

HR Excellence in Research

Process Description

Process Description

Case number

2023SE178559

Name Organisation under review

Stockholm University

Organisation's contact details

Universitetsvagen 10, Stockholm, 10691, Sweden

Date endorsement charter and code

22/12/2023

Process

The HR Excellence in Research process must engage all management departments directly or indirectly responsible for researchers' HR-issues. These will typically include the Vice-Rector for Research, the Head of Personnel, and other administrative staff members. In addition, the HR Excellence in Research strategy must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4 , as well as appoint a Committee overseeing the process and a Working Group responsible for implementing the process.

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

Name	Position	Steering Committee	Working Group	Management line/ Department
Astrid Söderbergh Widding	President	☒	☐	Senior Management Team
Clas Hättstrand	Vice President	☒	☐	Senior Management Team
Åsa Borin	University Director	☒	☐	Senior Management Team
Henrik Cederquist (to 2023-12-31) Lena Mäler (from 2024-01-01)	Deputy Vice President for Science	☒	☐	Faculty of Science/Senior Management Team
Elisabeth Wåghäll Nivre (to 2023-12-31) Stefan Helgesson (from 2024-01-01)	Deputy Vice President for Human Science	☒	☐	Faculty of Humanities/Senior Management Team
Yvonne Svanström	Deputy Vice President for Human Science	☒	☐	Faculty of Social Sciences/Senior Management Team
Rahwa Ghebresellase	HR Officer	☐	☒	Office of Science
Mats Börjesson	Professor, Head of Department	☐	☒	Department of English
Ulf Nyman	Analyst	☐	☒	President's Office

Name	Position	Steering Committee	Working Group	Management line/ Department
Karin Grelz	Engagement and Collaboration Officer	☐	☒	Office for Research, Engagement and Innovation Services
Kenneth Hjalmarsson	HR Officer	☐	☒	Office of Human Science
Kristina Löfstedt	HR Specialist	☐	☒	Human Resources Office
Gunnar Svensson	Professor, former Head of Department	☐	☒	Department of Materials and Environmental Chemistry
Lena Zeiloth	HR & Administrative Officer	☐	☒	Human Resources Office

Your organisation must consult its stakeholders and involve a representative community of researchers ranging from R1 to R4 (<https://euraxess.ec.europa.eu/europe/career-development/training-researchers/research-profiles-descriptors>), as well as appoint a Committee overseeing the process and a Working Group responsible for the implementation of the HR Excellence in Research process.

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

Stakeholder group	Consultation format	Contributions
R1 – doctoral students, three meetings, 10 persons	Interviews with focus groups, student union representative, PhD-ombudsman	Inform, gathering information and contribute to the GAP analysis and action plan.
R2 – postdocs and young researchers, 3 meetings, 12 persons	Interviews with young researchers, and young faculty	Inform, gathering information and contribute to the GAP analysis and action plan.
R3 – R4 assistant, associate and full professors, 2 meeting, 7 persons	Interviews	Inform, gathering information and contribute to the GAP analysis and action plan.

Stakeholder group	Consultation format	Contributions
SU Coordinators for research ethics	2024-01-11 Interview and discussion	Inform, gathering information and contribute to the GAP analysis and action plan.
Faculty of Science - working committee	2024-01-16 Meeting and discussion	Inform, gathering information and contribute to the GAP analysis and action plan.
The Interdisciplinary Council - a standing committee for the President. The council consists of the university leadership, deans, teacher-representatives in the University Board, and students.	2024-01-29 Information and discussion	Inform, gathering information and contribute to the GAP analysis and action plan.
Heads of the Faculty of Social Sciences	2024-02-08 Information and discussion	Inform, gathering information and contribute to the GAP analysis and action plan.
Faculty board of Social Sciences	2024-02-14 Information and discussion	Inform, gathering information and contribute to the GAP analysis and action plan.
Human, Social and Law Sciences Area Teacher Proposal Boards	2024-02-20 Meeting and discussion	Inform, gathering information and contribute to the GAP analysis and action plan.
Faculty of Law Board	2024-03-05 Information and discussion	Inform, gathering information and contribute to the GAP analysis and action plan.
Human resources-unit (Lena Zeiloth and Kristina Löftstedt)	2024-03-07 Information	Informing of HRS4R-project.
SU – PhD support	2024-03-12 Interview and discussion	Inform, gathering information and contribute to the GAP analysis and action plan.

Stakeholder group	Consultation format	Contributions
SU – Trade union	2024-03-18 Meeting	Inform, gathering information and contribute to the GAP analysis and action plan.
SU – Mentorship program	2024-03-20 Meeting	Inform, gathering information and contribute to the GAP analysis and action plan.
Chemical section board	2024-03-21 meeting	Inform, gathering information and contribute to the GAP analysis and action plan.
Biological section board	2024-03-21 meeting	Inform, gathering information and contribute to the GAP analysis and action plan.
Geological and environmental science section board	2024-03-21 meeting	Inform, gathering information and contribute to the GAP analysis and action plan.
Physical section boards	2024-03-21 meeting	Inform, gathering information and contribute to the GAP analysis and action plan.
R2 Young faculty, Science	2024-04-09 Interview	Inform, gathering information and contribute to the GAP analysis and action plan.
Student union representative	2024-04-10 Interview	Inform, gathering information and contribute to the GAP analysis and action plan.
The University Senior Management Team	2024-04-15 Meeting and discussion	Reporting the process of the project

Stakeholder group	Consultation format	Contributions
Sciences Area Teacher Proposal Boards	2024-04-16 Interview	Inform, gathering information and contribute to the GAP analysis and action plan.
R2 – Humanity, Social science and Law	2024-04-18 Interview	Inform, gathering information and contribute to the GAP analysis and action plan.
R2 – Science	2024-04-22 Interview	Inform, gathering information and contribute to the GAP analysis and action plan.
Faculty of Humanities	2024-04-23 Meeting	Inform, gathering information and contribute to the GAP analysis and action plan.
R3-R4 – Humanity, Social science and Law	2024-04-24 Interview	Inform, gathering information and contribute to the GAP analysis and action plan.
R3-R4 – Science	2024-04-24 Interview	Inform, gathering information and contribute to the GAP analysis and action plan.
R1 – Humanity, Social science and Law	2024-04-29 Interview	Inform, gathering information and contribute to the GAP analysis and action plan.
R1 – Science	2024-05-06 Interview	Inform, gathering information and contribute to the GAP analysis and action plan.
University Administration Management Team	2024-05-08 Meeting	Inform, gathering information and contribute to the GAP analysis and action plan.

Stakeholder group	Consultation format	Contributions
Faculty of Sciences	2024-05-17 Meeting and group discussions	Inform, gathering information and contribute to the GAP analysis and action plan.
The University Senior Management Team	2024-06-03 Meeting and discussion	Reporting the process of the project
Department of Child and Youth Studies	2024-10-02 Meeting and discussion	Inform, gathering information and contribute to the GAP analysis and action plan.
The University Senior Management Team	2024-10-07 Meeting and discussion	Reporting the process of the project
Department of Culture and Aesthetics	2024-10-08 Meeting and discussion	Inform, gathering information and contribute to the GAP analysis and action plan.
The University Senior Management Team	2024-11-25 Meeting and discussion	Reporting the process of the project

Please describe how the Committee overseeing the process was appointed and how it worked (meetings, decisions, etc.):

The project group for HRS4R at Stockholm University (SU) was initiated by the President, Professor Astrid Söderbergh Widding 2023-03-09. The project leaders Professor Mats Börjesson and Professor Gunnar Svensson have reported to a steering group consisting of the university management (Vice President, Professor Clas Hättstrand, Deputy Vice President for Science, Professor Henrik Cederquist, Deputy Vice Presidents for Human Science, Professor Yvonne Svanström and Professor Elisabeth Wåghäll Nivre, University Director Åsa Borin, chaired by the President).

The steering group have been responsible for the strategic management of the work and for the ongoing monitoring of the work. The project leaders were supported by an analyst from the project group, and have reported at four formal university management meetings although informal meetings with members of the board also took place when found necessary. Ongoing decisions were taken by the project team and,

when considered relevant, these decisions were anchored in the senior management team. The management team was kept informed of the project's progress at all times and provided advice, guidance and additional manpower when requested. The final reports were approved by the management team and the decision to submit the application was taken by the President.

Please describe how the Working Group doing the Gap Analysis was appointed:

The project group for the HRS4R project at Stockholm University (SU) was initiated by President Astrid Söderbergh Widding 2023-03-09. Professor Mats Börjesson and Professor Gunnar Svensson were appointed as project leaders. In their role as project leaders they have been responsible for planning and managing the work. In order to support the project leaders, staff from the offices of human science and science (Kenneth Hjalmarsson and Rahwa Ghebresellase), the Human Resources Office (Kristina Löfstedt and Lena Zeiloth), the Office of Research, Engagement and Innovation Services (Karin Grelz) and the President's office (Ulf Nyman) were appointed to form the project group.

The project group met monthly with additional meetings when necessary. The project leaders have reported to a steering group consisting of the university management team, chaired by the President. The steering group was responsible for the strategic management of the work and monitored the work continuously. There have been four formal meetings although informal meetings have also taken place when deemed necessary. Ongoing decisions were taken by the project team and, when deemed relevant, these decisions were anchored with the senior management team. The management team was kept informed of the project's progress at all times and provided advice and guidance where requested. The final reports were approved by the management team and the decision to submit the application was taken by the President.

HR Excellence in Research

GAP Analysis (Charter and Code Checklist)

GAP Analysis (Charter and Code Checklist)

Case number

2023SE178559

Name Organisation under review

Stockholm University

Organisation's contact details

Universitetsvagen 10, Stockholm, 10691, Sweden

Date endorsement charter and code

22/12/2023

GAP Analysis overview

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the GAP Analysis principles 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

Ethical and Professional Aspects

Status

1. Research freedom

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
----------------	----------------------------------	--------------------------------------

++ fully implemented		
----------------------	--	--

2. Ethical principles

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
----------------	----------------------------------	--------------------------------------

+/- almost but not fully i...	This works quite well at Stockholm University, but we do not have enough control mechanisms to say this for certain.	Ensure competence about research ethics for researchers at Stockholm University a) Create a Research Integrity Promotion Plan (RIPP). b) Investigate possibilities for web-based courses in research ethics, for all employees with research as part of their work.
-------------------------------	--	---

3. Professional responsibility

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
----------------	----------------------------------	--------------------------------------

++ fully implemented		
----------------------	--	--

Status

4. Professional attitude

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Good access to high quality information, but difficulties in communicating this information to research students and younger researchers.	Ensure competence about research ethics for researchers at Stockholm University a) Create a Research Integrity Promotion Plan (RIPP). b) Investigate possibilities for web-based courses in research ethics, for all employees with research as part of their work. Strengthen the introduction for newly employed researchers. c) Investigate whether Stockholm University's introduction videos about the university and being a government employee can be made mandatory for new employees. d) Develop a central introduction package to all new employees from outside Sweden. Including e.g. A Beginner's Guide to Swedish Academia - (sverigesungaakademi.se)

Status

5. Contractual and legal obligations

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Good access to high quality information, but difficulties in communicating this information to research students and younger researchers.	Ensure competence about research ethics for researchers at Stockholm University a) Create a Research Integrity Promotion Plan (RIPP). b) Investigate possibilities for web-based courses in research ethics, for all employees with research as part of their work. Strengthen the introduction for newly employed researchers. e) Investigate whether Stockholm University's introduction videos about the university and being a government employee can be made mandatory for new employees. f) Develop a central introduction package to all new employees from outside Sweden. Including e.g. A Beginner's Guide to Swedish Academia - (sverigesungaakademi.se)

6. Accountability

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		

Status

7. Good practice in research

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Stockholm University has clear instructions regarding laws, rules and policies for archiving, data storage and open access to research data. Within most research areas this works well, but within a few areas with complex research infrastructure and large quantities of data there are some difficulties in living up to the standards.	Make it easier for researchers in handling and filing research data according to FAIR and the Archives Act. a) Increase knowledge about laws and regulations regarding handling of data. b) Strengthen the technical support for filing and storing of research data.

8. Dissemination, exploitation of results

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		

9. Public engagement

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		

Status

10. Non discrimination

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		

11. Evaluation/ appraisal systems

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The quality of the performance reviews varies, and there is a potential for improvements through better and clearer instructions for these discussions. There is also a risk that younger researchers in the beginning of their careers do not receive enough support.	A more systematic follow-up of research achievements and a strengthened career planning for individual researchers, R2-R4. a) Improve the instructions for managers regarding the annual performance reviews. b) Improve the templates for follow-ups of research achievements with a focus on the researcher's career planning.

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 in a separate section, which focuses on the operationalization of these principles.

Status

12. Recruitment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		

13. Recruitment (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Currently, there is good information about the recruitment process for groups R3 and R4. Both procedures and regulations are clearly stated on the university and faculty webpages. After reviewing the application procedures for groups R1 and R2, it appears unclear how an application process unfolds, especially for researcher and postdoctoral positions.	Increased transparency regarding recruitment, especially for researchers in categories R1 and R2. a) Develop web-based information for applicants regarding the assessment and selection processes for recruitments. b) Improve the web-based information regarding career opportunities for different researcher positions.

Status

14. Selection (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The employment of doctoral students and postdoctoral researchers is reviewed, assessed, and decided upon at the departmental level. The announcement and advertisement of vacant positions are regulated nationally. A review reveals a lack of description of the selection, assessment, and decision-making processes. This is also not formally regulated at Stockholm University.	Increased transparency regarding recruitment, especially for researchers in categories R1 and R2. a) Develop web-based information for applicants regarding the assessment and selection processes for recruitments. b) Improve the web-based information regarding career opportunities for different researcher positions.

15. Transparency (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Currently, there is good information about the recruitment process for groups R3 and R4. Both procedures and regulations are clearly stated on the university and faculty webpages. After reviewing the application procedures for groups R1 and R2, it appears unclear how an application process unfolds, especially for researcher and postdoctoral positions.	Increased transparency regarding recruitment, especially for researchers in categories R1 and R2. a) Develop web-based information for applicants regarding the assessment and selection processes for recruitments. b) Improve the web-based information regarding career opportunities for different researcher positions.

Status

16. Judging merit (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
----------------	----------------------------------	--------------------------------------

++ fully implemented

17. Variations in the chronological order of CVs (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
----------------	----------------------------------	--------------------------------------

++ fully implemented

18. Recognition of mobility experience (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
----------------	----------------------------------	--------------------------------------

++ fully implemented

Status

19. Recognition of qualifications (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		

20. Seniority (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		

21. Postdoctoral appointments (Code)

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The employment of doctoral students and postdoctoral researchers is reviewed, assessed, and decided upon at the departmental level. The announcement and advertisement of vacant positions are regulated nationally. A review reveals a lack of description of the selection, assessment, and decision-making processes. This is also not formally regulated at Stockholm University.	Increased transparency regarding recruitment, especially for researchers in categories R1 and R2. a) Develop web-based information for applicants regarding the assessment and selection processes for recruitments. b) Improve the web-based information regarding career opportunities for different researcher positions.

Status

Working Conditions and Social Security

22. Recognition of the profession

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
----------------	----------------------------------	--------------------------------------

++ fully implemented		
----------------------	--	--

23. Research environment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
----------------	----------------------------------	--------------------------------------

++ fully implemented		
----------------------	--	--

24. Working conditions

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
----------------	----------------------------------	--------------------------------------

++ fully implemented		
----------------------	--	--

Status

25. Stability and permanence of employment

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
----------------	----------------------------------	--------------------------------------

++ fully implemented		
----------------------	--	--

26. Funding and salaries

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
----------------	----------------------------------	--------------------------------------

++ fully implemented		
----------------------	--	--

27. Gender balance

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
----------------	----------------------------------	--------------------------------------

++ fully implemented		
----------------------	--	--

Status

28. Career development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
-/+ partially implemented	There are many career development activities available, but career development opportunities for young researchers (R2) are perceived as unclear, for instance relating to the possibility to advance to the next step in the career system and the share of research available. Research leadership programmes are based on a selection and focused on research careers, and the extent and quality of career support varies on the department level. Career development opportunities could be more clearly presented and the strategic approach to career development could be more developed and nuanced to cover alternative career paths related to research.	Strengthen the introduction for newly employed researchers. a) Investigate whether Stockholm University's introduction videos about the university and being a government employee can be made mandatory for new employees. b) Develop a central introduction package to all new employees from outside Sweden. Including e.g. A Beginner's Guide to Swedish Academia - (sverigesungaakademi.se) Strengthen the career support, and make it easily available, especially for young researchers c) Investigate the possibilities for a special investment in post docs and young researchers, through development plans, mentorship and coordinators. d) Better coordination of already existing mentoring activities in open cyclical arrangements. e) Investigate the possibilities for an information package regarding career paths within and outside academia, for doctoral students, post docs and young researchers; e.g. according to the EURAXESS Reflex-model.

29. Value of mobility

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		

Status

30. Access to career advice

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	There are several instances of career activities at SU, but access to career advice (and job placement assistance) is unevenly accessible. A further gap is that career advice is largely focused on careers within academia.	Strengthen the career support, and make it easily available, especially for young researchers a) Investigate the possibilities for a special investment in post docs and young researchers, through development plans, mentorship and coordinators. b) Better coordination of already existing mentoring activities in open cyclical arrangements. c) Investigate the possibilities for an information package regarding career paths within and outside academia, for doctoral students, post docs and young researchers; e.g. according to the EURAXESS Reflex-model.

31. Intellectual Property Rights

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		

32. Co-authorship

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		

Status

33. Teaching

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	The opportunities for teaching qualifications are limited for postdoctoral researchers and young scientists. The agreement for postdoctoral researchers states that it is possible to teach up to 20% of full-time employment. The extent of teaching for research positions is not regulated, but it is usually 20% of full-time employment. The opportunity for teaching qualifications is particularly limited in certain subjects where these departments have a small proportion of teaching but significantly more research.	Strengthen the career support, and make it easily available, especially for young researchers a) Investigate the possibilities for a special investment in post docs and young researchers, through development plans, mentorship and coordinators. b) Better coordination of already existing mentoring activities in open cyclical arrangements. c) Investigate the possibilities for an information package regarding career paths within and outside academia, for doctoral students, post docs and young researchers; e.g. according to the EURAXESS Reflex-model.

34. Complains/ appeals

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		

Status

35. Participation in decision-making bodies

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
----------------	----------------------------------	--------------------------------------

++ fully implemented		
----------------------	--	--

Training and Development

36. Relation with supervisors

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
----------------	----------------------------------	--------------------------------------

++ fully implemented		
----------------------	--	--

Status

37. Supervision and managerial duties

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
+/- almost but not fully i...	Stockholm University offers mentorship programs for young researchers. The setup involves appointing mentors for young researchers within the faculty. The mentors are senior researchers who are supposed to support the careers of young researchers. A review reveals that the availability of mentors is unevenly distributed across faculties and needs to be investigated and developed.	Strengthen the career support, and make it easily available, especially for young researchers a) Investigate the possibilities for a special investment in post docs and young researchers, through development plans, mentorship and coordinators. b) Better coordination of already existing mentoring activities in open cyclical arrangements. c) Investigate the possibilities for an information package regarding career paths within and outside academia, for doctoral students, post docs and young researchers; e.g. according to the EURAXESS Reflex-model.

38. Continuing Professional Development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
++ fully implemented		

Status

39. Access to research training and continuous development

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
----------------	----------------------------------	--------------------------------------

++ fully implemented		
----------------------	--	--

40. Supervision

Implementation	GAP / Implementation impediments	Initiatives undertaken/new proposals
----------------	----------------------------------	--------------------------------------

++ fully implemented		
----------------------	--	--

HR Excellence in Research

OTM-R Checklist

OTM-R Checklist

Case number

2023SE178559

Name Organisation under review

Stockholm University

Organisation's contact details

Universitetsvagen 10, Stockholm, 10691, Sweden

Date endorsement charter and code

22/12/2023

Open, Transparent, and Merit-based Recruitment Check-list: OTM-R

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.

- The "Open", "Transparent" and "Merit-based" checkboxes are indicative of the type of policies and practices the questions refer to, as detailed in the C&C. They are pre-set in the HR Excellence in Research E-tool and cannot be changed. No action is needed from institutions in their respect.
- The difference between "+/- Yes substantially" and "-/+ Yes partially" ratings is that in the first case the volume of the remaining work to be done until completion is little as compared to the effort that has been put so far in that direction, whereas for "-/+ Yes partially", the remaining work is either the same in volume or more than what has been achieved.
- For the "Suggested indicators" column, whenever the user hovers the mouse in the row dedicated to each question, a small text box will pop up, indicating options of potential indicators to use. However, each institution should identify own measurements of the effectiveness of its OTM-R policy which should be further reviewed and adapted.

	Open	Transparent	Meritbased	Answer:	Suggested indicators (or form of measurement)
OTM-R system					
Have we published a version of our OTM-R policy online (in the national language and in English)?	x	x	x	++ Yes completely	https://medarbetare.su.se/en/our-su/governance/rules--regulations/personnel/rules-of-employment-for-the-recruitment-and-promotion-of-teachers-at-stockholm-university-aosu https://medarbetare.su.se/anstallning/hr-for-chefer/rekrytera-och-anstalla/rekrytering-vid-stockholms-universitet (in Swedish) https://medarbetare.su.se/en/our-su/governance/rules--regulations/education/regulations-for-third-cycle-education-and-summative-assessment
Do we have an internal guide setting out clear OTM-R procedures and practices for all types of positions?	x	x	x	++ Yes completely	https://medarbetare.su.se/anstallning/hr-for-chefer/rekrytera-och-anstalla/rekrytering-vid-stockholms-universitet (in Swedish) GAP identified: See action 4 in the HRS4R action plan
Is everyone involved in the process sufficiently trained in the area of OTM-R?	x	x	x	++ Yes completely	According the Rules and Guidelines to the appointments procedure- staff involved in the recruitment should participate in training arranged by the Faculties and/or Human Resources Office.
Do we make (sufficient) use of e-recruitment tools?	x	x		++ Yes completely	SU has a Web-based tool for all stages in the recruitment process.
Do we have a quality control system for OTM-R in place?	x	x	x	++ Yes completely	https://medarbetare.su.se/en/our-su/governance/rules--regulations/personnel/rules-of-employment-for-the-recruitment-and-promotion-of-teachers-at-stockholm-university-aosu https://medarbetare.su.se/anstallning/hr-for-chefer/rekrytera-och-anstalla/rekrytering-vid-stockholms-universitet (in Swedish) In the recruitment process SU applies: - Recruiting committees - Recruiting- and promotion boards
Does our current OTM-R policy encourage external candidates to apply?	x	x	x	++ Yes completely	All candidates are encouraged to apply for vacant positions. We have a large proportion of external candidates for advertised positions.
Is our current OTM-R policy in line with policies to attract researchers from abroad?	x	x	x	++ Yes completely	https://www.riksdagen.se/sv/dokument-och-lagar/dokument/svensk-forfattningssamling/lag-1994260-om-offentlig-anstallning_sfs-1994-260/ https://www.su.se/english/about-the-university/work-at-su/how-to-apply-for-a-position

	Open	Transparent	Meritbased	Answer:	Suggested indicators (or form of measurement)
Is our current OTM-R policy in line with policies to attract underrepresented groups?	x	x	x	++ Yes completely	All candidates are encouraged to apply for vacant position. https://medarbetare.su.se/en/our-su/governance/rules--regulations/personnel/rules-of-employment-for-the-recruitment-and-promotion-of-teachers-at-stockholm-university-aosu https://medarbetare.su.se/anstallning/hr-for-chefer/rekrytera-och-anstalla/rekrytering-vid-stockholms-universitet (in Swedish) https://medarbetare.su.se/en/employment/working-environment-and-equal-terms Assessments based on skills and experience shall form the basis for recruitment and promotion.
Is our current OTM-R policy in line with policies to provide attractive working conditions for researchers?	x	x	x	++ Yes completely	Yes according to Swedish labour law, SU also has central (https://www.arbetsgivarverket.se/avtal-och-skrifter) and local (https://medarbetare.su.se/download/18.129faf2418e359d8f424ca3c/1725542567059/Villkorsavtal_SU.pdf) collective agreements. Summary in English: https://medarbetare.su.se/download/18.672795e3191cc6ebca2d0374/1725968966759/You_and_Your_Workplace_240910tk.p
Do we have means to monitor whether the most suitable researchers apply?				++ Yes completely	See point 5 and 14 in this document.
Advertising and application phase					
Do we have clear guidelines or templates (e.g., EURAXESS) for advertising positions?	x	x		++ Yes completely	SU has advertisement templates for all positions. The templates can be found on SU:s webb and are implemented in SU:s recruitment system. Through our electronic recruitment system, the positions are sent to the different sites we want to use for the advertisement, for example Euraxess.
Do we include in the job advertisement references/links to all the elements foreseen in the relevant section of the toolkit?	x	x		++ Yes completely	For example links to trade unions, benefits, GDPR policy etc and information about SU:s work with Equality and discrimination
Do we make full use of EURAXESS to ensure our research vacancies reach a wider audience?	x	x		++ Yes completely	SU posts academic positions at EURAXESS.

	Open	Transparent	Meritbased	Answer:	Suggested indicators (or form of measurement)
Do we make use of other job advertising tools?	x	x		++ Yes completely	Through our e-recruitment system we advertise academic positions at several international and national job boards at Platsbanken and LinkedIn. Individual personal contact networks are often used to circulate information about advertisements.
Do we keep the administrative burden to a minimum for the candidate?	x			++ Yes completely	The candidates use the electronic recruitment system to make the application. In the system we have information (each faculty about the career portfolio that is to be used for academic positions.
Selection and evaluation phase					
Do we have clear rules governing the appointment of selection committees?		x	x	++ Yes completely	Yes. https://medarbetare.su.se/en/our-su/governance/rules--regulations/personnel/rules-of-employment-for-the-recruitment-and-promotion-of-teachers-at-stockholm-university-aosu https://medarbetare.su.se/anstallning/hr-for-chefer/rekrytera-och-anstalla/rekrytering-vid-stockholms-universitet (in Swedish) https://medarbetare.su.se/en/our-su/governance/rules--regulations/education/regulations-for-third-cycle-education-and-summative-assessment
Do we have clear rules concerning the composition of selection committees?		x	x	++ Yes completely	Yes. https://medarbetare.su.se/en/our-su/governance/rules--regulations/personnel/rules-of-employment-for-the-recruitment-and-promotion-of-teachers-at-stockholm-university-aosu https://medarbetare.su.se/anstallning/hr-for-chefer/rekrytera-och-anstalla/rekrytering-vid-stockholms-universitet (in Swedish) https://medarbetare.su.se/en/our-su/governance/rules--regulations/education/regulations-for-third-cycle-education-and-summative-assessment
Are the committees sufficiently gender-balanced?		x	x	++ Yes completely	Yes. Please see page 7 in https://medarbetare.su.se/en/our-su/governance/rules--regulations/personnel/rules-of-employment-for-the-recruitment-and-promotion-of-teachers-at-stockholm-university-aosu
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	++ Yes completely	Yes. https://medarbetare.su.se/en/our-su/governance/rules--regulations/personnel/rules-of-employment-for-the-recruitment-and-promotion-of-teachers-at-stockholm-university-aosu https://medarbetare.su.se/anstallning/hr-for-chefer/rekrytera-och-anstalla/rekrytering-vid-stockholms-universitet (in Swedish) https://medarbetare.su.se/en/our-su/governance/rules--regulations/education/regulations-for-third-cycle-education-and-summative-assessment
Appointment phase					
Do we inform all applicants at the end of the selection process?		x		++ Yes completely	Yes. The board's suggestion on whom should be employed is stated in a protocol, which is sent to the interviewed candidates. All candidates who have applied for the position will get an e-mail through our recruiting system that informs about who got the position.
Do we provide adequate feedback to interviewees?		x		++ Yes completely	See answer on the question above.

Open	Transparent	Meritbased	Answer:	Suggested indicators (or form of measurement)
Do we have an appropriate complaints mechanism in place?	x		++ Yes completely	Yes, according to Swedish law. In the notice of the employment decision, it is also information to the applicants about the possibility to appeal. On SU:s webb, you find instructions on how SU is handling appeals: https://www.su.se/english/about-the-university/work-at-su/our-employees-are-important/how-to-appeal-an-employment-decision-1.519981
Overall assessment				
Do we have a system in place to assess whether OTM-R delivers on its objectives?			++ Yes completely	Yes – according Swedish law and internal routines and regulations. Also see point 5.

HR Excellence in Research

Action Plan

Action Plan

Case number

2023SE178559

Name Organisation under review

Stockholm University

Organisation's contact details

Universitetsvagen 10, Stockholm, 10691, Sweden

1. Organisational Information

Please provide a limited number of key figures for your organisation. Figures marked * are compulsory.

STAFF & STUDENTS	FTE
Total researchers = staff, fellowship holders, bursary holders, PhD. students either full-time or part-time involved in research *	2 916
Of whom are international (i.e. foreign nationality) *	Stockholm university is by law
Of whom are externally funded (i.e. for whom the organisation is host organisation) *	Stockholm University's total r
Of whom are women *	1 385
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor. *	1 772 (Including researchers,
Of whom are stage R2 = in most organisations corresponding with postdoctoral level *	259 (Including postdocs and
Of whom are stage R1 = in most organisations corresponding with doctoral level *	864 (PhD Students)
Total number of students (if relevant) *	29 400
Total number of staff (including management, administrative, teaching and research staff) *	4 744
RESEARCH FUNDING (figures for most recent fiscal year)	€
Total annual organisational budget	EUR 542 598 260
Annual organisational direct government funding (designated for research)	EUR 159 676 737
Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	EUR 122 003 594
Annual funding from private, non-government sources, designated for research	EUR 35 909 488

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

Stockholm University (SU) is a public agency governed by laws, and regulations established by the government. The University Board serves as the highest decision-making body and the President is the head of the agency. Education and research are organised into two subject areas: human science and science. Human science encompassing three faculties: Humanities, Social Sciences and Law, and science comprising a science faculty.

SU maintains a tiered leadership model where departments hold operational responsibility closely aligned with their activities, areas/faculties oversee recruitments and strategic development within their scientific domains, and the university management holds overarching responsibility for the strategic direction.

2. Strengths and weaknesses of the current practice

Please provide an overview of the organisation in terms of the current strengths and weaknesses of the current practice under the four thematic headings of the Charter and Code at your organization.

Note: Click on the name of each of the four thematic headings of the Charter and Code to open the editor and provide your answer.

Ethical and professional aspects*



Strengths and Weaknesses (max. 800 words)

Strengths:

The tiered leadership model of Stockholm University (SU) enables a high degree of freedom and integrity in research, and a high degree of departmental autonomy. Combined with a relatively large proportion of governmentally funded basic research this gives the departments and centres ample scope to foster and develop scientific professionalism according to the logic and traditions of their respective disciplines..

In addition to the traditional departments, SU has a number of centres with special missions to promote scientific excellence, mediate transdisciplinary collaboration, encourage internationalisation or carry processes of societal engagement and innovation. Moreover, as a university located in a capital city SU has the regional advantage of proximity to private and public sectors as well as NGO:s and media, with a high degree of trans-sectoral mobility. This multifaceted interface benefits processes of valorization, engagement and policy work and increases the relevance of and trust in academic institutions and scientific methods.

SU has ambitious overarching organisational goals with a four-year university strategy document, and plans and policies for Sustainable development, Open science, Gender mainstreaming, Research integrity and ethics (according to the ALLEA-code) as well as for Innovation and IP-rights. These documents and declarations are supported by two-year action plans on the science area level as well as for the university administration. In addition, the action plans are supplemented by interfaculty panels on specific topics and instructions of procedures on the web.

Weaknesses:

Despite its strengths, the organisational model presents challenges related to transparency, governance and communication. However, at a such large university as Stockholm University, these challenges are likely to arise irrespective of organisational structure.

In trans-sectoral collaboration, where partners operate according to different logics, there is an inherent risk of organisational hybridisation, potentially compromising fundamental values and principles of transparent and independent research.

Although onboarding processes and detailed governance structures are well-documented on the internal website, individual researchers—particularly visiting scholars—may still feel disconnected from or unaware of the university's governing principles and processes.

To address these challenges, the creation and implementation of a Research Integrity Promotion Plan (RIPP) is invaluable. Such a plan provides a comprehensive inventory of existing resources and gaps, alongside concrete steps for addressing identified needs. It will include measures to enhance structures, procedures, support functions, and resources for information and education. Examples

include web-based courses on research integrity and ethics, ensuring greater accessibility and understanding across the academic community.

Strengths and Weaknesses (max. 800 words)**Strengths:**

Stockholm University (SU) has a well-established, well recognised and transparent procedure for the hiring and promotion of faculty members in groups R3 and R4. The process is grounded in the belief that unbiased evaluations of the applicants ensure that the most qualified will be hired on each position. To ensure impartial assessments of the applications SU uses external reviewers, often from outside Sweden. The system with external evaluators enhances the transparency and legal robustness of the process for all applicants.

Furthermore, the Academic Appointments Board plays a pivotal role, conducting interviews and trial lectures with the top-ranked candidates identified by the reviewers. Applicants are kept informed at each step throughout the process, with reviewer reports and board minutes shared with the candidates. Additionally, all applicants have the right to appeal final appointment decisions. Appeals are handled by an external national body, the Higher Education Appeals Board (Överklagandenämnden för högskolan). The process used is based on academic traditions and are more stringent than the demands in the national legislation.

Weaknesses:

For groups R1 and R2 it is somewhat less structured. In Sweden most all doctoral students are employed as *doktorand* (doctoral student) and regulations regarding announcement, admission and applications is well defined, both nationally and at the university level. However, the employment of doctoral students is managed at the departmental level, where there is often a lack of clear documentation regarding selection, assessment, and decision-making processes. This absence of formal regulation at SU (and at the national level) can lead to a less transparent process to applicants.

For postdoctoral researchers, regulations are even less detailed. Employment decisions for researchers are also handled at the departmental level. While the advertisement of vacant positions is regulated nationally, there are no formal guidelines at either the national or SU level outlining how applications should be assessed or the most qualified candidates selected. Consequently, the process can appear unclear and vague.

That said, it is important to highlight that employment decisions for postdoctoral researchers can also be appealed to the Higher Education Appeals Board. This requirement ensures that selection processes are conducted in a manner that can withstand external scrutiny, contributing to a baseline level of transparency and merit-based decision-making.

Working conditions*



Strengths and Weaknesses (max. 800 words)

Strengths:

Stockholm University (SU) has fully implemented the principles of the EU Charter and Code (C&C) regarding employment conditions. Many of these principles are governed by Swedish law, regulations, national and local collective agreements, as well as internal policies and guidelines. Together, these frameworks ensure favorable working conditions.

Weaknesses:

One area of improvement is the visibility and accessibility of employment terms for new employees. While SU has identified internationally recruited staff as a priority group, this action also extends to nationally recruited staff. Additionally, SU aims to enhance understanding of what it means to be employed by a public authority. To address this, SU plans to introduce an orientation package for new hires that acknowledges the diverse backgrounds of university staff, a strategy deemed essential for workplace integration and effective onboarding.

Another area for improvement is career development for early-career researchers (R2), where there is significant potential to better coordinate and strengthen existing initiatives such as performance reviews, mentorship programmes, and career transition support. Performance reviews are conducted annually with each researcher's immediate supervisor, but currently, these discussions focus more on workplace conditions than on research activities. SU aims to encourage researchers and their supervisors to widen their focus, thereby gaining insight into career development opportunities and aspirations.

Recognising that not all researchers will remain in academia, SU is also committed to enhancing support for researchers exploring alternative career paths.

Training and development*



Strengths and Weaknesses (max. 800 words)

According to the gap analysis Stockholm University has fully implemented all principles but one within this category.

Strengths:

- Each doctoral student has an individual study plan (ISP). The ISP outlines the obligations of both the student and the university.
- The Centre for the Advancement of University Teaching offers courses and workshops for teachers and supervisors, with the means and opportunity to critically reflect on different aspects of teaching and/or supervision.
- The Mentoring Programme, is aimed at junior researchers across all areas of the university. The mentors are senior researchers who are intended to support the career development of the younger researchers.
- Stockholm University conducts annual performance reviews for all staff members. These discussions are prepared and structured annually held dialogues between the staff member and his or her immediate superior. The purpose of the personal development discussion is to foster both organizational and individual growth, thereby creating favorable conditions for a well-functioning university.

Weaknesses:

- A review of the university mentoring programme has revealed that the availability of mentors is unevenly distributed across faculties. This issue needs to be investigated and developed.

3. Actions

The Action Plan and HR Excellence in Research strategy must be published on an easily accessible location of the organisation's website.

Please provide the web link to the organization's Action Plan/HR Strategy dedicated webpage(s). Multiple links must be comma separated.

<http://www.su.se/hrs4r> (<http://www.su.se/hrs4r>)

Please fill in the list of all individual actions to be undertaken in your organisation's HR Excellence in Research to address the weaknesses or strengths identified in the Gap-Analysis. The listed actions should be concise, but detailed enough for the assessors to evaluate the level of ambition, engagement and the expected implementation process. The institution should strive to provide a detailed plan, not just an enumeration of actions.

Note: Choose one or more of the principles automatically retrieved from the GAP Analysis with their ratings.

Proposed ACTIONS

Action 1		Timing (at least by year's quarter/semester)
Ensure competence about research ethics for researchers at Stockholm University a) Create a Research Integrity Promotion Plan (RIPP). b) Investigate possibilities for web-based courses in research ethics, for all employees with research as part of their work.	GAP Principle(s)	
	(+/-) 2. Ethical principles	
	(+/-) 4. Professional attitude	Q1 2027
	(+/-) 5. Contractual and legal obligations	
	Responsible Unit	
	Indicator(s) / Target(s)	
	Office for Research, Engagement and Innovation Services	The RIPP is available on the university website. Courses are implemented, with a possibility to check who has accomplished them.

Proposed ACTIONS

Action 2

Make it easier for researchers in handling and filing research data according to FAIR and the Archives Act. a) Increase knowledge about laws and regulations regarding handling of data. b) Strengthen the technical support for filing and storing of research data.

GAP Principle(s)

(+/-) 7. Good practice in research

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

Q4 2027

Responsible

Unit

Indicator(s) / Target(s)

Stockholm

University
Library in
cooperation
with IT
Services

The researchers shall have competence and possibilities to file and store their research data according to FAIR. This is ensured by all departments having a data storage plan and adherent research infrastructure.

Proposed ACTIONS

Action 3

A more systematic follow-up of research achievements and a strengthened career planning for individual researchers, R2-R4. a) Improve the instructions for managers regarding the annual performance reviews. b) Improve the templates for follow-ups of research achievements with a focus on the researcher's career planning.

GAP Principle(s)

(+/-) 11. Evaluation/ appraisal systems

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

Q4 2026

Responsible

Unit

Indicator(s) / Target(s)

Human
Resources
Office

Instructions and templates are updated and used in line with the university's intentions.

Proposed ACTIONS

Action 4

Increased transparency regarding recruitment, especially for researchers in categories R1 and R2. a) Develop web-based information for applicants regarding the assessment and selection processes for recruitments. b) Improve the web-based information regarding career opportunities for different researcher positions.

GAP Principle(s)

(+/-) 13. Recruitment (Code)

(+/-) 14. Selection (Code)

(+/-) 15. Transparency (Code)

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

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

Q2 2028

Responsible

Unit

Indicator(s) / Target(s)

RUFUS will
decide how
this will be
organised.

Information is easily accessible on the university's website.

Proposed ACTIONS

Action 5

Strengthen the introduction for newly employed researchers.
a) Investigate whether Stockholm University's introduction videos about the university and being a government employee can be made mandatory for new employees. b) Develop a central introduction package to all new employees from outside Sweden. Including e.g.
<https://sverigesungaakademi.se/en/publications/book-a-beginners-guide-to-swedish-academia-2/>

GAP Principle(s)

(+/-) 4. Professional attitude

(+/-) 5. Contractual and legal obligations

(-/+) 28. Career development

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

Q2 2028

Responsible

Unit

Indicator(s) / Target(s)

Human
Resources
Office

Information is easily accessible on the university's website.
Check by managers that the new employees have taken note of the information.

Proposed ACTIONS

Action 6

Strengthen the career support, and make it easily available, especially for young researchers a) Investigate the possibilities for a special investment in post docs and young researchers, through development plans, mentorship and coordinators. b) Better coordination of already existing mentoring activities in open cyclical arrangements. c) Investigate the possibilities for an information package regarding career paths within and outside academia, for doctoral students, post docs and young researchers; e.g. according to the EURAXESS Reflex-model.

GAP Principle(s)

- (-/+) 28. Career development
- (+/-) 30. Access to career advice
- (+/-) 33. Teaching
- (+/-) 37. Supervision and managerial duties

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

Q2 2028

Responsible

Unit

Indicator(s) / Target(s)

RUFUS will decide how this will be organised

The processes for career support for young researchers must be visible and clear on the university website.

Unselected principles:

- (++) 1. Research freedom (++) 3. Professional responsibility (++) 6. Accountability (++) 8. Dissemination, exploitation of results
- (++) 9. Public engagement (++) 10. Non discrimination (++) 12. Recruitment (++) 16. Judging merit (Code)
- (++) 17. Variations in the chronological order of CVs (Code) (++) 18. Recognition of mobility experience (Code)
- (++) 19. Recognition of qualifications (Code) (++) 20. Seniority (Code) (++) 22. Recognition of the profession (++) 23. Research environment

(++) 24. Working conditions (++) 25. Stability and permanence of employment (++) 26. Funding and salaries (++) 27. Gender balance

(++) 29. Value of mobility (++) 31. Intellectual Property Rights (++) 32. Co-authorship (++) 34. Complaints/ appeals

(++) 35. Participation in decision-making bodies (++) 36. Relation with supervisors (++) 38. Continuing Professional Development

(++) 39. Access to research training and continuous development (++) 40. Supervision

The establishment of an Open Recruitment Policy is a key element in the HR Excellence in Research strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan. (max. 1000 words) *

The conclusions of the gap analysis are that Stockholm University is already following an Open Recruitment Policy. This is in part due to a rather comprehensive Swedish legislation but also to internal policies and guidelines.

Stockholm University is following the principles regarding OTM-R to a very high degree. However, our gap analysis shows that the transparency regarding recruitment, especially for researchers in categories R1 and R2 could be increased. What is lacking is mainly the beforehand information to applicants regarding the assessment and selection processes, but also regarding career opportunities. This is handled in Action 4 mentioned above.

The OTM-R toolkit is a good tool for this purpose. One of its greatest advantages is that it is short and concise, and therefore works well as a check list. But its content is not new to SU, and is in almost all parts included in Swedish legislation and/or internal policies and guidelines.

If your organisation already has a recruitment strategy which implements the principles of Open, Transparent and Merit-Based Recruitment, please provide the web link where this strategy can be found on your organisation's website. Multiple links must be comma separated:

URL:

<https://medarbetare.su.se/en/our-su/governance/rules-regulations/personnel/rules-of-employment-for-the-recruitment-and-promotion-of-teachers-at-stockholm-university-aosu> (<https://medarbetare.su.se/en/our-su/governance/rules-regulations/personnel/rules-of-employment-for-the-recruitment-and-promotion-of-teachers-at-stockholm-university-aosu>)

4. Implementation

General overview of the expected overall implementation process of the action plan: (max. 1000 words)

Stockholm University has in the end of 2024 established The President's Committee for Research Evaluation and System for Quality Assurance, of which the Swedish acronym will be RUFUS (*Rektors Utskott för Forskningsutvärdering och System för kvalitetssäkring*). The members of RUFUS include the President, the Vice President, the three Deputy Vice Presidents and the University Director. One person from the President's Office will act as administrative support to the committee. RUFUS will function as the steering committee and has the overall responsibility for the continued work of HRS4R and the implementation process of the action plan.

With RUFUS as the steering committee, the HRS4R processes will be an integrated part of the overall work and activities at the university. As researchers and teachers constitute the ordinary decision making bodies and working committees, they will be naturally involved also in the HRS4R work.

HRS4R activities will be incorporated into the regular activity plans for the different parts of the university, and the university will also in its recruitment policies include that it works according to HRS4R.

The responsibility of assuring the operative and executive implementation will be held by the President's Office, a central unit of the university administration. From this office 1-2 implementation officers will be appointed, to coordinate necessary steps for the pursuit of the actions outlined in the Action Plan, ensuring that all relevant stakeholders (R1-R4) are consulted accordingly. The implementation officer(s) will meet with RUFUS on a regular basis, and will also be in charge of the Internal Review after 24 months and the Revised Action Plan.

For each action outlined above, there is also a responsible unit tasked with taking the necessary steps to achieve the specific action, following the stated timeline.

HRS4R activities will be incorporated into the regular activity plans for the different parts of the university, and the university will also in its recruitment policies include that it works according to HRS4R.

The responsibility of assuring the operative and executive implementation will be held by the President's Office, a central unit of the university administration. From this office 1-2 implementation officers will be appointed, to coordinate necessary steps for the pursuit of the actions outlined in the Action Plan, ensuring that all relevant stakeholders (R1-R4) are consulted accordingly. The implementation officer(s) will meet with RUFUS on a regular basis, and will also be in charge of the Internal Review after 24 months and the Revised Action Plan.

For each action outlined there is also a responsible unit tasked with taking the necessary steps to achieve the specific action, following the stated timeline.

[UN1]Skrivningarna om RUFUS ska stämmas av mot beslutet av inrättandet av dito, för att se att de stämmer överens.

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

Note: Click on each question of the checklist to open the editor.

How will the implementation committee and/or steering group regularly oversee progress?*



Detailed description and duly justification (max. 500 words)

The routines for overseeing the progress are to be decided in detail by RUFUS and the implementation officers.

What is important in long implementation processes like this, is that the implementation officers have regular check-ups with the units responsible for the implementation of each action. Depending on the complexity of the action this should likely be a part of the ordinary tertiary follow-ups at the university. Information gathered from these check-ups will then be communicated to stakeholders, with any feedback from stakeholders being relayed back to the responsible units.

As mentioned earlier, the implementation officers will meet regularly with RUFUS to provide overall updates on the implementation process. This will likely mean meetings at least 4 times a year.

How do you intend to involve the research community, your main stakeholders, in the implementation process?*



Detailed description and duly justification (max. 500 words)

The involvement of the research community in the implementation process will also be decided in detail by RUFUS and the implementation officers.

Different actions involve different stakeholders (R1-R4), meaning that there will not be *one* permanent implementation committee for all actions, nor a *single* approach for involving the research community and stakeholders. Depending on the gaps, actions, and stakeholders involved, the approach may vary, whether through interviews, surveys, or both.

What is crucial for Stockholm university, and what is widely recognised throughout the organization, is the importance of including the research community and stakeholders in the process. Without this inclusion, the progress and sustainability of the process are unlikely to endure. This will be achieved through existing boards and committees such as the student union's faculty councils for PhD-students (R1) consisting of representants from the PhD councils at the departments. For post-docs, young researchers and assistant professors (R2) the Young Faculty at the science faculty is a natural reference group. The faculty management will also encourage the establishment of young faculties also at the human science area. For R3 and R4 regular meetings with heads of department, faculty committees, sections boards, and information sessions at the department level will serve as natural forums for engagement.

How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy. *



Detailed description and duly justification (max. 500 words)

See the first Implementation box (General overview of the expected overall implementation process of the action plan) above.

How will you ensure that the proposed actions are implemented?*



Detailed description and duly justification (max. 500 words)

Please refer to the answers above to the questions “How will the implementation committee and/or steering group regularly oversee progress?” and “How do you intend to involve the research community, your main stakeholders, in the implementation process?”

In cases where quantitative measures are relevant and easily accessible they will also be used. Examples of such measures include:

- Number of participants in the web-based courses
- Number of participants in our mentoring programmes
- Number of unique visitors on specific websites

How will you monitor progress (timeline)?*



Detailed description and duly justification (max. 500 words)

See answers above for “How will the implementation committee and/or steering group regularly oversee progress?” and “How do you intend to involve the research community, your main stakeholders, in the implementation process?”

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



Detailed description and duly justification (max. 500 words)

See answers above.

Additional remarks/comments about the proposed implementation process: (max. 1000 words)

For Stockholm University it is important to view the HRS4R process as a unified, interconnected process, rather than multiple parallel processes. Overseeing progress, implementing actions, involving research community/stakeholders, monitoring/measuring progress, recognizing HRS4R in our policies, etc, are all integral parts of the same process and are not always easily separated.