

TEMPLATE 4: ACTION PLAN

Case number: 2018SE337053
Name Organisation under review: Södertörn University, Huddinge, Sweden
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SUBMISSION DATE: 2019-09-10

1. ORGANISATIONAL INFORMATION

Please provide a limited number of key figures¹ 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	412 ²
Of whom are international (i.e. foreign nationality)	n.a. ³
Of whom are externally funded (i.e. for whom the organisation is host organisation)	n.a. ⁴
Of whom are women	224 ⁵
Of whom are stage R3 or R4 = Researchers with a large degree of autonomy, typically holding the status of Principal Investigator or Professor.	337 ⁶
Of whom are stage R2 = in most organisations corresponding with postdoctoral level	15 ⁷
Of whom are stage R1 = in most organisations corresponding with doctoral level	61
Total number of students (if relevant)	12 805
Total number of staff (including management, administrative, teaching and research staff)	796
RESEARCH FUNDING (figures for most recent fiscal year)	€ million ⁸
Total annual organisational budget (for research)	30.54
Annual organisational direct government funding (designated for research) ⁹	25.39

¹ Key figures are referenced from the 2020 Annual Report, in FTE. ([Årsredovisning – Södertörns högskola 2020](#)).

² 351 employees in teaching and researcher positions (PhD degree holders) and 61 doctoral students. ([Årsredovisning – Södertörns högskola 2020](#), p 54).

³ This statistical data is not available. (Since it is not relevant for remuneration, this data cannot be extracted).

⁴ This statistical data is not available. Most researchers are externally funded to some extent. The share of external funding is 69% of the total research budget of SH in 2020. ([Årsredovisning – Södertörns högskola 2020](#), p 33).

⁵ 189 female employees in teaching and researcher positions (PhD degree holders) and 35 female doctoral students. ([Årsredovisning – Södertörns högskola 2020](#), p 54).

⁶ 72 professors, 242 lecturers, 1 visiting professor, 22 project researchers. ([Årsredovisning – Södertörns högskola 2020](#), p 54).

⁷ 15 post-doctoral researchers. ([Årsredovisning – Södertörns högskola 2020](#), p 54).

⁸ Converted from SEK at 1 SEK = 0.1 EUR.

⁹ 9.28 M EUR was the annual organizational direct government funding and 16.1 M EUR was the funding designated for research on the Baltic Sea and Eastern Europe from The Foundation for Baltic and East European Studies. This Foundation was founded by the Swedish Government in 1994, and research funding is awarded in a competitive evaluation process (with international evaluators), but not in competition with other organisations, because only researchers employed at SH are eligible to apply. Thus, the funding received from this Foundation included in this category.



Annual competitive government-sourced funding (designated for research, obtained in competition with other organisations – including EU funding)	4.28
Annual funding from private, non-government sources, designated for research	0.82
ORGANISATIONAL PROFILE (a very brief description of your organisation, max. 100 words)	
<p>Established in 1996, Södertörn University is a mid-size public university to the South of Stockholm, with a strong multidisciplinary research profile focusing on the Baltic Sea region and Eastern Europe, striving to achieve high level of societal and contemporary relevance, united with an active and critical approach to the past. Research and education is organised in five Schools (Historical and Contemporary Studies; Culture and Education; Social Sciences; Natural Sciences, Technology and Environmental Studies, School of Police Studies), and several research centres, while doctoral education are organized in five multidisciplinary research areas: Critical and Cultural Theory; Historical Studies; Environmental Studies, Politics, Economy and the Organisation of Society).</p>	

2. STRENGTHS AND WEAKNESSES OF THE CURRENT PRACTICE:

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

Thematic heading of the Charter and Code	STRENGTHS and WEAKNESSES
Ethical and professional aspects	<p>free text maximum 500 words</p> <p>Strengths:</p> <ul style="list-style-type: none"> - High quality research¹⁰ and systematic effort to maintain and develop quality assurance in all research environments (as well as in education).¹¹ Next research evaluation is due 2019/2020 2021/2022, then evaluation methodologies and outcomes will be overseen by UKÄ, the Swedish Higher Education Authority. - There is broad participation of academic staff in strategic, decision-making and information processes on all levels, from lecturers' working groups to SH organisational level¹² (as well as a broad participation of students). - It is part of Södertörn University's ethos that we shall develop and refine the cooperation between academia and the surrounding society, including individuals, corporations and the public sector, and thus contribute to the conversion to a sustainable society and lifelong learning. In line with this ethos, public engagement and non-academic collaborations are strategically more focusing on the public sector, aiming to contribute to social sustainability and achieving social impact.¹³ Public engagement and non-academic collaborations have become even stronger and more strategic during the years 2019-2021,

¹⁰ SER 2015, Utvärdering av forskningen vid Södertörns högskola 2009-2014, Södertörn University's first external research evaluation, implemented in 2015-2016, Reg no.: 1310-1.1.3-2015.

¹¹ Södertörn University's Quality Assurance Plan 2019, Reg. no.: 1554-1.1.2-2019

¹² Collegiality as a Form of Governance. Position Paper of the Faculty Board at Södertörn University, 2017-03-15, Reg No. 997-1.1.2-2017.

¹³ [Södertörn University's Ethos](#).



	<p>partly due to a number of externally funded projects to research and systematize collaborative research capacity, indicators and evaluation of collaborative capacity in relation to research and teaching performance. Both strategic directions of the University's collaboration strategy (strategic partnerships and intersectoral mobility) contributed to significant growth and results, like strategic partner agreements with two municipal councils and launched process for a third one.</p> <p>There are strengthened goal-oriented planning and strategic processes, including the University's Development Plan 2020-2024 (Dnr 1279-1.1.2-2019), and a joint, university-wide annual planning process to become more results steered on the structural level as well. In the Development Plan, one of the strategic areas to concentrate in the coming years is strong academic environments, in which the university will focus on to further develop a quality culture based on collegiality and core academic values, among several ambitious goals.¹⁴</p> <p>- Council for Research Ethics has been established during 2019, as an advisory body to the vice-chancellor.</p> <p>Prioritised areas for further improvements, based on the thematic headings of C&C:</p> <p>- 5. Contractual and legal obligations: Post-award and post-contract support are decentralized at the Administration Units of each School with support as necessary from SH External Relations Unit. Contractual and legal obligations are discussed and being advised upon in joint guidelines and recommendations by the Heads of Schools, as well as regulated in internal guidelines, routines and order of delegation. University Support Services assists researchers in their externally financed projects regarding rights and obligations, administrative structures and project finance, and helping with contacts with funding agencies.</p> <p>Developments in external research funding (several new international consortium projects in which SH is lead partner or coordinating at least one work package) demands a comprehensive overview of how post-contract support is organized and how the liaising and/or close cooperation with Finance and HR could be strengthened</p> <p>- 6. Accountability – 7. Good practice in research: Since most of the research funding attracted by researchers at SH is coming from public sources, there should be special focus on developing data management, open data access, as well as GDPR-compliant processes. Developing and strengthening support functions and management processes in these areas will be in focus for the upcoming years.</p> <p>During 2018, a series of information modules have been issued with regards to GDPR, specific Guidelines for various areas, such as Module 5 Research and Module 6 GDPR for Supervisors, among others. Implementation, assessment and follow-up on the capacity building activities around ethical principles, as well as of GDPR and relevant issues of data management will be in the focus of the coming years development work at SH.</p> <p>Research funding agencies are increasingly demanding that results are published in Open Access journals. This is also requirement at SH. SH joined the Swedish National Data Service (SND) - Network in 2017 and assigned coordination and implementation of this</p>
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¹⁴ [Development Plan 2020-2024](#) (Dnr 1279-1.1.2-2019), p 4.



	<p>task to SH.</p> <p>With the SND membership, the university has undertaken to build up and organize a local node to give research support in planning and implementing the management of research data. In 2020, a working group has been started, for the construction of a so-called Data Access Unit (DAU) that will provide practical support to researchers, for example when research funders request data management plans and data storage. The group consists of employees from the Department of Business and Government Support, Campus IT and the Library. In support of the working group, there is a reference group consisting of researchers from the university. With the membership of SND, the university participates in a national research infrastructure that is funded by the Swedish Research Council and where most universities and colleges are included.</p> <p>During 2021, Södertörn University contracted open data storage solutions to ensure open data access of research data produced at the University. During 2020-2021 a series of webinars, online trainings and lectures on research ethics, GDPR and responsible research and innovation (RRI) has been organized (Ethics Council organized 2 webinars in 2020, with altogether approx. 60 participants, 1 webinar in 2021 with 26 participants, 3 more event planned for 2021). This will continue in the upcoming years to ensure the quality research practices at Södertörn University.</p> <p>Unfortunately, both the Covid-19 pandemic and the economic difficulties experienced by the university (due to an increased level of mandatory state pension contributions,) have contributed to a significant decrease of resources allocated to strategic collaboration projects, as well as further development of support services regarding contractual and legal obligations.</p>
Recruitment and selection	<p>free text maximum 500 words</p> <p>Strengths:</p> <ul style="list-style-type: none">- SH as a mid-size young university to the South of Stockholm is dependent on its recruitment being compliant with OTM-R principles in order to maintain its high-quality multidisciplinary research areas. Recruitment processes have been open, transparent and merit based in order to attract the best qualified people who with their competence can contribute to the university's development.- The overall use of the web-based digital recruitment system <i>Reach Mee</i>, allowing for a standardized application system. Reach Mee has been successfully implemented in 2009 and improved based on feedback and has significantly contributed to a more foreseeable and considerably shorter time-frame of recruitments.- Multiculturalism for Södertörn University means to build a profile as an anti-racist and equal university. The multicultural profile covers both employees and students, such as education, research and collaboration. This profile demands an active approach to multiculturalism from the university's employees:<ul style="list-style-type: none">• a complex multiculturalism should be the starting point for education, research and collaboration at the university;• multiculturalism shall be integrated into all operations of the university - teaching, research and collaboration - and discussions about the content of the profile are conducted regularly;



	<ul style="list-style-type: none">• multiculturalism as a profile means that the university takes responsibility for an active and vibrant discussion on racism, discrimination and equal treatment, as well as questions about majority cultures and minority cultures.¹⁵ <p>- Södertörn University actively promotes and contributes to the work of combating racism and discrimination. There is a serious effort on all levels to address identified inequalities and thereby making SH more attractive for potential applicants.</p> <p>- Strengthened goal-oriented planning and strategic processes, including the University's Development Plan 2020-2024 (Dnr 1279-1.1.2-2019). In this Development Plan, one of the strategic areas to concentrate in the coming years is to be an attractive and open university, in which the university will work to retain and develop existing competence, while undertaking strategic recruitment, with the entire organisation working together to achieve high quality and trust in each other's expertise and professionalism. University employees will have the opportunity to have their competence assessed through clear career paths. Competence development and good conditions are core issues and must be continually developed.¹⁶</p> <p>Prioritised areas for further improvements, based on the thematic headings of C&C:</p> <p>12-13. Recruitment: for a description of current practice, please see Template 3 – OTM-R checklist, as well as sections 12-21 in the Gap analysis.</p> <p>There is currently a thorough review of the Appointments Procedure underway, with the aim to make the procedure quality assured, more specific, as well as more flexible. This revision of the Appointments Procedure is taking into account HRS4R Guidelines among other factors, as well as the accompanying 'Instructions to the Appointments procedure' guide (a new internal regulation) covering areas which are under rapid development, and which are not required to be regulated by decision of the Governing Board (will be approved by the vice-chancellor instead). Both documents are planned to enter into effect in 2020. Both the revised Appointments procedure and the Instructions to the Appointments procedure entered into effect in 2020, and will undergo a follow-up and evaluation process in order to see if there are any necessary further adjustments to implement. Recruitment issues are integrated into the Budget and Operations Dialogue and have received special attention in 2017 and 2020.</p> <p>The current draft of a new Appointments Procedure takes a closer look at how merit is judged and specifies criteria for all R2-R4 appointments from a perspective of the OTM-R framework (including recognition of mobility, internationalisation and collaboration capacity, leadership, etc.).</p> <p>The following areas for improvement have been identified in the recruitment processes and are currently being addressed:</p> <ul style="list-style-type: none">- More strategic focus on equal opportunities to attract high quality competence.- More effective and higher quality recruitments of lecturers and researchers.- Gender equality and equal opportunities focus in all areas and phases of recruitment processes shall gain momentum, to increase gender balance in the recruitment of professors (as opposed to promotions to professors, where the gender balance reached
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¹⁵ Multiculturality. Position Paper of the Faculty Board at Södertörn University, 2019-02-05, Reg No. 829-1.1.3-2019.

¹⁶ [Development Plan 2020-2024](#) (Dnr 1279-1.1.2-2019), p 5.



	<p>50%).</p> <ul style="list-style-type: none">- GDPR-compliant procedures and further digitalization in HR.- Not all relevant documents and policies are yet available in English, and there is a lack of utilization of easily accessible advertisement channels (i.e. EURAXESS).- Insufficient focus/efforts on strategic recruitments.- Lack of specific instructions on some issues regarding assessing merits in internationalization (incl. mobility) and collaborative partnerships. <p>The University's Development Plan 2020-2024 (Dnr 1279-1.1.2-2019), that has been drafted in a university-wide dialogue process, was published in the beginning of 2020. In this Development Plan, one of the strategic areas to concentrate in the coming years is to undertake strategic recruitment, and thus a working group was formed to focus on strategic recruitments, involving the Vice-chancellor, the Vice-decan, chairpersons of the two Recruitment Committees, Adviser to the Vice-Chancellor on quality assurance, a Head of Department, a Head of School and the Deputy Head of HR Department. In this group the Appointments Procedure (the OTM-R policy) is also discussed as well as more generally the University's strategic recruitments.</p> <p>The Decans Group is also discussing strategic recruitment issues, for example the necessary formal process to amend the Appointments Procedure and the Instruction for the Appointments Procedure, Guidelines for Appointments of Associate Professors, Guidelines for Affiliations, etc.).</p> <p>The Gender Equality Working Group (established by the Vice-Chancellor in 2016) has continued its mandate and during 2020 a follow-up and evaluation of the results delivered by the Gender Equality Plan 2017-2019 was conducted to serve as a starting point for the next Gender Equality Plan (2021-2023). This latter plan is drafted and is circulated widely in the organization (as per Nov/2021) and has been assessed to ensure its compliance with the GEP-requirements of Horizon Europe.</p> <p>There is a clear increase in announcements at the EURAXESS portal, and the option to publish the announcement there is integrated in the University's recruitment tool Reach Mee. During 2020, there has been 10 announcements by SH, while in 2021 (until 27/10, there has been 13 announcements by SH published on EURAXESS.</p> <p>Regarding assessment of merits in internationalization and collaboration capacity, the University's Strategic Collaborations Council is committed to utilize the results and deliverables of the externally funded projects on indicators and evaluation of collaboration capacity and has also arranged 2 webinars in this topic during 2021. Part of this process is to produce guidelines for heads of departments and heads of school to be able to assess collaborative efforts and experiences of researchers in a standardized and transparent manner. The results of these processes feed into also the more strategic revision of both the relevant sections of the OTM-R, but also the longer-term strategies of the Council.</p> <p>The 2 Recruitment Committees (RCs) participated in capacity building courses in neutral merits assessment. Further training occasions are planned due to the high number of delegates in the committees. The RCs are working with all aspects of the recruitment processes and are assessing the whole process continuously.</p>
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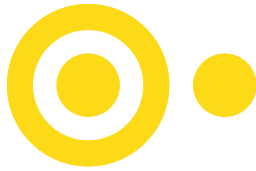


<p>Working conditions</p>	<p>free text maximum 500 words</p> <p>Strengths:</p> <ul style="list-style-type: none">- All doctoral students are employees with a regulated salary-scale and a regulated Individual Study Plan. National legislation, as well as internal rules maximise doctoral students' teaching tasks in 20% of an FTE.- Systematic monitoring and follow-up of work conditions, ambitious policies to back up and recent development to introduce a system for internally financed research time (this has been more of an issue for R2 and some of R3 (as associate professors, professors and those with more significant external research funding have considerable research time).- Participation in decision-making bodies: researchers are engaged in decision-making bodies at various levels. <p>Prioritised areas for further improvements, based on the thematic headings of C&C:</p> <p>25. Stability and permanence of employment:</p> <ul style="list-style-type: none">• R1 researchers: all doctoral students are employed and are not on stipends. The salary levels for such researchers are fixed and have a standard progression based on performance targets. The salary levels are quite competitive. However, there is a high level of stress and stress-related problems repeatedly reported by doctoral students in the doctoral survey, which needs to be addressed in a systematic manner. Stress has been identified partly caused by gaps in available information on the rules and regulations concerning employment of doctoral students. The information available for doctoral students have been radically increased and all is available both in Swedish and in English. https://medarbetarwebben.sh.se/english/startpage/research/doctoral-studies.html There is a biannual Doctoral Survey to follow up and verify actions taken to remedy the situation.• R2 researchers: SH has been striving to stop multiple, short-term employments for newly graduated PhDs. National legislation forbids multiple short-term employments in the same role. SH introduced a new personnel category known as Assistant Lecturer in 2017, which is a permanent employment category aiming at a research and lecturer career path, instead of 'research assistant.' Eligibility criteria for applying for a position as assistant lecturer include max 5 years since the dissertation (PhD), and has the right to be assessed for promotion to become lecturer within 4-6 years from filling the position. However, there is a need for better defined career paths in the Appointments Procedure, as well as systematic career support for researchers 'transitioning' from R1 to R2, including those seeking teaching positions, but lacking the necessary educational experience (pedagogical merits). Both the revised Appointments procedure and the Instructions to the Appointments procedure entered into effect in 2020, and will undergo a follow-up and evaluation process in order to see if there are any necessary further adjustments to implement. These policies include new regulations for better defined career paths for R2. <p>27. Gender balance</p> <p>For a thorough assessment of the non-discrimination and equal opportunities work done at SH, see points. 10. and 27. in the gap analysis.</p> <p>There is a need to continue with the systematic assessment and revision of regulations</p>
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	<p>regarding recruitment, work conditions (stress-related sickness leave, 'hidden workload', etc.) and promotion from a non-discrimination and equal opportunities perspective. The Gender Equality Working Group (establishes by the Vice-Chancellor in 2016) has continued its mandate and during 2020 a follow-up and evaluation of the results delivered by the Gender Mainstreaming Action Plan 2017-2019 was conducted to serve as a starting point for the next Gender Equality Plan (2021-2023). This latter plan is drafted and is circulated widely in the organization (as per Nov/2021) and has been assessed to ensure its compliance with the GEP-requirements of Horizon Europe.</p> <p>Managers are offered training in systematic work environment (health and safety) follow-up work, including organizational and social work environment. Extra efforts have been put in to capture early signs of deteriorating work conditions, which were carried out in 2019. Management Day 2020 with all the university's managers included special training efforts on discrimination, harassment, sexual harassment and abusive discrimination. The university has implemented the staffing system Retendo.</p> <p>28. Career development: There is a need to focus on recruitment and career support development for various employee groups in the upcoming years:</p> <ul style="list-style-type: none">- systematic widening of career support for R1;- career paths in the Appointments Procedure;- the need for systematic career support for researchers 'transitioning' from R1 to R2, including those seeking teaching positions, but lacking the necessary educational experience (pedagogical merits);- a need for developing career support service for R3 level female researchers (to reach the goal of 52%¹⁷ female professors). <p>There has been a number of events and courses organized for R1 researchers, both in terms of career prospects outside academia (alumnae career series), as well as capacity building on applying for external funding. There is an annual Doctoral Student Day organized at SH, and the Doctoral Student Council became more engaged as a dialogue partner in developing various support programs.</p> <p>The Faculty Board has put forward a comprehensive career development plan for 2022-2024, in October 2021. The plan is going to be discussed in the Management Group (led by the Vice-chancellor), to discuss the adequate structure for implementation, as well as the necessary resources. Unfortunately, both the Covid-19 pandemic and the economic difficulties experienced by the university have contributed to a significant decrease of resources to be allocated to career development programs, but several aspects of the plan are aligned with the Gender Equality Plan, which means that many objectives can be met with limited resources.</p> <p>Since 2019, the University has contracted a service provider to arrange an individual life- and career support program for all staff, except doctoral students (whose career development needs are going to be assessed in another way). It was implemented in 2019-2020 and received very good evaluations. It will be offered in the future as well.</p>
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¹⁷ Plan för jämställdhetsintegrering, Södertörns högskola, Reg.no.: 1768-1.1.1-2017, p 8.



Training and development	<p>free text maximum 500 words</p> <p>Strengths:</p> <ol style="list-style-type: none">1. All researchers (doctoral students, lecturers and professors) are state employees, they are entitled to receive training, capacity development, leadership training, etc. as necessary for their professional development.2. There is a comprehensive training program for all doctoral students aside from supervision and thesis writing. <p>Prioritised areas for further improvements, based on the thematic headings of C&C:</p> <p>36. Relation with supervisors:</p> <p>A set of guidelines covers Third-cycle Courses and Study Programmes. Further information is shown here. An individual study plan (ISP) is drawn up for each doctoral student, including:</p> <ul style="list-style-type: none">• the obligations and rights of the university and the research student;• a time plan for the doctoral student's studies;• what is otherwise necessary for studies to be conducted as efficiently as possible. <p>The ISP is adopted after consultation between the doctoral student and the supervisor(s) and is annually reviewed (and can be revised in this review process). The doctoral student has the right to appeal the decision to the Faculty Board.</p> <p>There is a need to monitor and follow-up on the newly proposed specific internal guides and routine processes concerning quality assurance of courses for third-cycle studies. There is a lack of sufficient integration of research ethics in courses for third-cycle studies. There is currently a new Doctoral Guide under development, as well as relevant implementing rules and regulations are under review. This new manual will cover regulations on relations with the supervisor in a more detailed and flexible manner. The new Doctoral Studies Guide is now published as a set of information websites dedicated to all aspects of doctoral students life at Södertörn. All sections are available both in English and Swedish, and the information is more comprehensive than at the time of the GAP-analysis. There is an integrated section in the Doctoral Studies Guide on research ethics.</p> <p>The newly proposed specific internal guides and routine processes concerning quality assurance of courses for third-cycle studies have been developed and are awaiting Vice-Chancellor's decision to enter into effect approximately Q1-2 2022 (Rules of Procedure for Schools at SH). Regular follow-up is planned for the implementation, furthermore, in the next phase procedural descriptions (routines) will be developed for officers managing doctoral students cases and files.</p> <p>New Guides are to be published at the beginning of 2022:</p> <ul style="list-style-type: none">Guide for the Individual Study Plan (ISPs shall be revised once a year);Guide for the General Study Plan;Guide for the Procedure to appoint opponents and the assessment committee);Guide for the prolongation of employment in case of doctoral students in positions of trust within trade unions and student organisations. <p>40. Supervision: there are formalized supervisor relations for all junior researchers, in</p>
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	<p>terms of appraisal (see point 11. in the gap analysis), but there is no formalized structured system of academic supervision (mentoring or alike) for post-docs and other junior researcher positions (R2). Post-doc research projects are mostly integral parts of larger research projects led by more senior researchers (R3-R4), but there are varying traditions as to what support may include.</p> <p>More detailed and transparent rules have been developed and published for the following aspects of supervision:</p> <ul style="list-style-type: none"> - change of supervisor, - code of conduct for supervisors (there is now a course available for supervisors on how to supervise). <p>The Faculty Board has put forward a comprehensive career development plan for 2022-2024, in October 2021. The proposed plan includes several support services (both individual and in groups) for mentoring, both for R1 and R2; as well as career support services for R3 and R4. The plan is going to be discussed in the Management Group (led by the Vice-chancellor), to discuss the adequate structure for implementation, as well as the necessary resources. Unfortunately, both the Covid-19 pandemic and the economic difficulties experienced by the university have contributed to a significant decrease of resources to be allocated to career development programs, but several aspects of the plan are aligned with the Gender Equality Plan, which means that many objectives can be met with limited resources.</p>
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3. ACTIONS

The Action Plan and HRS4R strategy must be published on an easily accessible location of the organisation's website. Please provide the web link to the organisation's HR Strategy dedicated webpage(s):

*URL: <https://www.sh.se/english/sodertorn-university/meet-sodertorn-university/this-is-sodertorn-university/vacant-positions>

Södertörn University has an Appointments Procedure internal regulation (approved and issued by the Governing Board, which regulates all academic appointments (excluding doctoral students), as well as promotions. The content and the requirements of the Appointments Procedure live up to the OTM-R requirements (see the OTM-R checklist), therefore in our view it qualifies for being an OTM-R policy. A major review of this internal regulation is under way and it is planned to issue a complementary guide for all persons involved in implementing the Appointments Procedure, called Instructions to Implementing the Appointments Procedure. Furthermore, a Vice-chancellor's guide is drafted specifically focusing on the announcement phase of the OTM-R. Both the revised [Appointments procedure](#) and the [Instructions to the Appointments procedure](#) entered into effect in 2020, and will undergo a follow-up and evaluation process in order to see if there are any necessary further adjustments to implement.

Please fill in a sum up list of all individual actions to be undertaken in your organisation's HRS4R to address the weaknesses or strengths identified in the Gap-Analysis:

Proposed ACTIONS	GAP Princi	Timing (at least by	Responsible Unit,
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	<i>ple(s)</i>	<i>year's quarter/ semester)</i>	<i>Indicator(s) / Target(s)</i>	
<i>Free text -100 words max</i>	<i>Retrieved from the GAP Analysis</i>	<i>2020 Q1-2 – Q3-4 2021 Q1-2 – Q3-4 2022 Q1-2 – Q3-4</i>	<i>UA: Uni Administration USS: Uni Support Services HR: Human Resources CPR: Communications and Public Relations FA: Finance and Auditng FB: Faculty Board GB: Governing Board EM: Executive Management SHL: Södertörn University Library RC: Recruitment Committees</i>	
<p><i>5.1 Specialized work group is set up with delegates from University Support Services (External Relations Unit), HR, Communications and PR, and Finance and Accounting with the aim to discuss and deliver a set of proposals to formalize and streamline post-award support to research projects of international character (and propose a set of criteria for selection). (AVM VP19, HP för Internationalisering 2017-2019)</i></p> <p><i>5.2 Information is made available (in form of a Guide with process descriptions, checklists and templates) on the intranet, and processes with dedicated resources in all relevant organisational units and departments are defined. There is a reference group to support admin processes. (AVM VP19)</i></p>	<i>5. Contractual and legal obligations</i>	<p><i>T5.1: 2020 Q3-Q4 Extended 2023 Q1-Q2</i></p> <p><i>T5.2: 2021 Q1-Q2 Extended 2023 Q1-Q2</i></p>	<p><i>UA</i></p> <p><i>USS</i></p>	<p><i>T5.1 Mapping of resources and needs; proposal of a set of guidelines and processes for post-award support (contracting phase). Further develop guidelines and processes, as well as focus on digitalisation in line with the Action Plan for Integrated Research Support 2021-2014.</i></p> <p><i>T5.2 A post-award support for researchers (project managers) is standardized and quality assured. Further develop guidelines and processes, as well as focus on digitalisation in line with the Action Plan for Integrated Research Support 2021-2014.</i></p>
<i>6.1 SH participates through the Vice-Chancellor's decision in the Swedish National Data Service (SND) network since 2018, via an established local node, Data Access Unit (DAU). Competence development and dialogue with the researchers are in focus. (Bibl VP18)</i>	<i>6. Accountability</i>	<i>T6.1: ongoing In progress</i>	<i>FN, UA, SHL</i>	<p><i>T6.1.1 R1-R4 researchers are informed about Open Access publishing on various platforms and channels (intranet, workshops, courses, etc.)</i></p> <p><i>T6.1.2 There is a dialogue with researchers on data management questions. Research Data Management Policy is developed and drafted.</i></p>
<i>7.1. Develop referrals, templates, routines</i>	<i>7. Good</i>	<i>T7.1: 2020 Q3-4</i>	<i>Data</i>	<i>T7.1 Tools, routines and</i>



<p>25.1 Follow-up on the impact of increasingly hiring new teachers through the form of employment assistant lecturer, which shortens the time with precarious teacher and researcher appointments, creates a better age structure and can be an effective way of recruiting competent staff and implementing measures if conditions exist. (PfII)</p>	<p>25. Stability and permanence of employment</p>	<p>T25.1: 2021 Q1-Q2 Extended 2024 Q3</p>	<p>EM, HR,</p>	<p>T25.1 Effective and high-quality recruitment processes in all lecturer appointments.</p>
<p>27.1 Follow-up on the Action Plan for Gender Mainstreaming (PfII)</p> <p>27.2 Inform and train staff on how to recruit without discrimination based on for example gender. (PfII)</p>	<p>27. Gender balance</p>	<p>T27.1.1: 2022 Q3-Q4 T27.1.2: 2022 Q3-4 Completed, Extended 2024 Q3 (Follow-up on the Action Plan is conducted in an annual cycle, continuously). T27.2: Ongoing, 80% reached by 2022 Q3-4 Completed, Extended</p>	<p>EM</p> <p>HR</p>	<p>T27.1 Increased gender equality in recruitment and as a result of gender mainstreamed recruitment processes, increased share of female academic staff (see also T12.1.1 & T12.1.2).</p> <p>T27.2 80% of staff involved at any stage of the recruitment process are trained in recruiting without discrimination. Extended due to the rotation of committee memberships (every 3 yr there is a new committee in place)</p>
<p>28.1, 30.1 Investigate and propose developed career support for academic employees, including doctoral students, before transitions between different career steps (PfII)</p>	<p>28. Career development 30. Access to career advice</p>	<p>T28.1, 30.1: 2022 Q1-2 In progress T28.2: 2024 Q3</p>	<p>FN</p> <p>HR, FN</p>	<p>T28.1 Career development strategy for researchers is approved and published. T28.2 Career development strategy for researchers implemented and monitored. T30.1 Effective and good support functions for competence and skills development.</p>
<p>36.1 Develop a university-wide doctoral student's handbook in both Swedish and English with the aim of improving the information about postgraduate education for new and existing doctoral students, as well as to regulate the relationship with</p>	<p>36. Relation with supervisors</p>	<p>T36.1: 2021 Q3-4 Completed</p>	<p>USS, FN</p>	<p>T36.1 Develop minimum level requirements for all 4 Schools in regard to the depth and frequency of revising the Individual Study Plan, and thus quality assure the supervising</p>



<i>supervisors in a more detailed, but more flexible manner.</i>		T36.2 2023 Q3-Q4		<i>relationship. Doctoral Student Survey T36.2 Monitor, assess and further develop routines for various aspects of managing doctoral students' cases</i>
<i>40.1 Investigate and propose developed career support for academic employees (including postdoctoral researchers, assistant lecturers and other junior academic positions) before transitions between different career steps, for example mentoring programs and seminars on how to build a portfolio of skills) (PFI).</i>	40. Supervision	T40.1: 2021 Q1-Q2 Extended 2024 Q3	HR, FN	<i>T40.1 Effective and good support functions for competence and skills development. Employee Satisfaction Survey</i>

The establishment of an Open Recruitment Policy is a key element in the HRS4R strategy. Please also indicate how your organisation will use the Open, Transparent and Merit-Based Recruitment Toolkit and how you intend to implement/are implementing the principles of Open, Transparent and Merit-Based Recruitment. Although there may be some overlap with a range of actions listed above, please provide a short commentary demonstrating this implementation. If the case, please make the link between the OTM-R checklist and the overall action plan.

(Free text, 1000 words maximum)

Recruitment of new staff is crucial to a university's ability to maintain high quality; not least from an equality perspective. To be able to recruit and retain the highly competent staff, Södertörn University must continue working with its recruitment strategies and ensure that we have processes that do not create inequalities. The issue of career paths in connection with recruitment is often discussed and a well-developed strategy for career opportunities can facilitate the recruitment of the most competent candidates. A well-developed career strategy for all categories of personnel also has the advantage that existing staff are given the opportunity to develop their skills and allow the skills to be used where it makes the best change.

The OTM-R policy of Södertörn University (called the Appointments procedure) is regulated by national law (see points 12. and 13. in the Gap Analysis) and is in strict compliance with the national legislation. When making appointments to posts at Södertörn University, which is a public university, objective factors, such as merit and competence, shall be considered. Competence shall be a primary consideration, unless specific reasons otherwise exist. It is Södertörn University's policy that all recruitment shall be open, transparent and attractive for the best qualified people who, with their competence, can contribute to the university's development. Recruitment is nationally regulated for openness and transparency through legislation. The [Appointments procedure](#)¹⁸ (issued by the Governing Board) currently in effect, as well as the [various guides and templates](#) meet the overall majority of OTM-R requirements as shown in the OTM-R checklist, but there have been areas for improvement identified, primarily based on the analysis conducted for gender equality and gender mainstreaming. (For further information, please see points 12.1, 12.2, 13.1, 13.2, as well as 27.1 in the table under 3. Actions above.)

A major revision of the Appointments Procedure is under way, taking into account HRS4R Guidelines among

¹⁸ Reg. No. 4165-1.1.2-2018, effective 2018-01-01 – 2018-12-31.



other factors, as well as an accompanying 'Instructions to the Appointments procedure' guide (a new internal regulation) covering areas which are under rapid development, and which are not required to be regulated by decision of the Governing Board (such as preparatory work for announcements, composition and preparatory work, selection process of recruitment committees, qualifications of committee members, as well as external assessors of a certain scientific discipline, etc.). Both documents are expected to enter into effect during 2020. The recruitment process at SH is accompanied by standardised routines and templates for advertising, recruitment and employment. The Action Plan for Gender Mainstreaming,¹⁹ the Guidelines²⁰ for SH's work to observe and respect equal opportunities for employees; and the Equal Opportunities Policy²¹ all include regulations relevant for recruitment. Equality and gender equality shall be embodied at all levels at SH. The aim of the Action Plan, the Guidelines and the Policy is that recruitment and assessment processes as well as employment conditions will guarantee equal opportunities for career development within academia.

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

URL: <https://www.sh.se/english/sodertorn-university/meet-sodertorn-university/this-is-sodertorn-university/vacant-positions>

Under the subtitle 'Appointments Procedure and Application Template'

Further information on the same web link, under the subtitles 'Help for Applicants' and 'Introduction Material'

Both the revised [Appointments procedure](#) and the [Instructions to the Appointments procedure](#) entered into effect in 2020, and will undergo a follow-up and evaluation process in order to see if there are any necessary further adjustments to implement. The University's [Development Plan 2020-2024](#) (Dnr 1279-1.1.2-2019), that has been drafted in a university-wide dialogue process, was published in the beginning of 2020. In this Development Plan, one of the strategic areas to concentrate in the coming years is to undertake strategic recruitment, and thus a working group was formed to focus on strategic recruitments, involving the Vice-chancellor, the Vice-decan, chairpersons of the two Recruitment Committees, Adviser to the Vice-Chancellor on quality assurance, a Head of Department, a Head of School and the Deputy Head of HR Department. In this group the Appointments Procedure (the OTM-R policy) is also discussed as well as more generally the University's strategic recruitments.

The Decans Group is also discussing strategic recruitment issues, for example the necessary formal process to amend the Appointments Procedure and the Instruction for the Appointments Procedure, Guidelines for Appointments of Associate Professors, Guidelines for Affiliations, etc.).

The Gender Equality Working Group (establishes by the Vice-Chancellor in 2016) has continued its mandate and during 2020 a follow-up and evaluation of the results delivered by the Gender Mainstreaming Action Plan 2017-2019 was conducted to serve as a starting point for the next Gender Equality Plan (2021-2023). This latter plan is drafted and is circulated widely in the organization (as per Nov/2021) and has been assessed to ensure its compliance with the GEP-requirements of Horizon Europe.

4. IMPLEMENTATION

General overview of the expected implementation process:

¹⁹ Reg. No. 1768-1.1.1-2017

²⁰ Reg No. 3855-1.1.2-2017 (2017-12-05)

²¹ Reg no. 3572-1.1.2-2016 (2016-12-20)



(free text, 1000 words maximum)

Södertörn University has an Appointments Procedure, (an internal regulation required by national legislation and approved and issued by the Governing Board), which regulates all academic appointments (excluding doctoral students), as well as promotions. The content and the requirements of the Appointments Procedure live up to the OTM-R requirements (see the OTM-R checklist), therefore in our view it qualifies for being an OTM-R policy. A major review of this internal regulation is under way and it is planned to issue a complementary guide for all persons involved in implementing the Appointments Procedure, called Instructions to Implementing the Appointments Procedure. Furthermore, a Vice-chancellor's guide is drafted specifically focusing on the announcement phase of the OTM-R.

There is a Steering group set up for overseeing the HRS4S process, which in practice is the Executive Management, while the Coordination group (HR, External Relations, Communication and PR) has a primarily coordination role, due to the approach of integration and mainstreaming that Södertörn University has chosen for the HRS4S implementation. This coordination role means that the reporting and overview of progress is technically followed up by a small group of non-academic staff, the implementation itself (analysis, proposals, surveys, etc.) are mandated, discussed and delivered by the faculty. Thus, the coordination and reporting function is reliant on constant communication with relevant Working Groups of the Faculty Board, Doctoral Council, and other bodies.

Södertörn University's organisation is based on four academic schools that are responsible for education and research. Each school is run by a head of school, who is both the administrative, as well as the academic and educational leader. The academic schools are responsible for providing education and research, as well as for all other activities, including staff, students, financing, premises and work environment. Subjects, degree programmes and centres all belong to a specific academic school.

The Governing Board is the top decision-making body at the university and includes the vice-chancellor among its members. The Governing Board of Södertörn University has insight into all business that concerns the university and is responsible for the University fulfilling its obligations. The board takes decisions about the overall focus of activities, the university's organisation and internal allocation of resources. It also takes decisions about the annual report, interim reports and the budget.

The Executive Management of the university comprises of Vice-Chancellor, who is the responsible authority for the university's activities and operation. It also includes the Pro-Vice-Chancellor and two Deputy Vice-Chancellors, as well as the Chief Administrative Officer. Boards and committees are appointed by the vice-chancellor and have advisory and investigate functions on issues that relate to the university. The University administration is led by the chief administrative officer and primarily contributes administrative support to the university's organisation.

The university has a Faculty Board that has overall responsibility for quality. The Faculty Board at Södertörn University is tasked with reviewing and maintaining the quality of courses and programs, as well as planning and coordinating undergraduate education. The Faculty Board, the main decision-making collegiate body, works with issues relating to research and education at all levels from bachelor's to doctoral level and has overall responsibility for quality in these areas. The Faculty Board is responsible for developing and evaluating quality assurance in the university's research and education. It ensures that academic activities are conducted in accordance with the university's strategies and overall aims and, based on these, provide rules and



guidelines. It continually follows up the quality of education and research and, where necessary, suggest a course of action to the vice-chancellor. It monitors strategic and ethical issues that are important to research and higher education. From an implementation perspective, the Faculty Board is the primary university body to discuss and deliver solutions to many of the listed gaps, however, it is unable to de facto implement those solutions without the technical assistance of the university administration. This results in the fact that many of the listed objectives and targets land in the operational and monitoring plans of the University Administration, but the content is delivered by the academics delegated to the Faculty Board and its various Working Groups, as well as the Recruitment Committees (which are composed of academics but are under the direct appointment of the Vice-chancellor).

All areas identified in the HRS4R Action Plan are to be integrated and mainstreamed in the Annual Operational Plans, as well as in the regulations, strategies and policies currently under review. The Appointments Procedure is under review, as well as the University's new Strategy (for 2020-2025) is being widely discussed during the spring semester of 2019. The Internationalisation Action Plan (2017-2019) is followed up on and an internal evaluation is planned in the Internationalisation Council, to inform a renewed internationalisation action plan for the next coming period. All these processes will take their share of the implementation of the HRS4R, however, the main responsibility is borne by the Faculty Board (and the Recruitment Working Group), as well as HR and the Recruitment Committees (effectively implementing the OTM-R policy requirements).

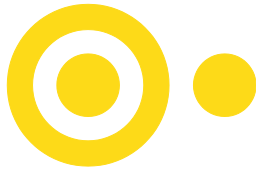
The main responsibility for implementing HRS4R lies on the Faculty Board and the Rectorate. There is a Steering group set up for overseeing the HRS4R process, which in practice is the Executive Management (including the Vice-Chancellor, Deputy Vice-Chancellor for Research and the Pro-Vice-Chancellor for Education), now adjoined by the Deputy Chair of the Faculty Board, responsible for Quality Assurance and the Adviser to the Vice-Chancellor on Quality Assurance.

Meanwhile, the Coordination group, due to the approach of integration and mainstreaming that Södertörn University has chosen for the HRS4S implementation, from 2022 onwards consists of HR, University Support Services and Communications and PR. This coordination role means that the reporting and overview of progress is technically followed up by a small group of non-academic staff, the implementation itself (analysis, proposals, surveys, etc.) are mandated, discussed and delivered by the faculty and the executive management. Thus, the coordination and reporting function is reliant on constant communication with relevant Working Groups of the Faculty Board, Doctoral Council, and other bodies.

I have prepared the internal review by conducting a thorough document review, checking regular monitoring and followup notes, group interviews, decision protocols, individual interviews and data collection.

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

Checklist	*Detailed description and duly justification
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<p>How will the implementation committee and/ or steering group regularly oversee progress?</p>	<p>free text 500 words maximum</p> <p>The steering group includes the Vice-Chancellor, the Deputy Vice Chancellor for Research, the Deputy Vice-Chancellor for Education, the Pro Vice Chancellor, the Decan (Chair of the Faculty Board), and the Head of University Administration (the Executive Management). Progress will be regularly monitored and summarized in semi-annual internal progress reports by the Coordination Group (Project Leader, Head of HR, Deputy Head of HR, Head of External Relations Unit and the Communications Officer for Research). The steering group is now adjoined by the Deputy Chair of the Faculty Board, responsible for Quality Assurance and the Adviser to the Vice-Chancellor on Quality Assurance.</p> <p>Progress in all the 40 areas of the European Charter and the Code of Conduct for Recruitment of Researchers are regularly overseen by the Faculty Board, the University Administration (including HR, Communications and Public Relations and External Relations within the University Support Services) and the Executive Management, including the Vice-Chancellor.</p> <p>The approach during the preparation phase has been to integrate the requirements of the Charter and the Code into the quality assurance work of the University to the greatest extent, to ensure policy alignment, to avoid parallel structures working with the identified gaps and proposed actions, while existing processes and bodies addressing the same challenges.</p> <p>This approach will be applied in the implementation phase as well, thus the HR Department, in coordination with the External Relations Unit of the University Support Services and in dialogue with the Faculty Board will monitor and follow-up on the implementation of the action plan and coordinate with those involved in the specific subject areas. The two advisory committees to the Vice-Chancellor, the Strategic Collaborations Committee Council and the Internationalisation Committee Council will be continuously informed by the External Relations Unit with regards to implementation progress.</p> <p>Articles 5., 6. and 7. (Contractual and legal obligations, Accountability, Good practice in Research – GDPR) are integrated into the annual Operational Plans of the University Administration (as well as to that of the SH Library), thus the Executive Management ensures that</p>
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	<p>monitoring and follow-up cycles are adequate to the measures planned. The Faculty Board will be continuously informed about progress.</p> <p>Implementation regarding Articles 12. and 13. on recruitment and selection are overseen by the Head and the Deputy Head of HR (the latter has been part of the working group for the preparation for HRS4R), in dialogue with the Recruitment Working Group of the Faculty Board. The Appointment Procedure (SH's OTM-R policy) is approved by the Governing Board, and there has been an annual revision of this document in the past 3 years, and a major revision is under way (see above). The revision's recommendations are developed by the Recruitment Working Group of the Faculty Board, while the Recruitment Committees are directly in charge of implementation (the recruitment and selection process itself).</p> <p>Implementation of actions proposed under Article 25. Stability and permanence of employment are overseen by HR, but specific detailed proposals are developed in the Working Group on Gender Mainstreaming and the Recruitment Working Group, further discussed in the Faculty Board with support from HR.</p> <p>Implementation of actions regarding Doctoral Studies and doctoral students (Articles 28. Career Development and 36. Relation with supervisors) are mainly developed and followed up by the Research and Doctoral Studies Committee of the Faculty Board and the Board itself.</p> <p>Implementation of actions regarding Articles 27. Gender Balance, 28. Career development, 40. Supervision are overseen by the University Administration (HR in most areas), in dialogue with the Faculty Board (and in certain aspects with the Recruitment Committees).</p> <p>The main responsibility for implementing HRS4R lies on the Faculty Board and the Rectorate. There is a Steering group set up for overseeing the HRS4R process, which in practice is the Executive Management (including the Vice-Chancellor, Deputy Vice-Chancellor for Research and the Pro-Vice-Chancellor for Education), now adjoined by the Deputy Chair of the Faculty Board, responsible for Quality Assurance and the Adviser to the Vice-Chancellor on Quality Assurance.</p> <p>Meanwhile, the Coordination group, due to the approach of integration and mainstreaming that Södertörn University has chosen for the HRS4S implementation, from 2022 onwards consists of HR, University Support</p>
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	<p>Services and Communications and PR. This coordination role means that the reporting and overview of progress is technically followed up by a small group of non-academic staff, the implementation itself (analysis, proposals, surveys, etc.) are mandated, discussed and delivered by the faculty and the executive management. Thus, the coordination and reporting function is reliant on constant communication with relevant Working Groups of the Faculty Board, Doctoral Council, and other bodies.</p>
<p>How do you intend to involve the research community, your main stakeholders, in the implementation process?</p>	<p>free text 500 words maximum</p> <p>The research community at SH is involved through its delegates in the Faculty Board and its Committee for Doctoral Studies and the Doctoral Council as well as the Student Union. The Faculty Board is the primary body of the university, responsible for development of quality assurance in research. All R1-R4 researchers are represented in the above bodies.</p> <p>All consultative bodies and the decision-making fora within the Faculty Board are made up of delegates from the research community. Most management positions are filled with academic staff in a rotational system. Furthermore, the research community has various other platforms to discuss research strategic areas, such as the Professors' and Associate Professors' Dialogue (PDD) and the School Boards.</p> <p>Furthermore, the local unions and the various employee consultation processes (mandatory by national legislation) ensure that there is ample space to involve stakeholders in the implementation process on issues covered by the action plan (and beyond).</p> <p>Please see more information on the mandatory and regular participation processes in decision-making bodies under point 35 in the Gap Analysis.</p> <p>Regarding the researcher community outside the university, the focus lies on more strategic communication on our website, including</p> <ul style="list-style-type: none">- more policies, decisions and developments translated into English and more information provided on our work regarding HRS4R (a communication strategy to inform); and- a more strategic utilization of the EURAXESS website, the toolkits and the EURAXESS network, including contributing with our expertise to the



	<p>network and to researchers interested in transnational and inter-sectorial mobility. SH is interested to further develop its strategic collaborations on building welcome services and expertise in areas most relevant for our incoming and outgoing researchers.</p> <p>The Faculty Board, as well as the Recruitment Committees, the Working Group for Gender Mainstreaming (GEP), etc. consists of researchers, representing all R1-R4. Many targets are reached by proposals/actions conducted by researchers in various working groups, etc.</p>
<p>How do you proceed with the alignment of organisational policies with the HRS4R? Make sure the HRS4R is recognized in the organisation's research strategy, as the overarching HR policy.</p>	<p>free text 500 words maximum</p> <p>The European Charter and the Code of Conduct are going to be referred to in the Appointments Procedure, Instructions for Implementing the Appointments Procedure, Vice-chancellor's Guidelines regarding Announcements of Academic Positions, etc. The new Appointments Procedure and implementing guides are prepared by HR and representatives from the Faculty Board in a Working Group on Recruitment and is broadly discussed and sent on internal referral to all possible levels and fora (including University Administration and the 4 Schools). The Governing Board approves the new policy. Page 5 of the current Appointments Procedure refers to C&C.</p> <p>The HRS4R will be incorporated in HR strategic documents and will be integrated in the review of the current Action Plan for Internationalisation (2017-2019), as well as in the follow-up on progress in the Strategic Collaborations Council. Page 6 of the current Internationalisation Action Plan 2021-2024.</p> <p>There is a new overarching University Strategy (2020-2025) being developed during 2019, where the values and requirements of the HRS4R will be incorporated.</p> <p>Development Plan 2020-2024 (Dnr 1279-1.1.2-2019). In this Development Plan, one of the strategic areas to concentrate in the coming years is to be an attractive and open university, in which the university will work to retain and develop existing competence, while undertaking strategic recruitment, with the entire organisation working together to achieve high quality and trust in each other's expertise and professionalism.</p> <p>Södertörn University works with sustainable development in education and research and strives to minimise the university's environmental footprint. The HRS4R will be taken into consideration when further</p>



	<p>developing its sustainable development policy, with special regards to area 29. Recognition of mobility and the University's policy regarding travel-free meetings and its travel policy.</p> <p>Both the revised Appointments procedure and the Instructions to the Appointments procedure entered into effect in 2020, the former expressly have taken into account the HRS4R-strategy and mentions the C&C (p 5), as well as the current Internationalisation Action Plan 2021-2024 (p 6). The University's Development Plan 2020-2024 (Dnr 1279-1.1.2-2019), that has been drafted in a university-wide dialogue process, was published in the beginning of 2020. In this Development Plan, one of the strategic areas to concentrate in the coming years is to undertake strategic recruitment, and thus a working group was formed to focus on strategic recruitments, involving the Vice-chancellor, the Vice-decan, chairpersons of the two Recruitment Committees, Adviser to the Vice-Chancellor on quality assurance, a Head of Department, a Head of School and the Deputy Head of HR Department. In this group the Appointments Procedure (the OTM-R policy) is also discussed as well as more generally the University's strategic recruitments. The new Gender Equality Plan (Plan for Gender Mainstreaming 2022-2023) is being discussed in the Executive Management Group, awaiting the Vice-Chancellor's signature (will be probably published a week after this interim reporting submission). This new Gender Equality Plan, aside from taking into account the national legislative and policy frameworks for gender equality in academia, has also incorporated the requirements of Horizon Europe, as well as the C&C. Södertörn University is a public university and as such a public authority, complying with the national legislation on work conditions and work safety. The current Action Plan for Work Environment and Equal Opportunities 2021-2022 defines a list of areas to improve and sets up priorities, such as increasing accessibility and focusing on rehabilitation support, improving the incident reporting systems. The draft for the new Model for Academic Quality Monitoring and Evaluation 2023-2028 (Quality Assurance Monitoring) is now in a university-wide dialogue process, which means that all bodies and departments are providing inputs and comments. The Draft takes due regards to the C&C and incorporates the HRS4R strategy and the process as well.</p> <p>HRS4R monitoring and follow-up is made part of the annual operational plan as well as the university-wide planning and budget cycle.</p>
How will you ensure that the proposed actions are	<p>free text 500 words maximum</p> <p>The HRS4R Action Plan is directly implemented in university policies</p>



implemented?	<p>through decisions of the Faculty Board, the Vice-Chancellor and the Governing Board. The relevant decisions for the HRS4R include timeline, indicators, methods and processes of monitoring and follow-up. Each year there is an alignment of operational planning processes during the fall regarding the coming year's operational plans for the University Administration, the Faculty Board, the 4 5 Schools and the Library, and a follow-up on the operational plan at the end of the spring term.</p> <p>The proposed actions are fitted into the</p> <ol style="list-style-type: none">1) Strategy and annual operational planning and follow-up cycle of SH (the Faculty Board, the Executive Management, the Schools, the University Administration);2) Monitoring, evaluation and reporting cycles required by national legislation (requirements by the national coordination and supervisory mechanisms and authorities: SUHF, UKÄ, Swedish Gender Equality Agency, etc.); for example, the draft Proposal for the SH Monitoring and Evaluation Model 2023-2028 incorporates the objectives, targets and indicators of HRS4R.3) The Coordination Group will utilize the reporting and policy implementation monitoring mechanisms at SH (FN, University Administration, etc.).
How will you monitor progress (timeline)?	<p>free text 500 words maximum</p> <p>Internally, monitoring and follow-up on progress will be included in the annual operational plans of the Coordination Group members, and will be followed up on a semester-basis (every 6 months). The Faculty Board will receive and annual monitoring report on compliance with the Charter and the Code.</p> <p>Progress on the content of the HRS4R Action Plan is monitored on a semi-annual basis, fitted into the 1) quality assurance monitoring cycle; 2) surveys; 3) internal reporting.</p> <ol style="list-style-type: none">1) The quality assurance monitoring cycle is an annual agenda of monitoring activities regarding several focus areas each year, among which Gender Mainstreaming, Quality in Research, Doctoral Student Survey are included for example. There is a joint responsibility of the Faculty Board and the Executive Management for the implementations of the Quality Assurance Plan, which is reviewed and updated annually.



	<p>The Quality Assurance Policy of SH has been approved by the Governing Board in 2016,²² where it is rolled out in detail, which processes constitute the systematic quality assurance work of SH and who is responsible for each process. The monitoring cycle is currently undergoing a revision process, and a new model is being developed, in particular for monitoring and evaluation of the quality of research, <i>i.e.</i> the draft Proposal for the SH Academic Quality Monitoring and Evaluation Model 2023-2028 incorporates the objectives, targets and indicators of HRS4R.</p> <p>2) There are several surveys which provide an opportunity to capture, inquire and follow-up on a many of the points in the action plan. (Year of data collection / Year of reporting)</p> <ul style="list-style-type: none">• Doctoral Student Survey: (2017/2018); 2019/2020; 2021/2022;• Alumni Survey: 2018/2019, 2021/2022;• Employee survey: 2018, 2020, 2022;• Work conditions survey: every year. <p>3) There are further monitoring tools to include in an annual cycle for follow-up on implementation of the action plan, such as data derived from the e-recruitment tool ReachMee, as well as other data gathering options. The internal reporting on the HRS4R aspects (recruitment and selection) is handled by HR, while other aspects will be monitored by the Coordination Group.</p> <p>For more information on the foreseen date of progress allocated to each target, please see the Column 'Timing' in the Action Plan above (under 3. Actions). The semi-annual and annual monitoring activities will be adjusted accordingly.</p> <p>Monitoring is done in semi-annual and annual follow-ups, and document reviews (due to the 'principle of openness' (offentlighetsprincipen), all decisions are published), as well as interviews with key information points to ensure that the Action Plan is sufficiently synced with the other development processes.</p>
<p>How will you measure progress (indicators) in view of the next</p>	<p>free text 500 words maximum</p> <p>With regards to the identified targets, the following indicators may be</p>

²² Quality Assurance Policy for Södertörn University, Governing Board, 2016-05-26. Reg No.: 340/1.1.1/2016.



assessment?	<p>considered (however, final indicators will be determined considering the actual proposals for expected outcomes):</p> <p><i>T5.1 Mapping of resources and needs; proposal of a set of guidelines and processes for post-award support (contracting phase).</i></p> <p>I5.1: Set of guidelines and processes for post-award support published on the intranet – Done, continuously updated.</p> <p><i>T5.2 A post-award support for researchers (project managers) is standardized and quality assured.</i></p> <p>I5.2: Templates, approval processes and checklists are created in a digitalised form. – Partially done, continuously updated.</p> <p><i>T6.1.1 R1-R4 researchers are informed about Open Access publishing on various platforms and channels (intranet, workshops, courses, etc.)</i></p> <p><i>T6.1.2 There is a dialogue with researchers on data management questions.</i></p> <p>I6.1: There is at least 1 dialogue opportunity (seminar, workshop, etc.) provided per semester, where Open Access publishing is discussed, and where Q&A are systematically developed for the intranet. – Done, continuously updated. There has been several seminars and workshops organized by the Research Communication Unit of the SH University Library. The DAU (Data Access Unit) meets approx. 4 times a year, and the reference group to the DAU (consists of researchers) meets approx. 2 times a year.</p> <p><i>T7.1 GDPR compliance tools, routines and instructions are published on the intranet. – Done, continuously updated.</i></p> <p><i>T7.2 Data protection organisation is implemented. – Done, continuously updated.</i></p> <p>I7.1-2 Share of researchers with enough level of GDPR compliance in research. The Ethics Council has been organising various events (lectures, webinars, workshops) for researchers on research ethics, mainly focusing on GDPR in line with the main research profiles of SH research environments. Approx. 60 researchers participated in workshops in 2020, and approx. similar level of participation is expected for 2021.</p> <p><i>T7.3 IT environment is approved by the Data Protection Officer</i></p> <p>I7.3: There is a satisfactory GDPR compliant IT solution described and implemented for research data management purposes. – Done,</p>
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	<p>continuously updated.</p> <p><i>T7.4 50% of research staff is trained on GDPR by 2021 Q3-4</i> I7.4: Number of research staff participating in a GDPR training. The follow-up was not disaggregated by title/type of employment, but 54%, 430 persons participated in GDPR-trainings until Q3 2021 (of the total 796 staff)</p> <p><i>T12.1.1 The share of males / females shall be minimum 40% among the newly recruited professors and lecturers at the university.</i> I12.1.1: ReachMee data, HR management system, RF Protocols. 50% female of newly recruited professors and lecturers during 2019.</p> <p><i>T12.1.2 The share of females shall be 52% among newly recruited professors, including promoted and visiting professors.</i> I12.1.2: ReachMee data, HR management system, RF Protocols. 50% female of newly recruited, promoted and visiting professors during 2017-2019. During 2019 there were 10 lecturers promoted to professor, of whom 7 females. Further recruited 1 male professor. Of all professors newly appointed or promoted were 64% female between 2017-2019. During 2021 there were 38 recruited (lecturers or professors) or promoted to professor, of whom 58% female. In total 7 recruited and promoted professors during 2021, of whom 57% female.</p> <p><i>T12.2 Effective and high-quality recruitment processes in all academic appointments.</i> I12.2: Benchmarks for: timeframe, required technical support in using all regulations, templates, checklists; feedback from candidates; ReachMee data; statistics on inquiries and appeals. Follow up to be implemented at a later stage. The new Gender Equality Plan aims to implement an evaluation of the Appointments Procedure (OTM-R policy). The Strategic Recruitment Working Group (see above at section on Recruitment Strengths & Prio Areas for further development) is discussing the above listed benchmarks continuously.</p> <p><i>T13.1 Effective and high-quality recruitment processes in all academic appointments.</i> I13.1: Benchmarks for: timeframe, required technical support in using all regulations, templates, checklists; feedback from candidates; ReachMee data; statistics on inquiries and appeals. Follow-up to be</p>
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	<p>implemented at a later stage.</p> <p><i>T25.1 Effective and high-quality recruitment processes in all lecturer appointments; Competitive employment terms for our researchers.</i> I25.1 Impact mapping – qualitative assessment. Follow-up to be implemented at a later stage.</p> <p><i>T27.1 Increased gender equality in recruitment and as a result of gender mainstreamed recruitment processes, increased share of female academic staff (see also T12.1.1 & T12.1.2).</i> I25.1: Relevant indicators of the Action Plan for Gender Mainstreaming imported – Done, evaluation report, continuously updated.</p> <p><i>T27.2 80% of staff involved at any stage of the recruitment process are trained in recruiting without discrimination.</i> I27.2 Number of staffs trained in recruiting without discrimination. – Done, according to evaluation report, 2 occasions, approx. 50 persons involved in recruitment processes. Continuously updated.</p> <p><i>T28.1 Career development strategy for researchers is approved and published.</i> I28.1: Published strategy on the intranet, including developed program. – Under way, process takes more time than anticipated, continuously updated.</p> <p><i>T30.1 Effective and good support functions for competence and skills development.</i> I30.1: Feedback from the first sets of participants of the career support program. – Program is not ready yet to be implemented, process takes more time than anticipated, continuously updated.</p> <p><i>T36.1 Develop minimum level requirements for all 4 Schools in regard to the depth and frequency of revising the Individual Study Plan, and thus quality assure the supervising relationship.</i> I36.1 Relevant Indicators in the Doctoral Student Survey imported. – Done, continuously updated. Indicator is to be adjusted though, no direct relevance for the T36.1. Should instead read: I36.1 Relevant minimum requirements published and communicated to the study coordinators and the Doctoral Student Council.</p>
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	<p><i>T40.1 Effective and good support functions for competence and skills development.</i></p> <p>I40.1 Relevant Indicators in the Doctoral Student Survey, relevant indicators in the Employee Satisfaction Survey. – Under way, process takes more time than anticipated, continuously updated.</p>
How do you expect to prepare for the external review?	<p>External review will receive a thorough plan similar to the external review process implemented by the Swedish Higher Education Authority - UKÄ):</p> <ol style="list-style-type: none">1. Introductory presentations about the University, organisation structure and the legislative framework2. Document reviews, assessments, gathering of data.3. Organising focus group meetings and interview series (similar to UKÄ). <p>The External Review will be made part of the annual operational plan and all bodies and working groups of the university will be duly prepared for the external review process.</p>

Additional remarks/comments about the proposed implementation process:

(free text, 1000 words maximum)