



TEMPLATE 2 – GAP ANALYSIS - OVERVIEW

Case number: 2018SE337053

Name Organisation under review: Södertörn University, Huddinge, Sweden

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DATE ENDORSEMENT CHARTER AND CODE: 2018-05-02 (Confirmed: 2018-09-11)

GAP ANALYSIS

The Charter and Code provides the basis for the Gap analysis. In order to aid cohesion, the 40 articles have been renumbered under the following headings. Please provide the outcome of your organisation's GAP analysis below. If your organisation currently does not fully meet the criteria, please list whether national or organisational legislation may be limiting the Charter's implementation, initiatives that have already been taken to improve the situation or new proposals that could remedy the current situation.



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	In case of --, -/+, or +/-, please indicate the actual "gap" between the principle and the current practice in your organisation. If relevant, list any national/regional legislation or organisational regulation currently impeding implementation	Initiatives undertaken and/or suggestions for improvement:
Ethical and Professional Aspects			
1. Research freedom	++	Free text 300 words maximum National/regional legislation Research in Sweden is bound by the Swedish Higher Education Act 1992:1434, chap 1 §6.	Free text 200 words maximum Organisational regulation Research freedom is one of the pillars of research in Sweden and as a public university, SH is committed to comply with the national



		<p>The following general principles are applicable:</p> <ul style="list-style-type: none"> • research issues may be freely selected, • research methodologies may be freely developed, • research results may be freely published. <p>In addition, there are a number of statutes that regulate the publication of research data:</p> <ul style="list-style-type: none"> • Freedom of Speech Act (YGL 1991:1469) <p>The purpose of freedom of expression under this Act is to secure the free exchange of opinion, free and comprehensive information, and freedom of artistic creation.</p> <ul style="list-style-type: none"> • Freedom of Press Act (TF 1949:105) <p>The freedom of press is understood to mean the right of every Swedish citizen to publish written matter, without prior hindrance by a public authority or other public body, and not to be prosecuted thereafter on grounds of its content other than before a lawful court, or punished therefore other than because the content contravenes an express provision of law, enacted to preserve public order without suppressing information to the public.</p>	<p>legislation. Researchers are free to publish their results and own their findings, which they can individually benefit from.</p> <p>SH follows the legislation and any changes made thereto and advises incoming international researchers of the legislation and researchers' rights and obligations.</p>
2. Ethical principles	++	National/regional legislation	Organisational regulation



		<p>The Act (2003:460) concerning the Ethics Review of Research Involving Humans. Proposal in progress.¹</p> <p>Animal Welfare Act (SFS 1988:534)</p> <p>This Act applies to the care and treatment of domestic animals and laboratory animals. It also applies to other animals if they are kept in captivity.</p> <p>The Swedish Research Council (Sw. <i>Vetenskapsrådet</i>, VR) is an authority within the Ministry of Education and Research. It has a leading role in developing Swedish research of the highest scientific quality, thereby contributing to the development of society. In the beginning of 2004, independent authorities of ethical vetting were established consisting of a Central Ethical Review Board and six local boards. The authorities are under supervision of the Parliamentary Ombudsman and the Chancellor of Justice and ensure the supervision of compliance with the Ethical Review Act and the regulations issued under the Act.</p>	<ul style="list-style-type: none">• The Swedish Research Council has recently published a guide to Good Research Practice, which will be distributed to all new incoming researchers.• The Swedish government publishes recommendations and guiding material on good governance culture, including an ethical compass, as well as seminars and courses.• The Vice-chancellor issued Guidelines for ethical reviews of research at Södertörn University,² as well as Regulations and routines to process reports of alleged ethical violations³ in 2017, which have been further completed since with regards to data management and GDPR.• There is a Common Code of Conduct for Managers and Employees at Södertörn University.⁴• The Vice-Chancellor has initiated the establishment of an Ethics Council.⁵ This Ethics Council is tasked with promoting and building capacities around ethical principles and advising of researchers (as well as teachers and students). The Council shall function as an advisory instance that guides and works proactively to hinder misconduct in research. Ethical reviews of specific research projects, however, are not assigned to this Council. The Council shall meet four times a year.• Misconduct in research is handled as recommended by the Swedish Research Council's CODEX.
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¹ A memorandum ([Ds 2016:12](#)) is in progress (September 2016), containing proposals aimed at adapting Swedish legislation regarding the ethical review of research involving humans to the EU ordinance (EU no 536/2014) on clinical trials on medicinal products. If the proposal is accepted and legislated, the regulation will become directly applicable to researchers working in Sweden.

² Reg. no. 3145-1.1.2-2016, 2017-02-14.

³ Reg. no. 1528-1.1.2-2017, 2017-05-23.

⁴ Reg.no: 1231/1.1.1/2013, available both in English and Swedish.

⁵ Reg. no. 1518-1.1.2-2019, 2019-03-26.



3. Professional responsibility	++	<p>National legislation The Swedish Higher Education Act 1992:1434, § 3a In the course of their operations, higher education institutions shall uphold academic credibility and good research practice. The Administrative Procedure Act (1986:223) This Act applies to the handling of matters by administrative authorities (e.g. public universities).</p>	<p>Organisational regulation As mentioned above, under point 2, professional responsibility is part of the regulations and recommendations for state employees. The following policies and fora ensure that employees at the university fulfill their professional responsibility:</p> <ul style="list-style-type: none"> • The newly established Ethics Council; • Multidisciplinary courses in third-cycle studies in research methodologies, collaborations with non-academic partners, research communication and research presentation, etc. • Common Code of Conduct for Managers and Employees at Södertörn University;⁶ • Policy for Incidental Employment;⁷ • Staff Disciplinary Committee shall initiate an internal inquiry if an employee at the university is acting in a manner that is not compatible with his/her employment; • Regulations for Third-Cycle Education at Södertörn University⁸ regulate the roles and responsibilities of both the doctoral students, as well as of their supervisors, including assessment criteria for both. • As stipulated in the Individual Study Plan for third-cycle studies. Södertörn University continues to follow up national legislation in this area, focus on compliance and develop according to best practice.
4. Professional attitude	++	<p>National legislation The professional attitude is unambiguously linked to professional responsibility and the</p>	<p>Organisational regulation Processes and services (functions) to ensure a professional attitude towards research activities at SH:</p>

⁶ Reg.no: 1231/1.1.1/2013, available both in English and Swedish.

⁷ Policy för bisyssla, Reg No: 536/22/2007, 2007-05-16.

⁸ Reg. No. 2740/1.1.2/2014.



		<p>contractual and legal obligations to which each researcher must adhere. The Swedish legislation embraces ethical aspects in laws and regulations, referred to in this document under each paragraph, and thus set the frames for each researcher's personal accountability.</p>	<ul style="list-style-type: none"> • Professional attitude is taken up during the introductory program for incoming staff and is subject of staff capacity building courses. • Multidisciplinary courses in third-cycle studies in Popular Scientific Research Presentation, Language and Communication in Work-life, General Courses on Teaching and Learning in Higher Education, Peer Reviewing, etc. • Handling of research applications and projects is guided by joint recommendations of Heads of Schools, as well as regulated in internal guidelines, routines and order of delegation. • SH External Relations Unit advises researchers regarding research funding and the requirements of funding agencies. • Post-award and post-contract support are decentralized at the Administration Units of each School with support as necessary from SH University Support Services (rights and obligations, administrative structures and project finance, etc.). • In the Individual Study Plan, the doctoral student and the supervisor must inform the University whether the research project is delayed, redefined, or completed. • Researchers are advised of the strategic goals governing their research environment as well as the university's strategic research profiles, through regular research meetings and information meetings organized by each Head of School respectively, as well as in dialogue with the Vice-Chancellor and the Deputy Vice-Chancellor for Research. • No research projects may be started without the necessary ethical approvals. Such approvals may cover the use of personal information, ethical requirements, etc.
<p>5. Contractual and legal obligations</p>	<p>+/-</p>	<p>National legislation The following national legislation may apply depending on the research area:</p>	<p>Organisational regulation Processes and services (functions) to ensure that contractual and legal obligations are complied with:</p>



		<p>Act (1960:729) on Copyright in Literary and Artistic Works The Patent Act (1967:837) Act (1949:345) on the Right to Employee Inventions Design Protection Act (1970:485) The Trademark Act (2010:1877) The Trade Names Act (1974:156) The Names Act (1982:670) The Swedish Higher Education Act (1992: 1434), Chapter 1 § 6 The Act (2003:460) concerning the Ethics Review of Research Involving Humans The General Data Protection Regulation (GDPR, Dataskyddsförordningen), Proposal in progress.⁹</p>	<ul style="list-style-type: none">• 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.• SH External Relations Unit advises researchers regarding contractual and legal obligations that may emerge in case a funding proposal is granted, including IPR.• Post-award and post-contract support, including contractual and legal obligations are decentralized at the Administration Units of each School with support as necessary from SH University Support Services (External Relations Unit, HR and Finance Depts, as well as procured legal services), to assist researchers in their externally financed projects regarding rights and obligations, administrative structures and project finance, and helping with contacts with funding agencies.• In the Individual Study Plan the doctoral student and the supervisor must inform the University whether the research project is delayed, redefined, or completed.• Researchers are advised and supported by specialists at the Södertörn University Library, regarding doctoral theses, publications, articles and questions regarding Open Access Data services. <p>There are assessments, as well as planning and development efforts at present ongoing, to standardize pre-award, post-award, post-contract support processes, further develop and strengthen a central point of post-award support. Our current praxis regarding this area fulfills the requirements of the Charter, however, this is an area of major organisational developments, therefore our analysis includes this area a gap to be filled. Developments in this area will</p>
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⁹ https://www.riksdagen.se/sv/dokument-lagar/arende/betankande/ny-dataskyddslag_H501KU23/html



			<p>definitely contribute to point 6. Accountability, which is identified to be further addressed in the action plan.</p> <p>See specific actions proposed at 5.1 and 5.2 under point 3. Actions in the SH HRS4R Action Plan.</p>
6. Accountability	+/-	<p>National legislation</p> <p>The Swedish Higher Education Act 1992:1434, § 4</p> <p>The operations of higher education institutions shall be organised to ensure that high standards are attained in educational courses and study programmes as well as in research. The resources available shall be used effectively to sustain a high standard of operation. Quality assurance procedures are the shared concern of staff and students at higher education institutions. Ordinance (2013:119).</p> <p>The purpose of Swedish National Data Service (SND) and the SND-Network is to provide a coordinated and secure system for describing, depositing, sharing, and finding data, nationally as well as internationally, to the Swedish</p>	<p>Organisational regulation</p> <p>A majority of the research funding at SH is derived from public funds and therefore there should be transparency and availability of the research carried out.</p> <ul style="list-style-type: none"> • Being a public university, budget efficiency and effectiveness of financial management are regularly monitored and rigorously audited by both the Swedish National Financial Management Authority and the Swedish National Audit Office (NAO), including audits on research funding (not individual research projects, but both financial and performance audits of public entities, like a public university). • SH Communication Department collaborates with researchers in public outreach, to be able to inform the general public about the university's research. Researchers and research groups are encouraged to hold events opening up research to the general public. Several research-focused public events are organized annually at SH and at Campus Flemingsberg (where 5 HEI are present, including SH). • Research funding agencies are increasingly demanding that results are published in Open Access journals. This is also a requirement at SH. The SH Library supports researchers in their Open Access publication strategies. • Due to the Freedom of Information Act, any organisation or private person has the right to request information of any sort from the university. The university is obliged to provide such information



		<p>research community. The mandate for SND is provided by the Swedish Research Council.</p>	<p>within a specific period of time. Some research results can be withheld if they have potential commercial applicability.</p> <ul style="list-style-type: none"> • SH joined the Swedish National Data Service (SND) – Network in 2017 and assigned coordination and implementation of this task to the SH Library.¹⁰ A Data Access Unit (DAU) was established, consisting of a team with competence in various fields. This unit provides local support for managing research data. The main task for the DAU is to assist researchers in making research data as accessible as possible, in accordance with the FAIR data principles (Findable, Accessible, Interoperable, and Re-usable). • Södertörn University is also a member of DiVA Consortium. DiVA - Academic Archive Online, is a publishing system for research and student theses and a digital archive for long - term preservation of publications. It is possible to upload datasets to DiVA as a way to make the data available, or just to archive it. It is also possible to link from DiVA publications to data sets openly available in other databases. <p>There are a number of areas which have been identified as gaps in terms of quality assurance with regards to accountability in research at SH. Data management, open data access, GDPR-compliance and digitalisation in all operation are viewed as rapidly developing areas, thus will be in focus of SH organisational development.</p> <p>See specific actions proposed at 6.1 under point 3. Actions in the SH HRS4R Action Plan.</p>
<p>7. Good practice in research</p>	<p>++</p>	<p>National legislation Relevant national legislation includes:</p>	<p>Organisational regulation See also information at point 6. Accountability.</p>

¹⁰ Reg No. 3842/3.2.1/2017.



		<ul style="list-style-type: none">• Work Environment Act (1977:1160)• GDPR• Archives Act (1990:782)• Public Access to Information and Secrecy Act (2009:400)	<p>There are both national and international regulations (legislations) that SH, as a public university, is bound to follow to ensure a safe working environment.</p> <ul style="list-style-type: none">• To this end, SH has an Environmental Officer who is responsible for ensuring the university's compliance with regulations, including but not restricted to the REACH Regulation.• The Internationalisation Officer together with the Environmental Officer has been developing various mechanisms to incentivize digital communication forms and environmentally friendly travel forms.• SH Campus/IT Department has the central responsibility for electronic data storage. Some data is stored on university servers that are thoroughly monitored and backed up, other data is stored in cloud services provided by SUNET (Swedish University computer Network, a unit within the Swedish Research Council, VR). Local data storage, on individual computers, is firmly discouraged. SH Registrar and Archive function within the University Support Services is responsible for ensuring that the documents are archived in a form that complies with current legislation.• The Personal Data Act (PUL), a Swedish legislation, was replaced by the European General Data Protection Regulation (GDPR) in 2018. The Data Protection Officer in close collaboration with the Registrar and Archive is working to ensure that the university is compliant with EU legislation, and that researchers, as well as other staff and students receive the necessary information, training and guidance regarding data protection. Recently, the Vice-chancellor approved the data protection organization for SH.¹¹• Good practice in research is further strengthened by the recently established Library Council (an advisory body to the Director of the
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¹¹ Reg no. 2534-1.9.3-2019.



			<p>SH Library), focusing on developing the Library's functions and services.¹²</p> <p>Data management, open data access, GDPR-compliance and digitalisation in all operations are viewed as rapidly developing areas, thus will be in focus of SH organisational development in the upcoming years. Some further relevant issues for improvement are raised under point 6. Accountability.</p> <p>See specific actions proposed at 7.1, 7.2, 7.3 and 7.4 under point 3. Actions in the SH HRS4R Action Plan.</p>
8. Dissemination, exploitation of results	++	<p>National legislation</p> <p>The Swedish Higher Education Act (1992:1434), Ch. 1, 2 and 3§§</p> <p>The mandate of higher education institutions shall include third-stream activities and the provision of information about their activities, as well as ensuring that benefit is derived from their research findings.</p>	<p>Organisational regulation</p> <p>Essentially all research funding bodies now require a dissemination plan in funding applications. This plan must detail dissemination to peers as well as to all levels in society, from national and international decision-makers to the general public. Furthermore, in other funding applications, commercialisation plans (innovation management) are also required, although it is not so common for the mainly social sciences and humanities focused research profiles at SH. Matching SH mainstream research, exploitation of results is often focused on contributing to social sustainability and social impact, rather than commercialization.</p> <ul style="list-style-type: none"> • SH Library is supporting researchers in publication strategies and are providing advisory services regarding dissemination and bibliometrics data (statistics, impact, etc.); as well as the newest developments in open data access publication. • SH is a member of the DiVA Consortium. DiVA - Academic Archive Online, is a publishing system for research and a digital archive for long term preservation of publications. It is possible to upload

¹² Reg no. 3835/1.6.1/2017, 2017-12-12.



			<p>datasets to DiVA as a way to make the data available, or just to archive it. It is also possible to link from DiVA publications to data sets openly available in other databases.</p> <ul style="list-style-type: none"> • SH External Relations Unit (ER) advises researchers on the requirements for dissemination and commercialization plans for individual funding agencies. The unit maintains close contacts with funding bodies. ER services are available to all levels of researchers, R1 to R4. • SH signed a contract in 2019 with The Royal Institute of Technology – KTH Innovation Office to assist researchers in innovation management, advising on product development, licensing, company formation and providing some levels of funding for commercialization.¹³ In Sweden, rights to research results are owned by the individual researcher (<i>'exemption for teachers'</i>), not the employer, which means that commercialization through private company is a normal process. <p>While SH has made significant advances in the dissemination and exploitation of results, there is still more work to do in optimizing the processes and ensuring that all researchers are aware of the available services. One area that needs to be developed is the content of the English version of the sh.se website. The website is completely newly built, launched in April 2019, and is still under construction.</p>
9. Public engagement	++	<p>National legislation The Swedish Higher Education Act (1992:1434), Ch. 1, 2 and 3§§</p>	<p>Organisational regulation Public engagement is a relatively new and essential requirement for researchers. Since most research is funded by public funds, it is</p>

¹³ Reg No.: 2043-3.2.2-2019



		<p>The mandate of higher education institutions shall include third-stream activities and the provision of information about their activities, as well as ensuring that benefit is derived from their research findings.</p>	<p>necessary to inform the general public of research results and offer the possibility of interaction.</p> <ul style="list-style-type: none"> • SH Communications Department advises researchers regarding public engagement and communications plans on request and assists in the practical production of press releases, presentations etc. • Researchers are encouraged to give presentations to the general public and SH has been very active in the collaborative efforts of Campus Flemingsberg (Karolinska Institutet, Red Cross University College, University College of Music Education in Stockholm – SMI, and the Royal Institute of Technology – KTH) to promote research, as well as been a contributor to the Marie Skłodowska-Curie European Researchers’ Night. • The Strategic Collaborations Council is leading SH’s strategic work on public engagement, a prioritized development focus in the period 2017-2019. The purpose of the Council is to strengthen the collaborative capacity of the faculty, as well as to stimulate, deepen and increase the visibility of collaborative efforts, including the assessment of collaboration experiences as part of academic merit. Collaborative partnerships are formed with the municipal councils of Huddinge, Botkyrka and Järfälla, as well as Region Stockholm, to strategically contribute to the regional, social and knowledge-intensive development of Stockholm South. Researchers’ mobility outside the academic sphere is also prioritized in the period of 2017-2019, with focus on collaborative projects with both businesses and the third sector, even includes increased visibility and citizen education as main objectives and covers strategic work with the media.
10. Non discrimination	++	<p>National legislation Discrimination Act (2008:567)</p>	<p>Organisational regulation</p>



		<p>The purpose of this Act is to combat discrimination and in other ways promote equal rights and opportunities regardless of sex, transgender identity or expression, ethnicity, religion or other belief, disability, sexual orientation or age.</p> <p>The Swedish Secretariat for Gender Research has been commissioned by the Swedish government to support all state-funded higher education institutions in their gender mainstreaming efforts 2016–2019.</p> <p>The government has requested that all state-funded higher education institutions in Sweden develop a gender mainstreaming plan 2016–2019. The purpose of the initiative is for the higher education sector to contribute towards the nationally declared gender equality objective of women and men having equal power to shape society and their own lives. The government identifies equal career opportunities in academia among areas of particular importance. The plans shall also describe how gender equality will be integrated into the institutions’ everyday operations, such as in management processes. Plans are to be presented by 15 May 2017 with continuous</p>	<ul style="list-style-type: none">• SH’s Vice-Chancellor has commissioned in 2016 a Working Group on Gender Mainstreaming (GM) and an Action Plan for GM to be drawn up. This Action Plan¹⁴ identified 5 areas to focus the University’s efforts to improve the gender balance, as well as laid out the necessary steps to achieve change and to follow-up.• SH has Guidelines¹⁵ for its work to observe and respect equal opportunities for employees, identifying processes, intervention areas and reporting fora to implement its Equal Opportunities Policy¹⁶. These areas are the following: labor relations; decisions and praxis regarding salaries and other employment conditions; recruitment and promotion; education and capacity building; opportunity to keep the balance between professional life and parenthood.• Among other tools, there is a biannual employee survey and a follow-up (every 3 years) survey for R1 researchers (doctoral students) and a number of complaint procedures to be able to register, stop and prevent discrimination.
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¹⁴ Reg. No. 1768-1.1.1-2017

¹⁵ Reg No. 3855-1.1.2-2017 (2017-12-05)

¹⁶ Reg no. 3572-1.1.2-2016 (2016-12-20)



		reporting of implemented measures and results.	
11. Evaluation/ appraisal systems	++	<p>National legislation From an employer’s point of view, there is no national legislation regarding evaluation/ appraisal systems. However, from the funder’s perspective, the Swedish Research Council conducts various types of evaluations of research, both evaluations of research topics (such as mechanics or Literature) and evaluations of government-initiated research efforts, the latter more frequent. The focus of the evaluations is on scientific quality, though aspects such as strategic management at the university level and research impact may occur. Responsibility for the compliance with ethical guidelines rests with the academic institution. Evaluation may lead to a redistribution of funds within the framework of an ongoing effort. The Swedish Higher Education Authority (UKÄ) has been recently given the responsibility of evaluating and monitoring PhD programmes.</p>	<p>Organisational regulation At SH, there are several evaluation and/or appraisal systems, including: • SER 2015 – an external evaluation of research at Södertörn University by both national and international scientists (grading committee). The evaluation covered the period 2009-2014, and focused on the following criteria: - quality of doctoral theses and publications; - scientific novelty; - theoretical novelty; - publications / breakthrough (number and category) and publication standards; - external funding; - culture/traditions of seminars; - quality of research environment; - employee composition of the discipline (gender, age, employment categories); - fortunate/ strategic recruitments; “critical mass”; - research collaborations within and among schools; - Baltic Sea profile. This resulted in strategic funding streams for certain research programs. A new, internal evaluation of SH’s research is planned for 2019-2020. • Application for the academic title ‘Docent’ (Associate Professor) involves an evaluation process.</p>



			<ul style="list-style-type: none"> • Each year, every employee at SH, including researchers at all stages, has an individual appraisal with their direct supervisor/manager. Much of these discussions are based on performance but also training and career plans, working environment etc. This is the opportunity for the researcher to discuss personal development, conference attendance etc. It is normal to set goals, for both parties, which are followed up during the next appraisal (as well as in a shorter follow-up discussion at half-time). • On a frequent basis (every 2 years), there is a general employee survey at SH (next survey is due in the spring of 2020). The results of this survey are used to check factors such as working environment, management's success in disseminating policy, etc.
Recruitment and Selection			
12. Recruitment	+/-	<p>National legislation The Instrument of Government The Instrument of Government Chapter 12, Section 5: "When making appointments to posts within the State administration, only objective factors, such as merit and competence, shall be taken into account." The Public Employment Act in Swedish (1994:260) The Public Employment Act Section 4: "When making appointments only objective factors such as service merits and competence shall be</p>	<p>Organisational regulation SH's policy is 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. In addition, public universities (as public authorities) are bound by legislation to take into account merits and ability in their recruitments. In addition to legislation, internal regulations guide recruitments at SH:</p> <ul style="list-style-type: none"> • Appointments procedure,¹⁷ which is issued by the Governing Board; and various guides and templates:

¹⁷ Reg. No. 4165-1.1.2-2018, effective 2018-01-01 – 2018-12-31.



		<p>taken into account. Competence shall be a primary consideration, unless specific reasons otherwise exist.”</p> <p>The Swedish Higher Education Act (1992:1434) The Higher Education Ordinance (SFS 1993:100) Discrimination Act (SFS 2008:567)</p>	<p>A major revision of the Appointments Procedure is under way, taking into account HRS4R Guidelines among 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 be formally issued and to enter into effect 1 January 2020.</p> <ul style="list-style-type: none">• Recruitment process at SH is accompanied by standardised routines and templates for advertising, recruitment and employment. The job profile must be agreed prior to recruitment and is used in the assessment process.• The Action Plan for Gender Mainstreaming;¹⁸ the Guidelines¹⁹ for SH’s work to observe and respect equal opportunities for employees; and the Equal Opportunities Policy²⁰ 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 process as well as employment conditions will guarantee equal opportunities for career development within academia. <p>See specific actions proposed at 12.1 and 12.2 under point 3. Actions in the SH HRS4R Action Plan.</p>
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¹⁸ Reg. No. 1768-1.1.1-2017

¹⁹ Reg No. 3855-1.1.2-2017 (2017-12-05)

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



<p>13. Recruitment (Code)</p>	<p>+/-</p>	<p>National legislation The Instrument of Government The Instrument of Government Chapter 12, Section 5: “When making appointments to posts within the State administration, only objective factors, such as merit and competence, shall be taken into account.” The Public Employment Act in Swedish (1994:260) The Public Employment Act Section 4: “When making appointments only objective factors such as service merits and competence shall be taken into account. Competence shall be a primary consideration, unless specific reasons otherwise exist.” The Swedish Higher Education Act (1992:1434) The Higher Education Ordinance (SFS 1993:100) Discrimination Act (SFS 2008:567)</p>	<p>Organisational regulation See point 12.</p> <ul style="list-style-type: none"> • Appointments procedure,²¹ and various guides and templates: A major revision of the Appointments Procedure is under way, taking into account HRS4R Guidelines among 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. • Every recruitment process must be approved by the respective Head of School and the Vice-chancellor. • SH uses the web-based Reach Mee recruitment system. • The Action Plan for Gender Mainstreaming;²² the Guidelines²³ for SH’s work to observe and respect equal opportunities for employees; and the Equal Opportunities Policy²⁴ all include regulations relevant for recruitment. • Our recruitment system contains templates for all academic staff positions, which include a description of the required knowledge, desired qualifications – both general and specific to the field. • There are specific Collective agreements for teaching staff. <p>This area is held in focus of strategic organisational developments, therefore improvement points are identified as gaps. See specific actions proposed at 13.1 under point 3. Actions in the SH HRS4R Action Plan.</p>
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²¹ Reg. No. 4165-1.1.2-2018, effective 2018-01-01 – 2018-12-31.

²² Reg. No. 1768-1.1.1-2017

²³ Reg No. 3855-1.1.2-2017 (2017-12-05)

²⁴ Reg no. 3572-1.1.2-2016 (2016-12-20)



14. Selection (Code)	++	The Swedish Higher Education Act (1992:1434) The Higher Education Ordinance (SFS 1993:100)	Organisational regulation <ul style="list-style-type: none">• The composition of the Recruitment Committees of the Faculty Board is clearly regulated in the relevant SH policy documents:<ul style="list-style-type: none">- Initiation and composition of Recruitment Committees at Södertörn University;²⁵- Functioning of the Recruitment Committee;²⁶- Mandate of the Recruitment Committees.²⁷ There are two recruitment committees currently, one for recruitments in humanities (REK HUM) and one for recruitments in social sciences, natural sciences and technology (REK SAM). Recruitment Committees are the University bodies preparing recruitment and promotion cases regarding adjuncts, lecturers and professors. <ul style="list-style-type: none">• Guidelines for appointment to an Associate Professorship (docent) at Södertörn University,²⁸ applicable from 1 June 2017 includes detailed instructions for the selection procedure carried out by the REK HUM and REK SAM, and the case being decided upon by the Faculty Board. Experts and members are evenly distributed in terms of gender, department, etc. External members, students and doctoral students are represented. Different selection methods are applied such as interviews, test lectures and contacting of referees. External experts review the documentation.
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²⁵ Reg No. 90-1.1.2-2013

²⁶ Reg No. 914-1.1.2-2014

²⁷ Reg No. 90-1.1.2-2013

²⁸ Reg No. 777-1.1.1-2017



			<ul style="list-style-type: none"> • Applicants must be assessed on the basis of the criteria set forth in the job vacancy advertisement and the general requirements of the individual type of academic post.
15. Transparency (Code)	++	<p>National legislation The Swedish Higher Education Act (1992:1434) According to the Higher Education Ordinance (SFS 1993:100) Chapter 2, § 2, the University Board shall determine employment regulations (Sw. <i>anställningsordning</i>) that the university must apply, together with the rules of appointment and promotion of lecturers. Employment Ordinance (1994:373) Public Access to Information and Secrecy Act (2009:400)</p>	<p>Organisational regulation</p> <ul style="list-style-type: none"> • SH uses a web-based recruitment system called <i>Reach Mee</i>, which offers a standardised application process. • Applicants are informed, in the job advertisements as well as on SH's website (see point 12), about guidelines for recruitment. Currently the Swedish version offers more information than the English one, but as part of the Action Plan, all information will be provided in both languages. • Applicants are continually informed about the recruitment process by e-mail via <i>Reach Mee</i>. • Support documents and guidelines to be made available to the applicants are determined either by the Vice-Chancellor or the HR-manager. Recruitment materials are published on the SH website. The Public Access to Information Act also applies to recruitments.
16. Judging merit (Code)	++	<p>National legislation The Public Employment Act (SFS 1994:260) §4 Merits and competence The Higher Education Ordinance (SFS 1993:100), chapter 4</p>	<p>Organisational regulation</p> <ul style="list-style-type: none"> • Appointments procedure,²⁹ and various guides and templates details general assessment criteria, starting points for assessing scientific and artistic skills, pedagogical skills and other relevant skills, which are not specified. • Guidelines for preparation and decisions on recruiting teaching staff and assessment are regulated parts of the selection process. 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.

²⁹ Reg. No. 4165-1.1.2-2018, effective 2018-01-01 – 2018-12-31.



			Regarding R1 recruitments, there is a separate regulatory framework for selection and enrollment (including judging eligibility and competence) of doctoral students (they are both students and employees in the Swedish education system).
17. Variations in the chronological order of CVs (Code)	++	<p>National legislation Not relevant. Anställningsförordningen + diskrimineringslagen</p>	<p>Organisational regulation Apart from the standardised forms to complete in Reach Mee, applicants submit their own CVs and letters of application. This leaves great freedom to the applicant to express their experience in their own way, e.g. evidence-based. However, career breaks should be explained, as stated in the instructions for application. Applicants may submit their CVs either in an evidence-based or time-based format. The time-based format is more common within academia.</p>
18. Recognition of mobility experience (Code)	++	<p>National legislation Not relevant. Anställningsförordningen + diskrimineringslagen</p>	<p>Organisational regulation SH sees mobility, intersectoral, transnational and transdisciplinary, as advantageous and valuable. Personal mobility programs from higher education institutions (HEIs) to the community contribute to higher relevance and quality in research and education.</p> <ul style="list-style-type: none"> • Since 2017, SH is working strategically to increase academic and non-academic collaborations (intersectoral mobility) and applies a comprehensive incentivisation system to support researchers' efforts. SH offers teachers and researchers the opportunity and resources to spend part of their time with a partner - in Sweden or abroad - to initiate and strengthen collaboration and increase their collaborative skills. The project is ongoing in two rounds during 2018-2020. • Since 2017, SH is also implementing a strategic Internationalisation Policy and Action plan, which also recognize researchers' international mobility as a valuable contributor to



			<p>research quality. The current strategy document identifies intersectoral and international mobilities as drivers of development. Staff members with an international background are encouraged and supported to be engaged in strategic and management positions.</p> <p>The current appointment procedure (in effect 2019.01.01. - 2019.12.31.), describing the selection process, does not specify these aspects, though there is room for specifying mobility experience in the criteria of the profile description and the announcement.</p> <p>The Centre for Baltic and East European Studies (CBEES) is tasked since 2005 with encouraging and developing SH's research and doctoral education that focuses on the Baltic Sea region and Eastern Europe, as well as conducting research. The centre is an important actor, with collaborations throughout the Baltic Sea region and Eastern Europe. Over the years, many international visiting researchers have passed through the centre and more than 90 doctoral students have been educated at the Baltic and East European Graduate School (BEEGS).</p>
19. Recognition of qualifications (Code)	++	<p>National legislation The Higher Education Ordinance (SFS 1993:100), chapter 2 § 2, the University Board shall set employment regulations that the university applies together with the rules of appointment and promotion of teachers.</p>	<p>Organisational regulation The Appointments Procedure of SH lists clear criteria for when and how assessments should be carried out. Non-formal qualifications cannot replace formal qualifications, but are perceived as positive in many research areas/disciplines. The following are therefore also taken into account:</p> <ul style="list-style-type: none"> • Publications, using bibliometrics; and other research-related merits specific to a given field and discipline. • Pedagogical merits. • Academic leadership skills of various levels, experience in third-cycle teaching/supervision, etc.



20. Seniority (Code)	++	<p>National legislation The Higher Education Ordinance (SFS 1993:100), chapter 2 § 2, the University Board shall set employment regulations that the university applies together with the rules of appointment and promotion of teachers.</p> <p>Discrimination Act (SFS 2008:567) The purpose of this Act is to combat discrimination and in other ways promote equal rights and opportunities regardless of sex, transgender identity or expression, ethnicity, religion or other belief, disability, sexual orientation or age.</p>	<p>Organisational regulation SH, as a public university, is bound by the Discrimination Act and the Higher Education Ordinance. SH has Guidelines³⁰ for its work to observe and respect equal opportunities for employees, identifying processes, intervention areas and reporting fora to implement its Equal Opportunities Policy³¹. These areas are the following: labor relations; decisions and praxis regarding salaries and other employment conditions; recruitment and promotion; education and capacity building; opportunity to keep the balance between professional life and parenthood (see point 10); as well as the Appointments Procedure. There are also guidelines for employment once pension age (65 years old) are reached.</p>
21. Postdoctoral appointments (Code)	++	<p>National legislation Employment Protection Act 1982:80 (LAS) § 5 Collective Agreement for Post-doc positions The agreement applies to employees employed as post-docs and who shall primarily carry out research. Teaching can also be included in the duties, but at most one-fifth of working hours.</p>	<p>Organisational regulation At SH, we follow the national collective agreement on post-doc positions. SH's Vice-Chancellor has commissioned in 2016 a Working Group on Gender Mainstreaming (GM) and an Action Plan for GM to be drawn up. This Action Plan³² identified 5 areas to focus University's efforts to improve the gender balance, as well as laid out the necessary steps to achieve change and to follow-up. One of the</p>

³⁰ Reg No. 3855-1.1.2-2017 (2017-12-05)

³¹ Reg no. 3572-1.1.2-2016 (2016-12-20)

³² Reg. No. 1768-1.1.1-2017



		<p>A prerequisite for the application of this agreement is that the employee has not previously been employed as a post-doc under this agreement for more than a year within the same or related subject area at the same institution / authority.</p>	<p>areas concerns recruitments and internal career paths, and within this framework, the Faculty Board was tasked in 2017 to propose systemic career support for academic employees, including doctoral students, for transitions between different career steps (for example, mentoring programs and advisory sessions on how to build a portfolio of merits).</p> <p>The same Action Plan has tasked the university management to investigate the possibility and initiate the position of Assistant Lecturer. This is intended to provide a natural career progression for post-docs, as well as to decrease the duration of insecure, temporary project-based employments. These positions are seen by the management as a step towards university leaders of the future, as well as providing for a more optimal age-structure of the academic staff and is seen as an efficient way to recruit competent staff.</p> <p>Post-doctoral appointments are also regulated in the SH Appointments Procedure.</p>
Working Conditions and Social Security			
22. Recognition of the profession	++	<p>National legislation The Swedish Higher Education Act 1992:1434 chapter 1, §6 and chapter 2 §6</p>	<p>Organisational regulation Doctoral students at SH are employed on standard work contracts. Stipends are rare and not recommended. All research staff at SH are recognised as professionals and treated accordingly at all levels of their careers. As part of their professional development, research staff (particularly at the post-doctoral stage) are encouraged to apply for their own research funding. Senior academic staff at the Schools and Department level offer support, as well as the Research Support function at the External Relations Unit provides them with</p>



			support to write applications, offers courses and individual assistance in applying to specific funders.
23. Research environment	++	<p>National legislation The following national legislations govern, amongst others, health and safety issues at work</p> <ul style="list-style-type: none"> • The Work Environment Act (SFS 1977:1160) <p>The Work environment ordinance (SFS 1977:1166)</p> <ul style="list-style-type: none"> • Discrimination Act (SFS 2008:567) • Social Insurance Act (SFS 2010:110) • Flammable and explosive goods act (SFS 2010:1011) • Flammable and explosive goods ordinance (SFS 2010:1075) • Protection against accidents act (SFS 2003:778) • Protection against accidents ordinance (SFS 2003:789) • The Environmental Code (SFS 1998:808) • Parental leave act (SFS 1995:584) 	<p>Organisational regulation See also 24 below.</p> <p>The research environment for most of the disciplines at SH is excellent, according to the SER 2015 – an external evaluation of research at Södertörn University by both national and international scientists (grading committee). The evaluation covered the period 2009-2014. All researchers have the opportunity to discuss their results with colleagues and supervisors and are encouraged to present their results at seminars, both internal and external. During the Introductory Programme for all SH staff, they are informed of all the facilities available, notably but not exclusively:</p> <ul style="list-style-type: none"> • All staff are provided with office space, as well as lab space, including all necessary IT facilities and telephone access. • Research staff have free-of-charge access to many different national and international databases and journals through the Södertörn University Library. • Staff have the opportunity to attend many different courses, outside of their research areas in such subjects as: grant writing, academic writing in English, various IT-trainings, fire safety training, heart-lung resuscitation, first-aid etc. • Research staff have access to any of the infrastructural facilities at SH, such as specialised equipment. • Staff can attend any internal seminars, no matter what the subject, and where possible external seminars. • Specialised language training is available (both as of Erasmus+ Online Language Support – OLS, and a specialized intensive language training for academics (SIFA), provided by the City Council of Stockholm, furthermore by the Study in Sweden online course.



			<ul style="list-style-type: none"> • Video conferencing facilities are available throughout the university in special rooms and individual computers supplied to staff contain video conferencing software. • There are many research projects, as well as educational projects run in collaboration with industry and the public sector, which encourage interdisciplinarity and mobility. <p>International and intersectoral collaborations are highly encouraged. Funding advice is available through SH University Support Services, External Relations Unit to assist collaboration. SH sustains very close collaboration with local and national actors including municipalities, county councils and schools, offering access to sources of research material.</p>
24. Working conditions	++	<p>National legislation The following legislation covers working conditions in Swedish workplaces:</p> <ul style="list-style-type: none"> • The Work Environment Act (SFS 1977:1160) • The Work environment ordinance (SFS 1977:1166) • Discrimination Act (SFS 2008:567) • Social Insurance Act (SFS 2010:110) • The Environmental Code (SFS 1998:808) • Parental leave act (SFS 1995:584) 	<p>Organisational regulation See also 23 above. Aside from the relevant legislation, collective agreement regulations and internal regulatory policies in Swedish, there is also a summary of terms of employment in English on the SH website.</p> <ul style="list-style-type: none"> • Access to university facilities for disabled researchers is governed by national legislation. • SH has a specific group that handles such questions for students, including doctoral students. • For other researchers, it is the responsibility of the researcher's supervisor and the head of school to discuss solutions for accessibility and other necessary aids. • There is a Committee on Work Conditions whose role is to handle work environment questions in a structured manner, aside from HR and the line management.



			<ul style="list-style-type: none">• Sweden is renowned for its generosity in adapting work to the needs of family life. Paid maternity leave and paternity leave are governed by law.• Research by nature is not a profession with standard working hours and SH allows great flexibility in working times. Such flexibility has to be agreed in advance with the researcher's line manager.• Researchers in the public sector with children have the right to work part-time. This is regulated by the Parental Leave Act.• Where necessary and depending on the type of research, remote work is possible following agreement with the researcher's line manager.• Sabbaticals are encouraged particularly for R3 and R4 level researchers. All efforts, together with support from the External Relations Unit at the University Support Services, are made to secure external funding for such sabbaticals.• SH supports return to a research career following management duties through sabbatical periods.• Holiday allowances in Sweden are very generous, compared to other countries. The allowances vary between 28 and 35 days per year, depending on the age of the person.• On a regular basis (every other year), the university carries out a major employee survey that covers subjects including: leadership, health, safety, discrimination, management, understanding of university goals, working environment etc. This gives the individual employee a chance to give an opinion. However, the results at an individual employee level are not identifiable.• On a regular basis (every third year), the university carries out a doctoral student survey that covers subjects including: pressure and stress during third-cycle studies, non-discrimination, supervision, etc. The results are analysed with the view to improve
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			work conditions for doctoral students in a measurable way in the next, follow-up survey. ³³ The university's Doctoral Student Council comments on the survey results report and contributes with suggestions to further develop.
25. Stability and permanence of employment	+/-	<p>National legislation Employment Protection Act (SFS 1982:80) Employment contracts are of indefinite duration. Contracts for temporary employment are allowed in the cases listed below:</p> <ul style="list-style-type: none"> • Probationary period, not exceeding six months • General temporary-term employment (ALVA) • Substitute employment • Seasonal work <p>General temporary employment - ALVA (SFS1982:80 §5a) A worker may be employed for a defined time on a general temporary employment, ALVA. There are no specific conditions for employment according to ALVA. Though, when a worker has been employed with the support of the ALVA in aggregate more than two years during the last five years, the employment is transformed by law to a permanent employment.</p>	<p>Organisational regulation</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. Doctoral studies in Sweden have a mandatory duration of four years, rather than three years in most other EU countries. • R2 researchers: SH has been striving to stop multiple, short-term employments of recently graduated PhDs. National legislation and collective agreements forbid 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 career path. At the same time stopped using the job category '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 with 4-6 years from filling the position. • For R3 and R4 researchers, employment is usually permanent from the beginning, apart from semi-mandatory probation periods of six months. <p>See specific actions proposed at 25.1 under point 3. Actions in the SH HRS4R Action Plan.</p>

³³ Doktorandrapporten 2017. Reg. No: 3742/2.1.3/2016



		<p>Other temporary employment besides ALVA does not qualify for a permanent position. Further, the following legislation covers employment in Sweden:</p> <ul style="list-style-type: none"> • Employment Regulation (1994:373) • Act 2002:293 prohibiting discrimination against part-time workers and workers with fixed-term contracts • Regulation of higher education (SFS 1993:100, chapter 4-5) • The Higher Swedish Education Act (1992:1434) <p>New changes to the Higher Education Act from 1 July 2018 that strengthen the status of doctoral students in Sweden on stipends and scholarships. See information here.</p>	
26. Funding and salaries	++	<p>National legislation National collective agreements exist between employers and the unions. These ensure that researchers receive a contractual salary and equitable social security provisions. The Legal, Financial and Administrative Services Agency (<i>Kammarkollegiet</i>) provides a national group insurance covering all foreign scientists doing research.</p>	<p>Organisational regulation</p> <ul style="list-style-type: none"> • Sweden offers very generous social security benefits for employees at all levels. Payment for sickness leave is between 80 and 90 per cent. Maternity and paternity leave is 90 per cent of the person's salary for a period of 365 days. Pension payments: at least 4.5 per cent of the researcher's annual income during the whole working life is set aside for future pension withdrawals. Employment benefits are shown here and here. • All doctoral students (R1) are employed (are not on stipends). The salary levels for such researchers are fixed and have a standard progression based on achieving performance targets. The salary levels are quite competitive. Doctoral studies in Sweden have a



			<p>mandatory duration of four years, rather than three years in most other EU countries.</p> <ul style="list-style-type: none"> • Salary revisions are usually made on an annual basis and depend on agreements made with the unions represented at the university and at national level.
27. Gender balance	+/-	<p>National legislation Discrimination Act (2008:567) The purpose of this Act is to combat discrimination and in other ways promote equal rights and opportunities regardless of sex, transgender identity or expression, ethnicity, religion or other belief, disability, sexual orientation or age. The Swedish Secretariat for Gender Research has been commissioned by the Swedish government to support all state-funded higher education institutions in their gender mainstreaming efforts 2016–2019. The government has requested that all state-funded higher education institutions in Sweden develop a gender mainstreaming plan 2016–2019. The purpose of the initiative is for the higher education sector to contribute towards the nationally declared gender equality objective of women and men having equal power to shape society and their own lives. The government identifies equal career opportunities in academia among areas of</p>	<p>Organisational regulation The most recent full statistical data (2018) informing on gender balance levels at SH are (in FTE):</p> <ul style="list-style-type: none"> • All employees: 58 per cent female, 42 per cent male; • Research and teaching personnel: 52 per cent female, 48 per cent male (not including third-cycle students); • Doctoral students: 53 per cent female, 47 per cent male; • Professors: 31 per cent female, 69 per cent male. In 2019, it has already risen to 38 per cent female, within the total of promoted to professor, 50 per cent women). • Administrative and technical personnel: 67 per cent female, 33 per cent male; <p>More information can be found here (in Swedish). SH’s Vice-Chancellor has commissioned in 2016 a Working Group on Gender Mainstreaming (GM) and an Action Plan for GM to be drawn up. This Action Plan³⁴ identified 5 areas to focus the University’s efforts to improve the gender balance, as well as laid out the necessary steps to achieve change and to follow-up (see point 10). See specific actions proposed at 27.1 and 27.2 under point 3. Actions in the SH HRS4R Action Plan.</p>

³⁴ Reg. No. 1768-1.1.1-2017



		particular importance. The plans shall also describe how gender equality will be integrated into the institutions' everyday operations, such as in management processes. Plans are to be presented by 15 May 2017 with continuous reporting of implemented measures and results.	
28. Career development	+/-	<p>National legislation The Higher Education Ordinance (SFS 1993:100), chapter 6, §§28, 29 Proposal in progress³⁵</p>	<p>Organisational regulation Careers for researchers span many different areas, including those outside the field of academic research. It is important for researchers to understand what choices are available to them. It is also important that researchers wishing to remain within academia are offered a natural career pathway to pursue. The current Appointments procedure,³⁶ which is issued by the Governing Board provides some guiding about the academic career path, but it is viewed to cover an insufficient level of detail, thus a new Appointments procedure and a new Instructions to the Appointments Procedure are being drafted and internally discussed. These new guidelines will definitely have a sharper focus on career path within academic research.</p> <ul style="list-style-type: none"> • The Action Plan for Gender Mainstreaming;³⁷ the Guidelines³⁸ for SH's work to observe and respect equal opportunities for

³⁵ A proposal is in progress, based on government directive Ds 2015:74 and on a subsequent report. *Security and attractiveness – research careers for the future* [SOU 2016:29](#), Security and Attractiveness – A Research Career for the Future) will suggest new guidelines for research, higher education and research-related innovation including improved general conditions for students and researchers as well as increased mobility within the field of research and higher education.

³⁶ Reg. No. 4165-1.1.2-2018, effective 2018-01-01 – 2018-12-31.

³⁷ Reg. No. 1768-1.1.1-2017

³⁸ Reg No. 3855-1.1.2-2017 (2017-12-05)



			<p>employees; and the Equal Opportunities Policy³⁹ all include regulations relevant for career development (recruitment). Equality and in particular gender equality shall be embodied at all levels at SH. The aim of the Action Plan, the Guidelines and the Policy, among others, is to guarantee equal opportunities for career development within academia.</p> <ul style="list-style-type: none"> • There is a leadership development program for all employees with management responsibilities (mostly focusing on first time managers with staff responsibility, but available for more experienced managers as well). This leadership development program includes various levels of leadership courses, mentoring program and group coaching. • SH supports return to a research career following management duties through sabbatical periods. • For all levels of researchers, various complementary courses are available, e.g. grant writing, communications / media training, etc. • SH has prioritised the development of systematic career support to academic staff, including doctoral students, thus the Faculty Board has set the objective to create an action plan to this aim and requested from the HR Department to do a mapping of similar services at other Swedish public universities. <p>See specific actions proposed at 28.1 and 30.1 under point 3. Actions in the SH HRS4R Action Plan.</p>
29. Value of mobility	++	National legislation	<p>Organisational regulation</p> <p>SH values mobility, both transnational and transdisciplinary, as advantageous and a contributor to relevance and quality in research. The university has introduced specific incentives within a</p>

³⁹ Reg no. 3572-1.1.2-2016 (2016-12-20)



			<p>collaboration strategy to develop further strategic partnerships with non-academic stakeholders (municipal and regional councils, industries, civil society organisations), see more at points 8 & 9. SH University Support Services External Relations Unit together with Center for Baltic and Eastern European Studies (the main research centre at SH hosting international guest researchers) supports researchers in regards for outgoing and incoming fellowships (including MSCA IF).</p> <p>In the current Södertörn University Strategy, both inter-sectorial mobility and international mobility are recognized within the goal oriented approach to strengthen the Baltic and Eastern European multidisciplinary research profile of the University.</p> <p>The SH Action Plan for Internationalisation 2017-2019 clearly identifies the priorities in internationalization of research, and lists detailed objectives and activities, including support to and increasing of mobilities.</p>
30. Access to career advice	-/+	National legislation	<p>Organisational regulation</p> <p>See also 28 above.</p> <ul style="list-style-type: none"> • There is a Doctoral Council at SH to represent the interests and opinions of third-cycle students. It also provides fora to discuss proposals to promote a better academic environment for early-career researchers. It aims to support individual career development of young researchers, facilitate information flow between various organisational levels of the university, and provide a platform for networking and interdisciplinary collaboration. • There is currently a new Doctoral Student Guide under development, as well as the relevant internal regulations



			<p>implementing it. This new manual will cover access to career advice.</p> <ul style="list-style-type: none"> • SH also informs its researchers of the career advice available through the Young Academy of Sweden. In addition, a number of unions with academic staff as members offer career advice, e.g. the Swedish Union of University Graduates of Law, Business Administration and Economics, Computer and Systems Science, Personnel Management, Professional Communicators and Social Science (Jusek), and the Swedish Association of Professional Scientists (Naturvetarna) • There is a new career advice service available to all employees at SH, including both academic and administrative staff, focusing on talent retention, i.e. striving to allow for career development in order to increase employee satisfaction. This service is available to those on an employment contract running at least 4 years uninterrupted. • SH has prioritised the development of systematic career support to academic staff, including doctoral students, thus the Faculty Board has set the objective to create an action plan to this aim and requested from the HR Department to do a mapping of similar services at other Swedish public universities. Further actions planned are included in the Action Plan. <p>See specific actions proposed at 28.1 and 30.1 under point 3. Actions in the SH HRS4R Action Plan.</p>
31. Intellectual Property Rights	++	<p>National legislation The most important legislation is the following Act, which gives ownership of results to the individual researcher. Act (1949: 345) on the Right to Employee Inventions</p>	<p>Organisational regulation See also point 5. Processes and services (functions) to ensure a professional attitude towards research activities at SH:</p> <ul style="list-style-type: none"> • Contractual and legal obligations are taken up during the introductory program for incoming staff.



		<p>The <i>exemption for teachers</i>, applicable in university and college situations, is in place with regard to patentable inventions. Researchers are exempted from otherwise enforceable principles in the 1949 law on the right to an employee's inventions (SFS 1949:345). As a starting point, a researcher therefore has full ownership rights to his or her research result of this kind, if another agreement has not been reached. According to custom, this exemption has been extended to cover copyright-protected material. But a particular college may reach agreements with the employees concerning for example rights to computer programs or the right to publish copyrighted material on the Internet. Further information is also included in: The Swedish Higher Education Act (1992:1434 §3a)</p> <p>Further, The Association of Swedish Higher Education has issued the following recommendations for universities: Principles for handling intellectual property in research agreements (published in Swedish).</p>	<ul style="list-style-type: none"> • 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. • SH External Relations Unit advises researchers regarding contractual and legal obligations that may emerge in case a funding proposal is granted, including IPR. (However, since SH has a strong social sciences and humanities profile, there has not been a significant demand to push for an application for building a holding company to manage IPR from the Government). • Post-award and post-contract support, including contractual and legal obligations are decentralized at the Administration Units of each School with support as necessary from SH External Relations Unit (as well as procured legal services), to assist researchers in their externally financed projects regarding rights and obligations, administrative structures and project finance, and helping with contacts with funding agencies. <p>There is currently an ongoing development to build up innovation support at SH (which is a HEI with a strong Humanities & Social Sciences profile), as well as to standardize processes, further develop and strengthen a central point of post-award support.</p>
32. Co-authorship	++	<p>National legislation</p> <p>There is no Swedish legislation regarding co-authorship in research. Though, as a response to the recommendation of the European Commission, April 2008, on the management of intellectual property in</p>	<p>Organisational regulation</p> <p>SH strives to follow the recommendations of The Swedish Research Council (VR) and the Association of Swedish Higher Education (SUHF). However, there are variations in praxis, depending on the traditions of the different subject areas.</p>



		<p>knowledge transfer activities and Code of Conduct for universities and other public research organisations, the Association of Swedish Higher Education (SUHF) has developed "Principles for handling intellectual property in research agreements" (Principer för immaterialrättslig hantering i forskningsavtal, see point 31.) which is recommended as praxis for Swedish Higher Education Institutions. The Swedish Research Council provides guidelines for Good Research Practice. Rules and guidelines: Codex</p>	<p>Co-authorship is discussed during the obligatory SH course for doctoral students. The Vancouver-regulations are strongly recommended to follow.</p>
33. Teaching	++	<p>National legislation The Swedish Higher Education Act (1992:1434) Chapter 3 §2 For education and research, there shall be professors and lecturers employed as teachers at the higher education institutions.</p> <p>The Higher Education Ordinance (SFS 1993:100), chapter 5, section 2 Those appointed to doctoral studentships shall primarily devote themselves to their studies. Those appointed to doctoral studentships may, however, work to a limited extent with educational tasks, research and administration. Duties of this kind may not comprise more than 20 per cent of a full-time post.</p>	<p>Organisational regulation Although research is the primary task of researchers, many early-stage researchers will become lecturers of the future and therefore, teaching experience is essential. R1 researchers can be involved in teaching activities to a maximum amount of 20 per cent of full-time. The involvement in teaching by R2 and R3 researchers is not regulated and depends on the terms of employment for the researcher in question and individual wishes (available external funding). R4 researchers are expected to carry out teaching to the level specified in the employment contracts (some professors have a higher quantity of teaching than others). Professors have a mandatory 20 per cent competence development time, expected to be devoted on their own development. The time that R3 and R4 researchers spend supervising R1 (and R2) researchers is calculated as research time, not teaching time. This</p>



			system is applied at most Swedish universities and is therefore regarded as national praxis.
34. Complains/ appeals	++	<p>National legislation Various articles of national legislation and guidelines cover complaints and appeals:</p> <ul style="list-style-type: none"> • The Work Environment Act (SFS 1977:1160) • Systematic work environment activities (AFS 2001:1), SAM, regulations • Organisational and social working environment (AFS 2015: 4) • Discrimination Act (SFS 2008:567) • Act on specific protection against victimization of employees reporting on serious deficiencies (2016:749) <p>The Higher Education Ordinance (SFS 1993:100), chapter 12, § 2</p> <p>This paragraph lists the types of decisions of the public university (as public authority) that gives grounds for appeal, including the recruitment process of staff, there is an appeal process against the process of the appointment, and the appointment <i>per se</i>. This does not apply to doctoral student positions.</p>	<p>Organisational regulation There are several procedures to handle complaints, appeals and grievances.</p> <ul style="list-style-type: none"> • For R1 researchers, there is an ombudsperson for doctoral students; • R1 researchers can also report problems to the Doctoral Council or Södertörns Student Union; • R1 researchers also have the right, after providing motivation, to swop supervisor (see also point 36). • Regarding the recruitment process of staff, there is an appeal process which is managed by the HR Department, and quality assurance of both recruitment and appeal processes is a priority development objective for HR during 2019.⁴⁰ • There is a Work Environment Policy,⁴¹ followed up in a number of other internal policies and routines, most of which include a form of complaints procedure, but all of those have to comply with the legislation on complaints procedures in the Public Administration Act (1986:223). → Common Code of Conduct for Managers and Employees at Södertörn University, 2015-04-14,⁴² → Routines in cases of victimization and bullying, 2017-12-05,⁴³ → Routine process and measures in case of discrimination, harassment and retaliation of employees, 2017-12-05⁴⁴

⁴⁰ Operational Plan 2019 for Södertörn University [Verksamhetsplan 2019], Reg. no. 4482-1.1.1-2018, s 28.

⁴¹ Issued of the Vice-Chancellor 1999-04-29

⁴² Reg no. 1231-1.1.1-2013

⁴³ Reg no. 3861-1.1.2-2017.

⁴⁴ Reg no. 3880-1.1.2-2017.



		<p>The Public Administration Act (1986:223) describes the complaints procedure itself in case of a complaint based on the Higher Education Ordinance (1993:100), chapter 12 §2.</p>	<ul style="list-style-type: none"> • There are ombudspersons for issues regarding work environment / work conditions at each School and larger operational units; while work environment issues are also followed up at individual annual appraisals and during the regular employee surveys. • There is an Equal Opportunities Policy, 2005-05-19,⁴⁵ where complaints are channeled through the line management. • The HR Department provides support in cases of conflict, as does the occupational health service at the university.
35. Participation in decision-making bodies	++	<p>National legislation</p> <p>Act on workers' participation in decisions (lagen (1976:580) om medbestämmande i arbetslivet / medbestämmandelagen) ('the MBL')</p> <p>According to this Act, all decisions that have any impact on staff and their work conditions, have to be processed in accordance with this act. The primary interlocutors are the employer and the unions, but there are other forms of direct consultations with employees in various workplace meetings, etc.</p>	<p>Organisational regulation</p> <p>Researchers are engaged in decision-making bodies at various levels:</p> <ul style="list-style-type: none"> • Becoming a member of the board of the Doctoral Council (thus being delegated to a number of decision-making for a as a doctoral representative). • Becoming a member of the board of the Student Union. • Representation (collective) on one of the four School Boards. • Becoming a member (through voting) of the Faculty Board (collective). • Becoming a representative of lecturers on the University Board or becoming the doctoral student representative on the University Board.
Training and Development			
36. Relation with supervisors	-/+	National legislation	Organisational regulation

⁴⁵ Reg no. 488/23/2005



		<p>The Higher Education Ordinance (1993:100), Chapter 6, § 28: At least two supervisors shall be appointed for each doctoral student. One of them shall be nominated as the principal supervisor. The doctoral student is entitled to supervision during his/her studies unless the vice-chancellor has decided otherwise by virtue of §30. A doctoral student who so requests shall be allowed to change supervisor.</p> <p>Higher Education Ordinance. Chapter 6, Section 30: Entitlement to supervision and other resources If a doctoral student substantially neglects his or her undertakings in the individual study plan, the vice-chancellor shall decide that the doctoral student is no longer entitled to supervision and other study resources. Before such a decision is made, the doctoral student and the supervisors shall be given an opportunity to make representations. The case shall be considered on the basis of their reports and any other records available. The assessment shall take into account whether the higher education institution has fulfilled its own undertakings in the individual study plan. + Section 31 [Appeal to vice-chancellor].</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>The period of study may only be extended if there are special grounds for doing so. Such grounds may comprise leave of absence because of illness, leave of absence for service in the armed forces or an elected position in a trade union or student organisation, or parental leave. See Higher Education Ordinance.</p> <p>There is currently a new Doctoral Student Guide under development, as well as relevant implementing rules and regulations are under review. This new manual and the implementing regulations will cover relations with the supervisor in a more detailed and flexible manner. See specific actions proposed at 36.1 under point 3. Actions in the SH HRS4R Action Plan.</p>
37. Supervision and managerial duties	++	National legislation	Organisational regulation See point 36 on the Individual Study Plan .



		<p>The Higher Education Ordinance (1993:100), Chapter 6</p>	<p>Supervisor(s) are appointed by the Head(s) of School, after being proposed by the steering group. The principal supervisor must have a competence equivalent to professor or associate professor. The other supervisors must have doctoral degrees.</p> <p>At least one of the supervisors must have completed training or have been assessed as possessing the equivalent competence by the Faculty Board.</p> <p>In each of the four Schools, there are heads of departments, whose roles are determined by the schools' own internal management organisation (order of delegation).</p> <p>Training of supervising personnel is mandatory, at least one of the supervisors is expected to have completed the course on supervising or to have competence of equal value, assessed by the Faculty Board. See also point 28. Further, there are voluntary management training programs that are offered to all managers and supervisors.</p> <p>SH supports return to a research career following management duties through sabbatical periods.</p>
38. Continuing Professional Development	++	National legislation	<p>Organisational regulation</p> <p>Continuing professional development is encouraged and there are various incentives to engage staff.</p> <ul style="list-style-type: none"> • All R4 level researchers are given at least 20 per cent of a full-time position to devote to professional development. • Since 2017, SH is working strategically to increase academic and non-academic collaborations (intersectoral mobility) and applies a comprehensive incentivisation system to support researchers. SH offers teachers and researchers the opportunity and resources to spend part of their time with a partner - in Sweden or abroad - to initiate and strengthen collaboration and increase their



			<p>collaborative skills. The project is ongoing in two rounds during 2018-2020, as covers max 20% of an FTE over a period of 6 months.</p> <ul style="list-style-type: none"> • There are many courses and seminars offered by the university, which researchers can attend during working hours. Focus areas are: leadership trainings, IT-focused capacity building, courses on the public administration, etc. These courses can be subject-specific or complementary, such as grant writing or media communications. See more under points 28., 30., 35. • Researchers can apply for funds, (both internally, as well as Erasmus funds obtained by the university,) to attend external courses and seminars. • There is a new career advice service available to all employees at SH, including both academic and administrative staff, focusing on talent retention, i.e. striving to allow for career development in order to increase employee satisfaction. This service is available to those on an employment contract running at least 4 years uninterrupted. • There are mandatory courses for F1 researchers (doctoral students), which are integral part of their studies. The Faculty Board has recently approved a new set of guidelines for such courses.⁴⁶ <p>New courses and training available to researchers are continually under development. New courses can be developed both at the request of researchers or as a national requirement.</p>
39. Access to research training and continuous development	++	National legislation	Organisational regulation See point 38.

⁴⁶ Reg. No. 1399-1.1.2-2019.



40. Supervision	-/+	National legislation	Organisational regulation See point 36. and 38. See specific actions proposed at 40.1 under point 3. Actions in the SH HRS4R Action Plan.
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