1994:260) 4§. For employment shall be paid only objective factors such as merit and skills. Skills must be foremost, unless there are specific reasons for doing otherwise. Employment Ordinance (Anställningsförordningen) (1994:373) 4-5 § Assessment grounds for employment 6-8 § Procedures for employment. Directive 2005/36/EC of the European Parliament and of the Council on the recognition of professional qualifications	**Organisational regulation** The procedures for recruitment at HH are regulated by clear guidelines for recognition of qualifications (Arbetsordning - Anställningsordning vid Högskolan i Halmstad, Beslutad av högskolestyrelsen 2017-04-21. Ersätter anställningsordning beslutad 2014-12-05. Dnr 40-2012-977) and the best qualified candidate in relation to the job advert is to be employed See also pt 12 about ongoing revision of guidelines for evaluators (Riktlinjer till sakkunniga vid kompetensbedömning . Fastställda av forsknings- och utbildningsnämnden 2018-04-04. Dnr L 2017/186). See also pt 10, 12, 16, 18, 27 and 29.
20. Seniority (Code) **Tjänsteålder**	+	**Relevant legislation** Instrument of Government (Regeringsformen)Chapter 12, 5§ and Civil Service Act (Lag om offentlig anställning) (1994:260) 4§. For employment shall be paid only objective factors such as merit and skills. Skills must be foremost,	**Organisational regulation** See pt 19, and pt 16 where a related gap is recognized and and action is proposed.

		unless there are specific reasons for doing otherwise. Employment Ordinance (Anställningsförordningen) (1994:373) 4-5 § Assessment grounds for employment 6-8 § Procedures for employment. Discrimination Act 2008: 567 The purpose of the Act is to counteract discrimination and in other ways promote equal rights and opportunities regardless of (...) age.	
21. Postdoctoral appointments (Code) **Post doc-tjänster**	+	**Relevant legislation** Employment Protection Act 1982:80 (LAS) § 5.	**Organisational regulation** HH follow the national collective agreement on post-doc positions. Post-doctoral appointment are regulated at HH in the guidelines for recruitment and employment (Anställningsordning vid Högskolan i Halmstad, Ersätter anställningsordning beslutad av högskolestyrelsen 2017-04-21, dnr: 40-2012-977). HH has to date recruited very few postdoctoral fellows, but being a university with internationalisation much in focus, and a huge need for recruiting researchers, an ambition is to change this in a close future. The process with implemting the EU Charter & Code will likely be useful in order to achieve this.
Working Conditions and Social Security			
22. Recognition of the profession **Erkännande av yrket**	+	**Relevant legislation** Employment Protection Act (1982:80) (LAS) regulates relationship between employees and employers The Swedish Higher Education Act (Högskolelagen) (1992:1434) chapter 1, §6 and chapter 2 §6.	**Organisational regulation** All research staff at Halmstad University are recognized as professionals and treated accordingly at all levels of their careers. Employments at HH follow Swedish legislation and Ph.D. students at HH are employed, and they therefore follow normal employment contracts. As part of their professional development, research staff are encouraged to apply for own

			research funding. HH research support offers courses in application writing and individual support and assistance for this as well as support in project management after successful applications and grant handling (economy, contract handling etc).
23. Research environment **Forskningsmiljö**	+	**Relevant legislation** Work Environment Act (1977:1160). The purpose of this Act is to prevent occupational illness and accidents and to otherwise ensure a good work environment. The Work environment ordinance (Arbetsmiljöförordningen) (1977:1166). Discrimination Act (Diskrimineringslagen) (2008:567). Social Insurance Act (Socialförsäkringslagen) (2010:110).	**Organisational regulation** HH allows for distance work. Necessary investments in laboratories and purchase of equipment is financed either by external or internal resources. See also pt 24.
24. Working conditions **Arbetsvillkor**	+	**Relevant legislation** Work Environment Act (1977:1160). The purpose of this Act is to prevent occupational illness and accidents and to otherwise ensure a good work environment. Parental leave act (Föräldraledighetslagen) (1995:584). The Work environment ordinance (Arbetsmiljöförordningen) (1977:1166). Discrimination Act (Diskrimineringslagen) (2008:567). Civil Service Act (Lag om offentlig anställning) (1994: 260) - regulates the employment for most of those working in government service and in the municipality and county council. Social Insurance Act (Socialförsäkringslagen) (2010:110). Flammable and explosive goods act (Lag om brandfarliga och explosiva varor) (2010:1011). Protection against accidents act (Lag om skydd mot olyckor) (2003:778). The Environmental Code (Förordning med instruktion för statens energiverk) (1988:808). Förordning för statliga myndigheters ansvar ...	**Organisational regulation** Social securites are well developed in Sweden with e.g. good health care, education systems for children, child care etc. In addition to national legislation, collective agreements are important means to ensure good working conditions. For instance, teachers and researchers have a yearly fixed working time wherein flexible working hours are included and work from distance is regulated (Arbetstidsavtal för lärare - Riktlinjer för tjänsteplanering 2015 (Dnr 42-2012-2544) and Arbetstidsavtal för lärare fr.o.m. 2014-01-01 (Dnr 42-2012-2544), see also pt 23. Halmstad University policies claim that there should be a reasonable balance between working hours and leisure time, and meetings and other scheduled times are kept as much as possible to office hours. Employees on parental leave are included in calls to meetings, wage development processes etc. Procedures for the work on equal opportunities are found in the Work environment plans for staff and students respectively,

		funktionshindrade... (kolla med fastighetschefen)	in the Policy for equal opportunities (Policy för lika villkor vid Högskolan i Halmstad 2016 – 2018, Fastställd av högskolestyrelsen 2015-12-11. Dnr L 2015/191), and the Policy for work environment. In addition the university is working on issues of accessibility, both physical and otherwise, such as communication and information. Surveys are done regularly in order to determine how students, PhD students and employees experience their working environment and include e.g.:. - Annual development dialogues for all employees (see also 11 and 28) - Employee surveys with follow-up action plans (every 3rd year) - The Questionaire to Doctoral students (every 3rd year) The results form the surveys are followed up with activities for improving areas that are less than satisfactory. In annual employee interviews/appraisals, issues of equal opportunities are also addressed. See also pt 23.
25. Stability and permanence of employment **Anställningens stabilitet och varaktighet**	+	**Relevant legislation** Employment Protection Act (Lagen om anställningsskydd) (1982:80). Employment contracts are of indefinite duration. Contracts for temporary employment are allowed in the following cases: • Probationary period , not exceeding six months, • General temporary-term ALVA, • Substitute, • Seasonal work, • Workers from age 67. General temporary ALVA (1982:80 §5a). A worker may be employed for a defined time on a general temporary employment, ALVA. There are no specific conditions for employment according to ALVA. Though, when a worker has been employed with the support of the ALVA in aggregate more than two years during the last five years, the employment is transformed to a permanent employment. Other temporary employment besides ALVA does not qualify for a permanent position. Employment Regulation (Anställningsförordningen) (1994:373). Act on	**Organisational regulation** Halmstad University follows the national legislation on employment protection and relevant collective agreements. The Job Security Foundation (Trygghetsstiftelsen) is one work benefit for those in government employment in Sweden, through such collective agreements. Ph.D. students have access to individual support support in finding a new job (www.trygghetsstiftelsen.se) after dissertation. This applies also for other researchers after potential loss of job.

		prohibiting discrimination against part-time workers and workers with fixed-term contracts (Lag om förbud mot diskriminering av deltidsarbetande arbetstagare och arbetstagare med tidsbegränsad anställning) (2002:293). Regulation of higher education (Högskoleförordningen) (1993:100, chapter 4-5). The Higher Swedish Education Act (Högskolelag) (1992:1434). Civil Service Act (Lag om offentlig anställning) (1994: 260)	
26. Funding and salaries **Finansiering och lön**	+	**Relevant legislation** National collective agreements exist between employers and the unions SACO - S and OFR / S, P, O. that ensures researchers receive a contractual salary and equitable social security provisions. https://www.arbetsgivarverket.se/avtal--skrifter/ Kammarkollegiet provides a national group insurance covering all foreign scientists doing research. http://www.kammarkollegiet.se/english/insurance The Social insurance system is an important part of the Swedish security system. The Swedish social insurance covers almost everyone who lives or works in Sweden. It provides financial protection for families and children, people with disabilities and illness, work injury and old age. Through Sweden's membership in the EU, citizens have the right to social security benefits in other EU countries. Swedish Pensions Agency The Pensions Agency's assignment is to administer and disburse the national pension, but also to provide both general and individual information about pensions. Kammarkollegiet provides a national group insurance covering all foreign scientists doing research. http://www.kammarkollegiet.se/english/insurance Possibility to unemployment benefits through National Employment Agency and Unemployment Insurance Fund	**Organisational regulation** All employees in Sweden are guaranteed all social protection through collective agreements and national legislation (see above). All Ph.D. students at HH are employed with salary, and normal social benefits, i.e. no individual scholarships exists at the university. Salary updates and processes are regulated via internal documentation (e.g.: Kriterier vid lönesättning för lärare, teknisk och administrativ personal vid Högskolan i Halmstad, MBL-förhandlat 2007-11-06. Dnr 42-2007-1944, Lokalt kollektivavtal – doktorandstege, Avtal om lönestege för innehavare av anställning som doktorand. Dnr P 2014/16, Lönekartläggning och löneanalys för 2012, Dnr P 2014/36, Lönepolicy och riktlinjer för lön vid Högskolan i Halmstad, Beslutad av Högskolestyrelsen 2004-12-10, Dnr 10-2004-3711 Lönekriterier omförhandlade 2007-11-06, Lönetillägg för särskilda uppdrag inom utbildning och forskning, MBL-förhandlad 2002-01-22, dnr 02-65, Beslut om löneökning i samband med examina, utnämningar och befordran, Gäller fr o m 2010-01-01. Dnr 42-2010-91).

		The Swedish Employment Protection Act (1982:80) – After two years of fixed-term employment employees become permanent employees, with the exception of certain positions e.g. within artistic activities	
27. Gender balance **Jämn könsfördelning**	+ / -	**Relevant legislation** The Discrimination Act (2008: 567) This law is intended to counteract discrimination and in other ways promote equal rights and opportunities regardless of sex, gender identity or expression, ethnicity, religion or other belief, disability, sexual orientation or age. Higher Education Act (Högskolelagen) Chapter 1 , Section 5. The Higher Education Act (Högskolelagen) states that higher education institutions always should comply and promote gender equality. The Higher Education Ordinance (Högskoleförordningen) Chapter 4, Section 5. If a group of individuals are to submit a proposal on the applicants to be considered for appointment to a teaching post, women and men shall be equally represented in the group. **Gap**: The recruitment of academic staff of underrepresented gender at Halmstad University (HH) is still unsatisfactory. It should, however, be noticed that this to a large extent is due to broader underlying societal causes and beyond reasonalbe possibilty for the University to fully influence. It should also be stressed that HH has developed a good and well-covering Gender Mainstreaming Action Plan (see also pt 10). **HH Action** Evaluation of the implementation of HH Gender Mainstreaming Action Plan in the recruitment process in relation to the EU Charter and Code requests. If gaps remain by that time (2021/2022), suggestions for activities will be part of a revised HRS4R Action plan for 2022-2025.	**Organisational regulation** HH has done a solid work on gender questions, and continuously strive to achieve gender balance in all areas and on all levels. The GMA (Gender Mainstreaming in Academia) action plan (see also e.g. pt 10) for HH called for the analysis of several processes, foremost among them the recruitment process. The recruitment process has thus been thoroughly revised, each step reviewed in order to eliminate risks for inequality and obstacles for gender equality. Courses/seminars in gender mainstreaming as well as OTM-R recruitment have been held. A continuation of this is that during 2019 career paths at HH are being analysed with the same (intersectional) gender perspective. In addition, in the letter of regulation (issued by the Ministry of Education and Research) HH has been commissioned to have the recruitment goal of 41% women among newly recruited professors 2017-2019, a goal that has been attained. Detta behöver kollas! GMA (Gender Mainstreaming in Academia) at HH also involves analysing competency development opportunities among staff, how university courses are designed, taught and advertised, an analysis of the annual programme follow-ups from an intersectional gender perspective, etc. as well as seminars on gender, intersectionality, norms, non-discrimination and other pertinent issues. See also pt. 10, 12, 16, 18, 19 and 29.

28. Career development	+ / -	**Relevant legislation**	**Organisational regulation**
Karriärutveckling		The Higher Education Ordinance (Högskoleförordningen) (1993:100), chapter 6, §§28, 29. NB! Proposal in progress!1	HH recognize gaps in pt 28 and 30; these points are discussed jointly here. See also pt 33, 38 and 39.
		Gap: Points 28 and 30 are treated jointly. HH has a system to support career development, and long experience e.g. in reception of internationally recruited researchers. Some needs for improvements have, however, been recognized by the gap-analysis.	Being a university with high ambitions on collaboration and internationalisation, and thus recruiting relatively many researchers from other sectors and from abroad, HH has a lot of experience in recruitment processes, reception, career development etc for these individuals.
		HH Actions Following actions intend to improve the support for career development at HH: i. Packaging of existing career development courses and activites at HH and improve information about such courses and other career support at HH. ii. Monitor the needs for development of additional courses and activities related to career support at HH. iii. Develop process to gather and aggregate needs for career support, recogized e.g. during the annual development dialogues. This in order to improve the follow up of the individual plans emerged from the dialogues, and possibly to coordinate joint activites etc. iv. Offer specific language training for internationally recruited researchers at HH. v. Improve reception of international researchers; internal routines for this etc. vi. Develop mentoring systems for researchers at different levels at HH. Existing systems at some HH schools will be used as best practices examples.	Quite a few initiatives and activities are already initiated at HH and include e.g.: a) Courses in writing applications for research funding for PhD students (and for other researchers if space) is given annually since 2018. b) Courses for HH employees who lead or want to lead research projects are offered twice per year since 2018. c) a "Student Experience and Employability Program" (SEEP) is an experience and employability program with an aim to bring international masters students closer to the Swedish labour market. From 2018 and onwards, these courses are offered (80-100 hours) at HH and include e.g. Swedish language training, Swedish labour market knowledge, employment knowledge, networking, personal development with student portfolio development, education in entrepreneurship, innovation and how to start-up a company. HH currently discuss a possiblity to offer this course, or parts of it (espeacially the language training), also to internationally recruited doctoral students and researchers. d) A workshop on Career Development for PhD students was carried out a test at HH in 2018. The ambition is to offer this kind of workshop on a frequent basis at HH. e) The HR deparment at HH has provided support to the PhD Student Association. f) Questionnaires - the Doctoral barometer - are done every third year at HH, and nationally in Sweden by UHR. Action plans are done out from these, and implemented. g) A special investigation about career support at HH was done in 2018 for the Postgraduate Education Committee (FUU). h) A process description was made in 2017 by the HR department on how the reception of international

			researchers is handled at other HEIs in Sweden. i) Information from KTH university in Stockholm about their service for receiving and introducing international guest researchers, in connection with visits to HH in October 2018. j) HH has started to get involved in the Swedish Euraxess network. The Euraxess also provides some tools for analysis relevant for developing career support. Several other activites are offered at HH in addition such as the individual study and development plans for Ph.D. students (discussed above), other Ph.D. student courses, student health care available for Ph.D. students, courses in pedagogics for higher education (HPC), courses for supervision of Ph.D. students, career plans for Associate professors. Guidelines for Ph.D. student's development are found at the Intranet pages "Support for Doctoral Education", where also e.g. the "Doctoral guide" is found. An important thing is the process involving all staff at HH in order to develop a new policy for Employeeship and Leadership ("We make each other better"). This has been discussed at staff meetings (for all staff), in the process that still is ongoing.
29. Value of mobility **Rörlighetens betydelse**	+	**Relevant legislation** NB! Proposal in progress!. 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 in order to, because of illness, try another job. Leave for workers in the governmental sector - For employees of authorities subordinated the government are special rules in Ordinance respecting Leave of Absence (1984:111) and in collective agreements. Ordinance respecting Leave of Absence also includes rules of right to leave.	**Organisational regulation** HH strategies (Towards 2030 - Vision, Goals and Strategies for Halmstad University) (link) stress collaboration with external parties, recognized by the HH-status as a KK environment (see pt 1) and aims for increased international research cooperation. As an example, HH is currently parner in an application for an international researcher mobility program that was submitted to MSCA-COFUND (co-ordinated by the Region of Western Sweden) in September 2019. HH-research is dependent on mobility among researchers, and quite a few HH's researchers have a background in other types of organisations and/or are recruited from abroad. Internal HH-routines are mainly well developed to ensure recruitment and

			career support for researcher mobility, but there may be room for improvement, as discussed e.g. under pt 28. See also pt. 10, 12, 16, 18, 19, and 27.
30. Access to career advice **Tillgång till karriärrådgivning**	- / +	**Relevant legislation** The Higher Education Ordinance (Högskoleförordningen) (1993:100), chapter 6, §§28, 29 **Gap:** See pt 28 above. **HH Actions:** See pt 28 above.	**Organisational regulation** HH recognize gaps in pt 28 and 30. These points are discussed jointly under pt 28.
31. Intellectual Property Rights **Immateriella rättigheter**	+	**Relevant legislation** Act on the Right to Employee Inventions (Lag om rätten till arbetstagares uppfinningar) (1949: 345) The Swedish Higher Education Act (Högskolelag) (1992:1434) 1 kap 6 § NB! "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 Institutes.	**Organisational regulation** HH has routines for handling of agreements, and legal support for IPR and other legal questions for projects (grant agreements, consortia agreements), cooperation, third parties etc. Guidelines for agreement handling and support are published at the Intranet, also in English Legal support is provided by HH's legal advisor, and external sources can be used in addition, if necessary (see also pt. 5). HH is currently partner in a project with several Swedish HEI-partners, the "Knowledge management platform" , financed by Vinnova (the Swedish Innovation Authority) aiming at further developing the capabilities to utilize research results in collaboration with external partners.
32. Co-authorship **Samförfattarskap**	+	**Relevant legislation** There is no Swedish legislation regarding co-authorship in research. Though, as a response to the recommendation of the European Commission, April 2008, on the management	**Organisational regulation** Cooperation is one of HH's high priorities, with several efforts for cooperation with industry and public services provided, and therefore much encuraged from the management. These efforts

		of intellectual property in knowledge transfer activities and Code of Conduct for universities and other public research organisations, the Association of Swedish Higher Education has developed "Principles for handling intellectual property in research agreements" (Principer för immaterialrättslig hantering i forskningsavtal) which is recommended as praxis for Swedish Higher Education Institutes.	have been recognized by HH's 'Knowledge Foundation Environment' (see pt 4) and means that a substantial part of HH's research and innovation projects are done in collaboration with external often private partners. In combination with other types of collaborations, e.g. on research within health and education sciences, this means that a large proportion of publications are done in cooperation with other researchers and that HH contributes support for necessary legal questions related to research collaboration.
33. Teaching **Undervisning**	+	**Relevant legislation** The 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 regulation** See also pt 28 above. A center for Pedagogical Support and Consultation (HPC) is available at HH and courses in pedagogics for higher education and for supervision of Ph.D. students are provided. Teachers and researchers at HH are ensured compentence development within their working hours through local collective agreements (Arbetstidsavtal för lärare - Riktlinjer för tjänsteplanering 2015 (Dnr 42-2012-2544) and Arbetstidsavtal för lärare fr.o.m. 2014-01-01 (Dnr 42-2012-2544). The research activity rate for Ph.D. students must not be less than 50%, based on the fact that the Ph.D. education is to be carried out for a maximum of eight years (doctoral degree) according to HH regulations.
34. Complains/ appeals **Klagomål/överklaganden**	+	**Relevant legislation** Work Environment Act (1977:1160). The purpose of this Act is to prevent occupational illness and accidents and to otherwise ensure a good work environment. Systematic work (AFS 2001:1) regulations. Systematiskt arbetsmiljöarbete (SAM) föreskrifter Organisational and social working environment (AFS 2015:4). Organisatorisk och social arbetsmiljö AFS 2015:4. Discrimination Act (2008:567). Act (1976: 580) on Co-Determination at Work	**Organisational regulation** Procedures and routines are estblished at HH to handle all kinds of complaints. Such questions related to research and education is headed by the Research and Education Board (FUN) and by the Committe for Doctoral Education (FUU). One examples i the guidelines for handling of misconduct in research (Ordning för hantering av misstänkt vetenskaplig oredlighet vid Högskolan i Halmstad, Fastställd av rektor 2016-06-28. Dnr L 2016/105). Another exampel is the Doctoral student guide that describes

		(MBL) regulates collective labor law. It's name refers to the Act's objective to promote the employees participation of working conditions and management.	the procedure for handling cases where a doctoral student requests to change supervisor (a right according to the Higher Education Ordinance (Högskoleförordningen; 1993:100)). A third example is the guidelines for recruitment and employment (Anställningsordning vid Högskolan i Halmstad, Ersätter anställningsordning beslutad av högskolestyrelsen 2017-04-21, dnr: 40-2012-977) that describes how complaints related to recruitment are handled. The national legislation on Co-Determination in the Workplace (Lag om medbestämmande i arbetslivet) (1976:580) is a fundament for practical procedures and strucures at the university level for handling the relations at the workplace for instance to deal with conflicts of various kind. Information related to Pdh.D. students can be found in the Doctoral student guide: https://www.hh.se/english/research/doctoral-education/doctoral-student-guide.html
35. Participation in decision-making bodies **Deltagande i beslutsfattande organ**	+	**Relevant legislation** Civil Service Act (Lag om offentlig anställning) (1994: 260) - regulates the employment for most of those working in government service and in the municipality and county council. Act (1976: 580) on Co-Determination at Work (MBL) regulates collective labor law. It's name refers to the Act's objective to promote the employees participation of working conditions and management.	**Organisational regulation** HH has a strong so called collegial governing tradition, i.e. teachers and researchers influence by representatives e.g. in HH Governing Board (Föreskrift för val av ledamöter utsedda av lärarna till högskolestyrelsen, Beslut av Högskolestyrelsen 2017-02-17. Dnr L 2017/34), the Research and Education Board (FUN) (Föreskrift för val av ledamöter till forsknings- och utbildningsnämnden. Revidering av rektor 2019-01-21, Dnr L 2018/182), the School Advisory Boards (Föreskrift för val av representanter till akademiråd. Beslut av rektor 2018-10-08. Dnr L 2018/129) etc. Major decisions are preceeded by information and negotiations according to MBL (1976.580). Lack of linguistic understanding in the national language (Swedish) – and thereby lack of information - is a factor that may reduce opportunities to participate in decision-making contexts. HH as a national auhority is obliged to have information in the national language, and do not have the resources to translate all internal information. It should,

			however, be noted that much important information is available in English on intranet or external web pages. HH guidelines regarding translation of information (Riktlinjer för användning av svenska och engelska språket i Högskolans kommunikation, Beslut av förvaltningschefen 2015-05-07. Dnr I 2015/7) states, following the university's international strategic ambitions, that it is the individual administrator who is responsible for judging whether information needs to be translated into or summarized in English, with assistance from the Communications Department. In addition, the current quick technical and digital development increasingly fascilitates translations of important written information. Current development plans at HH stress that important documents onward must be searchable, and thereby easier to translate.
Training and Development			
36. Relation with supervisors **Relationer med handledare**	+	**Relevant legislation** The Higher Education Ordinance (Högskoleförordningen), 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.	**Organisational regulation** The points 36, 37 and 40 are disucced jointly under here. The Guidelines for supervision of Ph.D. students are found in the Doctoral student guide at the university's webpage (https://www.hh.se/english/research/doctoral-education/doctoral-student-guide.html) and cover all aspects relevant for the doctoral training, including e.g. relations to the supervisors. Every Ph.D. student has an Individual study plan, required through the Swedish Higher Education Ordinance. This is an important tool and document that contains both the doctoral student's and the University's commitments. The study plans at HH (link) are updated annually and contain a.o. time plan, key milestones and connection to learning outcomes. The Committee for Doctoral Education (FUU) handles all individual study plans and is the body that approves them. All doctoral education areas at the University have a director of studies that is responsible for monitoring each doctoral student's study environment and academic performance. That

			person is responsible for ensuring that follow-up meetings regarding the doctoral student are carried out each year. Questionaires among Ph.D. students are done on a regular basis (every 3rd year, 2017 the latest), and include issues on e.g. supervision, work conditions, gender and discrimination (see [Doktorandbaromentern](), in Swedish). Gaps identified from the Questionnaires form the basis for action plans that are implemented subsequently. Action Plan for Equal Opportunities and Gender Mainstreaming Plan are examples of important work related to the devolopment for quality development of the doctoral studies at HH. Gender balance in the supervision group is sought for.
			A number of support structures are available at the university as well as on faculty and department level to provide high quality supervision adn Ph.D. education. The Pedagogical Support and Consultation (HPC), and the faculties and central HH-support provide a variety of courses for Ph.D. students; introductory courses, courses in research ethics, writing applications for research gransts as well as specific thematic courses. HH provides professional training for supervisors.
			Some of the most important relevant HH-documents are: Individuell studieplan. Fastställd av forsknings- och utbildningsnämnden 2018-06-07. Dnr L 2015/71, Regler för finansiering av studier på forskarnivå. Fastställda av rektor 2018-09-10. Dnr L 2017/163, Riktlinjer för examination på forskarnivå. Fastställda av Forsknings- och utbildningsnämnden 2015-09-29, reviderade 2018-12-19. Dnr L 2015/131, Riktlinjer för handledning i utbildning på forskarnivå. Fastställda av forsknings- och utbildningsnämnden 2017-03-28. Dnr L 2015/17, Riktlinjer för kursplaner i utbildning på forskarnivå. Fastställda av forsknings- och utbildningsnämnden 2017-12-07. Dnr L 2017/205, Riktlinjer för uppföljning av forskarstuderande. Fastställda av forsknings- och utbildningsnämnden 2016-03-07. Dnr L 2015/50, Riktlinjer för utformning av allmän studieplan för ämne på forskarnivå. Fastställd av Forsknings- och utbildningsnämnden 2014-10-09. Dnr L 2014/108

37. Supervision and managerial duties **Handledning och ledning**	+		**Organisational regulation** The points 36, 37 and 40 are discussed jointly under point 36.
38. Continuing Professional Development **Fortbildning**	+	**Relevant legislation** The Higher Education Ordinance (Högskoleförordningen) (1993:100), Chapter 6, §29 Högskoleförordningen	**Organisational regulation** Point 38 and 39 is discussed under points 28 and 36. In addition, through local collective agreements (Arbetstidsavtal för lärare - Riktlinjer för tjänsteplanering 2015 (Dnr 42-2012-2544) and Arbetstidsavtal för lärare fr.o.m. 2014-01-01 (Dnr 42-2012-2544)) teachers and researchers at HH are ensured time for compentence development within their working hours.
39. Access to research training and continuous development **Tillgång till utbildning och fortbildning**	+	**Relevant legislation** The Higher Education Ordinance (Högskoleförordningen) (1993:100), Chapter 6, §29	**Organisational regulation** Point 38 and 39 is discussed under points 28 and 30. In addition, through local collective agreements (Arbetstidsavtal för lärare - Riktlinjer för tjänsteplanering 2015 (Dnr 42-2012-2544) and Arbetstidsavtal för lärare fr.o.m. 2014-01-01 (Dnr 42-2012-2544)) the teachers and researchers at HH are ensured time for compentence development within their working hours.
40. Supervision **Handledning**	+	**Relevant legislation** The Higher Education Ordinance (Högskoleförordningen) (1993:100) Chapter 6, section 28	**Organisational regulation** The points 36, 37 and 40 are discussed jointly under point 36.

		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.			
Any additional issues					

OTM-R Checklist

A specific self-assessment checklist is provided for Open, Transparent and Merit-Based Recruitment (OTM-R). Please report on the status of achievement, also detail on the indicators and the form of measurement used.

OTM-R checklist for organisations					
	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	+/-	Reviewing current version (today published in swedish) the new version will be translated and published [web link]
2. Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	+/-	Procedures are developed, will be published during the fall 2019

3. Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	-/+	- Training is carried out within the managerial network and part of individual introduction program for new managers. New members of the recruitment committee are being trained.
4. Do we make (sufficient) use of e-recruitment tools?	x	x		+/-	Our recruitment tool, "Varbi" simplifies the administration and ensures that the process are followed. It also gives transparency to the process. Develop-opportunities: more templates and standard answers
5. Do we have a quality control system for OTM-R in place?	x	x	x	++	A recrutiment-committé insures the process according to OTM-R. Statistics are reported to the board
6. Does our current OTM-R policy encourage external candidates to apply?	x	x	x	++	Positions are published external. The trend is more external applicants.
7. Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	++	The current policy is expressing that we are striving for diversity. The new policy encourage international advertisement when applicable. The trend is more international candidates in areas where applicable.
8. Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	++	Yes, the recruitment strategies encourage us to strive for recruiting underrepresented groups.
9. Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	-/+	Will be better aligned in the new policy.
10. Do we have means to monitor whether the most suitable researchers apply?				-/+	Discussions regarding quality of applicants are held. Qualified candidates are recruited.
Advertising and application phase					
11. Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		+/-	There is a standard for this. In the new guidelines for recruitment it will be more clearly expressed that international channels always should be considered.
12. Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit?	x	x		+/-	More links to relevant information could be used. Ads needs to be shortened.
13. Do we make full use of EURAXESS to ensure our research vacancies reach a wider	x	x		-/+	- The share of job adverts posted on EURAXESS: International ads will be published when applicable

audience?						- Trend in the share of applicants recruited from outside the organisation/abroad is also positive
14. Do we make use of other job advertising tools?	x	x			++	We advertise through several different sites
15. Do we keep the administrative burden to a minimum for the candidate?	x				++	Easy through recruitment tool, possible to attach own CV + personal letter
Selection and evaluation phase						
16. Do we have clear rules governing the appointment of selection committees?		x	x		++	Yes, there is guidelines for this.
17. Do we have clear rules concerning the composition of selection committees?		x	x		++	Written guidelines
18. Are the committees sufficiently gender-balanced?		x	x		++	Yes
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
Appointment phase						
20. Do we inform all applicants at the end of the selection process?		x			+/-	Yes. Can according to new process be done earlier in the process for not suitable candidates.
21. Do we provide adequate feedback to interviewees?		x			++	Yes, phonewise or through personal mail.
22. Do we have an appropriate complaints mechanism in place?		x			++	Yes.
Overall assessment						
23. Do we have a system in place to assess whether OTM-R delivers on its objectives?					+/-	Recruitment committé and HR secure the process according to OTM-R