

Guidelines for research evaluations

Disclaimer: In case of a discrepancy between the Swedish and the English version of the decision, the Swedish version will prevail.

Table of contents

1.	Introduction	3
2.	Research evaluations	3
2.1	Responsibilities and roles	4
2.2	Assessment criteria	6
2.3	Start-up	7
2.3.1	Assessors	7
2.3.2	Start-up meeting of the self-evaluation group	8
2.4	Self-evaluation	8
2.5	External reviews.....	9
2.5.1	Start-up meeting of the assessment group	9
2.5.2	The assessment group's mission and the assessment report ..	9
2.5.3	Self-evaluation seminar	10
2.5.4	Assessment seminar.....	11
2.6	Measures	11
2.7	Results of the research evaluations	11

1. Introduction

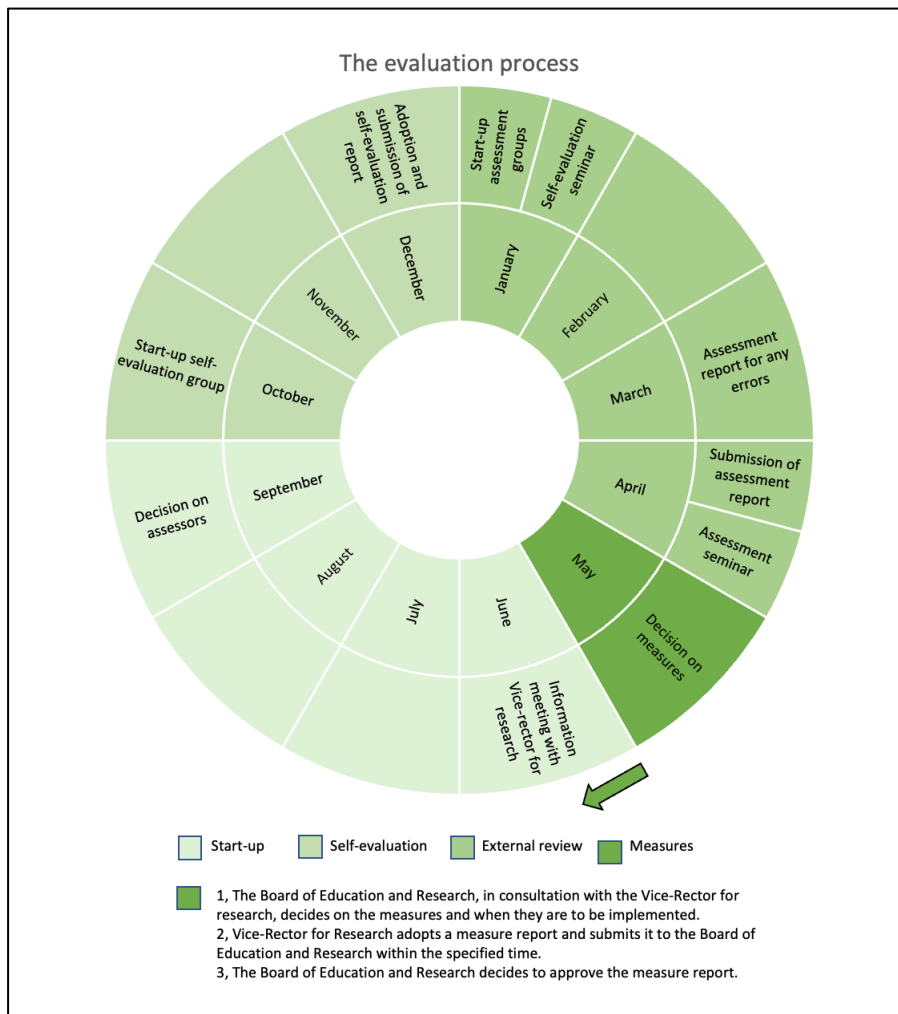
Research evaluations are part of the quality system of Stockholm University of the Arts (SKH). The quality system consists of various structured collection activities. The quality system is intended to help ensure and develop the quality of SKH's artistic research, of which research evaluations are one of the activities.

The purpose of the research evaluations is to generate regular and systematic knowledge that is needed to ensure and develop the quality of SKH's research. The research evaluations should be quality-driven, highlighting strengths and identifying and addressing areas for development. Research shall be evaluated every six years (see Guidelines for systematic quality enhancement work).

The purpose of this governance document is to describe the process of research evaluations and the responsibilities and roles in the evaluation process.

2. Research evaluations

A research evaluation consists of four steps: start-up, self-evaluation, external reviews and measures. The evaluation process, including the timeline, is illustrated in the figure on the next page. The different steps are described in more detail later in the document.



2.1 Responsibilities and roles

There are various responsibilities and roles in the evaluation process, which are listed below. The different tasks and activities are described in more detail in sections 2.3-2.6.

Board of Education and Research (NUF)

- is responsible for that overall strategic quality development and quality follow-up of the overall core activity take place. NUF is responsible for the planning, development and follow-up of the systematic quality enhancement work. NUF decide on priorities of areas involving quality monitoring and quality development of education and research and on planning and implementation of quality reviews of educational and research. (See Rules of Procedure with delegations.)
- decides, based on a proposal from the Vice-Rector for Research, on the persons to be included in the assessment groups and appoints the chair of the group

- decides, in consultation with the Vice-Rector for Research, on measures based on the recommendations of the assessment group
- follow up on the measure report adopted by the Vice-Rector for Research following the NUF's decision on measures
- decides to approve the measure report
- establishes the guidelines and templates needed to carry out the evaluations
- is responsible for continuously evaluating the model, the conditions and the process for research evaluations, and for revising and adopting these guidelines and the associated mandatory templates as necessary

Vice-Rector for Research

- is responsible, in consultation with Heads of Departments and Heads of Subjects, for appointing a responsible for the self-evaluation and a self-evaluation group for the evaluation. The responsible for the self-evaluation is the contact person for the responsible officer at the Research Office and the Quality Coordinator. The responsible for the self-evaluation is also responsible for ensuring that the timetable for the self-evaluation is followed.
- is responsible for ensuring that students and doctoral students are involved in the work on the self-evaluation and the measure report (see points 2.4 and 2.6)
- makes proposals, in consultation with heads of department and heads of subject, to external assessors and the chair of the assessment group (see point 2.3.1)
- adopts the self-evaluation report and is responsible for the timely organisation of the self-evaluation seminar (see point 2.5.3)
- is responsible for the participation of the stakeholders in the self-evaluation seminar and the assessment seminar (see point 2.5.4)
- is responsible for submitting a measure report to the NUF within the time frame specified by the NUF (see point 2.6)

Heads of Departments and Heads of Subjects

- is responsible, in consultation with the Vice-Rector for Research, for appointing a responsible for the self-evaluation and a self-evaluation group for the evaluation, and for ensuring that time for participating in the research evaluation is allocated in the time tables of the teachers concerned. The responsible for the self-evaluation is the contact person for the responsible officer at the Research Office and the Quality Coordinator. The responsible for the self-evaluation is also responsible for ensuring that the timetable for the self-evaluation is followed.
- makes proposals, in consultation with the Vice-Rector for Research, for external assessors and the chair of the assessment group (see point 2.3.1)
- is responsible for the participation of the stakeholders in the self-evaluation seminar and the assessment seminar (see point 2.5.4)

- is responsible, in collaboration with the Vice-Rector for Research, for ensuring that a measure report is submitted to the NUF within the time specified by the NUF (see point 2.6)

Student Unions

- is responsible for ensuring that student/doctoral representatives are involved in the work on the self-evaluation and the measure report (see points 2.3.1, 2.4, 2.5 and 2.6) as agreed with the Vice-Rector for Research

Head of the Research Office

- is responsible for providing administrative support during the research evaluations
- appoints an officer to support the self-evaluation group appointed by the Vice-Rector for Research. The officer in charge is responsible for providing the supporting documents for the self-evaluation report (see template for self-evaluation report) as well as various templates available for support. The officer is the contact person for the assessment group and provides support at the start-up meeting for the Vice-Rector for Research, the self-evaluation group and the assessment group, the self-evaluation seminar and the assessment seminar.
- is responsible for ensuring that time is allocated for the officer to complete the tasks

Quality Coordinator

- is responsible, together with the responsible officer from the Research Office, for ensuring that the self-evaluation group receives the information and introduction required to carry out the self-evaluation
- is responsible, together with the responsible officer from the Research Office, for providing administrative support to the assessment group
- is responsible for presenting the self-evaluation report, the assessment report and the measure report to the NUF, as well as for presenting decisions on assessors and on possible measures based on the assessment group's recommendations

The tasks and responsibilities of the assessment group and the chair of the assessment group are set out in point 2.5 below.

2.2 Assessment criteria

The research shall be assessed on the basis of the following criteria, which are based on SUHF's Joint framework for HEIs' research quality assurance and enhancement systems:

1. that there are systematic efforts to create forms and space for the development and renewal of the research/research environment
2. that there are systematic efforts made to promote good research practice, prevent research misconduct and deal with offences

3. that there is a systematic work and follow-up of efforts to interact with the surrounding society, inform about their activities and promote the dissemination and utilisation of research results produced by higher education institutions
4. that there are fair and transparent processes for recruitment and promotion that support the development and renewal of the research/research environment. Employees are given access to skills development and career support. Equal opportunities and gender equality are self-evident and integrated starting points
5. that research has appropriate support and processes for prioritisation and long-term renewal of research infrastructures
6. that there is a close link between research and courses and study programmes in an appropriate learning environment

Also see the template for the self-evaluation report and the template for the assessment report. The templates also include sections on artistic research and the research environment, for example.

2.3 Start-up

Before an evaluation round starts, the Quality Coordinator, together with the responsible officer from the Research Office, are responsible for organising a pre-meeting with the Vice-Rector for Research. At the pre-meeting, the evaluation process, responsibilities and roles are reviewed. The meeting should be held approximately three months before the start-up meeting of the self-evaluation group (see point 2.3.2).

2.3.1 Assessors

The NUF appoints, on the proposal of the Vice-Rector for Research who has consulted with Heads of Department and Heads of Subject, an assessment group and a chair of the assessment group. The assessment group must consist of five people. A balanced gender distribution in the Assessment Group should be aimed for and any conflict of interest should be considered.

The assessment group shall consist of:

- an external expert working in the field of artistic research at least at the level of lecturer at a higher education institution in Sweden
- two external experts working in artistic research at least at the level of lecturer at higher education institutions outside Sweden
- a labour representative (representative from the surrounding society)
- a doctoral student representative (from another higher education institution, in Sweden or outside Sweden)

The decision on the assessors and the chair of the assessment group should be taken approximately three months before the start of the assessment group's work.

2.3.2 Start-up meeting of the self-evaluation group

Before each evaluation round, the Quality Coordinator, together with the responsible officer from the Research Office, is responsible for organising a start-up meeting. The start-up meeting is held on site or digitally. The meeting is aimed at the Vice-Rector for Research, the responsible for the self-evaluation and the self-evaluation group appointed by the Vice-Rector for Research, in consultation with Heads of Departments and Heads of Subjects. Student/doctoral representatives should also be invited to the meeting. At the meeting, the evaluation process, timetable, existing guidelines, template for self-evaluation report, etc. are presented. At the meeting, there will also be time for questions and discussions, for example on how to write reports for the various criteria and on artistic research at SKH.

The responsible officer at the Research Office provides a template for the activity and timetable of the evaluation process to the responsible for the self-evaluation and the chair of the assessment group.

2.4 Self-evaluation

The self-evaluation group will write a self-evaluation, which will result in a written report. The report should be written in an agreed template. The report should be a maximum of 20-30 pages, including 'template text' (see template for self-evaluation report).

The self-evaluation should be written based on the criteria presented in section 2.2. The self-evaluation should include a description, analysis and evaluation for each criterion. Strengths and areas for development should also be identified for each criterion. The report must be based on current conditions and planned developments. The different parts of the report should together provide an overall picture of the research, without links to additional information (see template for self-evaluation report).

Mandatory annexes to the self-evaluation report are: compilation of key figures for research. A key figure means that the same type of information is collected and analysed regularly. (See process description for follow-up research through key figures.) The key figures are provided by the responsible officer at the Research Office.

Student/doctoral representatives should be involved in the preparation of the self-evaluation report, for example by being part of the self-evaluation group or by being given the opportunity to read the draft self-evaluation report and provide comments.

The Vice-Rector for Research shall approve the self-evaluation report and shall submit the final version of the self-evaluation report to the responsible officer at the Research Office.

The time from the start-up meeting (point 2.3.2) to the submission of the self-evaluation report is approximately three months.

2.5 External reviews

The next step in the evaluation process is external reviews, which are carried out by an assessment group (see 2.3.1 on assessors).

2.5.1 Start-up meeting of the assessment group

Before each assessment round, the Quality Coordinator, together with the responsible officer from the Research Office, is responsible for organising a start-up meeting for the assessment group. The meeting is held digitally. At the meeting, the assignment is reviewed, and the assessment group has the opportunity to ask questions of a practical nature.

The self-evaluation report and mandatory annexes are provided by the responsible officer at the Research Office.

The reviewers will receive a description of SKH and a description of the Swedish higher education and research system. The descriptions are provided by the responsible officer at the Research Office.

Part of the start-up meeting can be used to the advantage of the assessment group, for example, the chair of the assessment group going through the planning and timetable of the assessment group's work.

The start-up meeting should be held approximately two weeks before the self-evaluation seminar (see point 2.5.3).

2.5.2 The assessment group's mission and the assessment report

The assessment group conducts an external review to contribute to the quality development of SKH's research.

The chair of the Assessment Group convenes the group and is responsible for planning and ensuring that the timetable is adhered to. The chairperson is also the contact person for SKH, see about SKH's contact person to the chairman below and under point 2.1.

Compensation is paid to assessors according to a special order.

The work of the assessment group must result in a written report. The report should be written in an agreed template. The report should be a maximum of 15-25 pages, including "template text" (see template for assessment report). The content of the template mirrors the template for the self-evaluation report.

The basis for the assessment is the self-evaluation report and the compilation of key figures for research for the last five years. Key figures mean that the same type of information is collected and analysed regularly. If the assessment group has requested additional data for the assessment, this must be stated in the assessment report.

Based on the criteria (see section 2.2), the assessment report should include recommendations, both strengths and areas for development, aimed at improving the research. A recommendation must be problem-based and thus differs from more general tips and advice, which may be included in the assessment under each criterion but not in the overall assessment. The assessment group shall clearly justify its assessment, preferably illustrated with examples. The assessment should **not** result in an overall rating of research at SKH.

Before the assessment report is submitted to the SKH, the self-evaluation group must be given the opportunity to correct any factual errors and misconceptions. The assessment group shall be jointly responsible for the final version of the report.

The final report must be submitted by the chair of the assessment group to SKH within the specified time. The responsible officer at the Research Office is responsible for ensuring that the report is registered and archived.

The assessment report must be published on the SKH's external website.

Support for the assessment group, and the contact person for the chair of the assessment group, is the responsible officer at the Research Office. This support can be, for example, at the start-up meeting of the assessment group, the self-evaluation seminar and the assessment seminar. The responsible officer at the Research Office provides a template for the timetable for the assessment process.

The time from the start-up meeting of the assessment group (see point 2.5.1) to the submission of the assessment report to the SKH is approximately three months.

2.5.3 Self-evaluation seminar

The external review begins with the self-evaluation manager and the self-evaluation group presenting the self-evaluation report and artistic research at SKH to the assessment group at a seminar. During the seminar, the assessment group will have the opportunity to ask questions to clarify the content of the report. The seminar will be held digitally, but can also be held on site. The seminar is conducted with the support of the responsible officer at the Research Office. Internal persons are also invited to the seminar. The Vice-Rector for Research, Heads of Departments, Heads of Subjects, chair and secretary of NUF, representatives from student unions and Quality Coordinators must always be invited. The responsible officer at the Research Office provides a proposal for the organisation of the seminar.

The seminar should be held no later than one month after the self-evaluation report is finalised by the Vice-Rector for Research and approximately two weeks after the start-up meeting with the assessment group.

2.5.4 Assessment seminar

The external review concludes with the assessment group presenting the report to SKH at a seminar. During the seminar, SKH will have the opportunity to ask questions to clarify the content and recommendations. The seminar is conducted digitally, but can also be conducted on site. The seminar is conducted with the support of the responsible officer at the Research Office. Internal persons are also invited to the seminar. The responsible for the self-evaluation, self-evaluation group, Vice-Rector for Research, Heads of Departments, Heads of Subjects, chair and secretary of NUF, representatives from student unions and Quality Coordinators must always be invited. The responsible officer at the Research Office provides a proposal for the organisation of the seminar.

The seminar should be held no later than one month after the assessment report has been submitted to the SKH.

2.6 Measures

The final step in the evaluation process is the consideration of the recommendations made by the assessment group.

The NUF, in consultation with the Vice-Rector for Research and Heads of Subjects, shall decide on the measures to be taken based on the recommendations of the assessment group in order to develop the quality of research and the research environment at SKH. The NUF shall also decide when the measures are to be implemented.

Decisions on measures shall be published on the external website of the SKH.

The Vice-Rector for Research, in collaboration with Heads of Departments and Heads of Subjects, are responsible for submitting a measure report to NUF within the specified time. The measure report must be written in an established template (see template for measure report). To support the work on a measure report, there is a template for an action plan, which is provided by the responsible officer at the Research Office.

Student/doctoral representatives should be invited to participate in the preparation of the measure report, for example by being part of a working group or by being given the opportunity to read drafts of the measure report and provide comments.

The NUF decides to approve the measure report.

2.7 Results of the research evaluations

The results of the research evaluations are an important part of SKH's quality system. They form one of the bases for the operational dialogues and operational plans, as well as for the annual quality report to the University Board. The results are also a valuable basis for the exchange of experience within SKH's research environment (see Guidelines for systematic quality enhancement work).