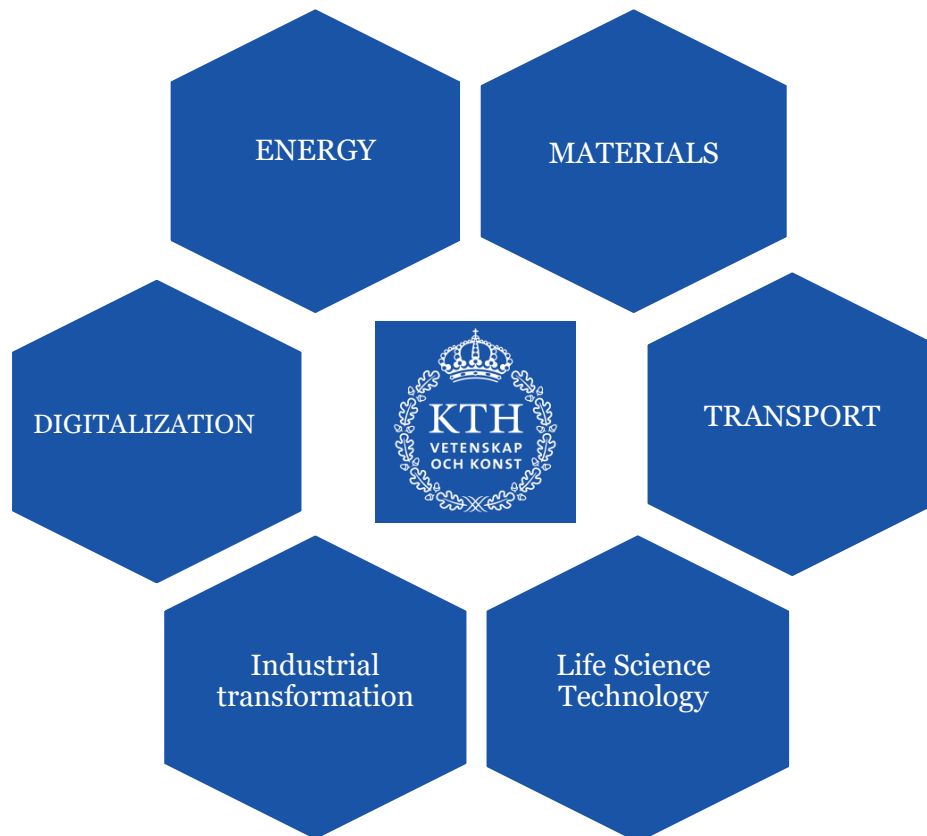




Guidelines for the KTH Research Platforms

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Organisation and operation



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1 Introduction and background

Based on existing research excellence and strength, KTH has defined multidisciplinary focus areas to be covered by the KTH Research Platforms. The Platforms reflect the fact that the problems and challenges confronting future society and industry are complex and no single player is capable to solve them alone. It is necessary to deploy a multidisciplinary and multi-stakeholder approach and there must be more emphasis on multidisciplinary research and collaboration with both societal and industrial partners. The problems and challenges are not unique to Sweden, neither are the solutions. Therefore, it is necessary to adopt a cross-border approach and strengthen collaboration.

The Platforms are virtual entities complementing the school line organisation and they involve many research groups, centres, EIT-KICs and other strategic or multidisciplinary research initiatives within KTH.

2 Vision

The vision for KTH is to be a globally recognized leader of inventive multidisciplinary research and a preferred partner by industry, government agencies and relevant academia attracting national and international funding for multidisciplinary research.

In order to approach this vision, the Platforms should work as a catalyst for multidisciplinary research initiatives to be jointly carried out by research groups at KTH together with relevant external partners. If appropriate, the initiatives can also involve several platforms.

3 The objectives

To approach the KTH vision the Platforms should work to accomplish the following objectives:

Catalyse multidisciplinary research activities

The objective is to facilitate and enable collaboration between KTH researchers, centers, EIT-KIC's, research infrastructures and other strategic initiatives within the research area by providing arenas for collaboration and interaction beyond the conventional channels of the linear organisation across schools and departments.

Build and maintain internal relations

The objective is to build and maintain internal relations across schools and departments, centres, EIT-KIC's, research infrastructures and other strategic initiatives and to coordinate and provide strategic input from the focus area to KTH management.

Enhance external KTH visibility and recognition

The objective is to create and maintain strong lasting relations with relevant external partners in order to establish KTH as a natural strategic partner, increase KTH's impact on society and industry within the focus area and to increase participation in decision-making bodies and strategic groups (on a regional, national and international level).

4 The guidelines

KTH's organisation and management structure with five schools is not optimized for research collaboration across school boundaries. Thus, the Platforms are designed to stimulate an increased

engagement among KTH researchers in multidisciplinary, across-school, research initiatives emanating from needs within a certain area.

Therefore, each Platform has appointed staff with assigned time to work (see paragraph 5). These guidelines are a joint framework for platform governance and organisation. The platforms shall be managed according to these guidelines.

5 Organisation and governance

Decisions regarding creation of new platforms or closing down existing platforms are taken by the KTH President. Except for that, the responsibility for the Platforms is delegated to the Vice president for research.

The Platforms are managed by a *Platform steering group*; its decisions are executed by a *Platform director*. The Platforms are coordinated by the *Platforms coordinator* at KTH Research office appointed by the KTH Vice president for research.

Platform steering group

The steering group, which meets all Platform directors three times per year, has the following members:

- A chairperson, which is the KTH Vice president for research
- Head of each school. The deputy head of school, or in extraordinary circumstances another suitable person, might be appointed to replace them.

Also invited to the steering group meetings as adjunct are the platform coordinator, the communication officer, the head of research office and a representative from the business liaison office.

The Platform steering group is the decisive body of the platform and takes decisions on:

- The budget allocation on an annual basis
- The annual operational plan
- Strategies and/or development plans
- Allocation of funds at competitive calls within the platform, if any.

Only the chairperson and the Head of the schools have voting rights.

The Platform steering group is expected to prioritise activities leading to large multidisciplinary research initiatives with high societal and/or industrial relevance/impact with a significant multi-stakeholder involvement.

The Platform Team

The operational activities of the Platform are managed by the Platform team, consisting of the:

- Platform director
- Deputy Platform director
- Communication officer
- Any other member decided by the Platform director.

The *Platform director*¹ is responsible for the operational management of the platform and is the presenter (rapporteur) at the steering group meetings. The director is appointed by and reports to the

¹ This team member should receive funding for part-time compensation for this position from the platform budget.

Vice President for research. This position is an appointment for a term of three years with a possibility to be renewed.

The *deputy director*¹ assists the director whose tasks are decided in agreement with the director. The deputy director is appointed by the KTH Vice President for research, after having been proposed by the Platform director. This position is an appointment for a term of three years with a possibility to be renewed.

The *communication officer*¹ develops internal and external communication strategies in close cooperation with KTHs Communication Department and is responsible for the communication activities within the Platform, e.g. newsletters, websites and others.

In order to gather expertise that complements each other within the platform, a *reference group* with an advisory function is appointed by the KTH Vice president for research. The reference group has the role of implementing and informing about the platform and the platform activities at school level. It is favourably if the five schools are represented in the reference group.

The Platform team shall develop an annual operational plan. The operational plan and the budget are presented by the Platform director to be decided by the steering group on the last meeting every year. The Platform director, who is responsible for preparing and executing the steering group's decisions, manages the activities undertaken by the platform team.

Platform coordination

In order to facilitate cooperation and exchange between the platforms, there is a Platform coordination group chaired by the Vice president for research and maintained by the Platforms coordinator. Members of the group are the Platform directors, the communications officer and the head of KTH Research office. The Platforms coordinator acts as direct support to the Vice-president for research to keep an overview of platform activities, providing guidelines and documentation, supporting in formal decisions and steering-group meetings.

6 Support functions

The Research Platforms should cooperate with existing relevant KTH support functions in achieving the goal.

Impact leaders

Each school has one or more impact leaders responsible for the strategic work at his or her school; several schools also have one or two communicators involved in the project.

KTH Business Liaison (NLS)

The Platforms work to facilitate and maintain strong lasting relations, contacts and networks with relevant external industry partners, and should work closely with NLS in these efforts. NLS is represented at platform steering group meetings with the purposes of exchange of information and having a continuous dialogue.

Research Office (RO)

RO provides support and expertise regarding external research funding in the application process, contract negotiations and project administration & management. RO also offers support and expertise on the establishment & management of strategic research initiatives, such as research centers, research infrastructures and research platforms.

7 Financial and administrative guidelines

The Platforms are funded by the KTH Presidency on an annual basis by an allocated yearly budget through the “Verksamhetsuppdrag”.

Reporting and follow-up of the Platform activities

The Platforms shall report annually to the Vice president for research on the activities performed during the year and the related costs. Reporting templates and/or instructions are provided by the Platform coordinator who collects the annual central reports for the Platforms to be approved by the Vice president for research.

Budget, accounting and payments

The allocated funding is transferred from the Presidency to Research Office. The Platform director certifies the invoices and payments. The Platforms report their costs to the KTH controller each year (in January/February).

Steering Group Meetings

The members must receive an *agenda* and the relevant *decision support documents* one week in advance of the meeting. The agenda should include the following mandatory items – decision, information and discussion.

Meeting minutes shall be kept in Swedish and include the following items:

- Formalities: date, attendees, apologies, opening of the meeting, approval of the agenda, approval of previous meeting minutes, appointing the person to verify the minutes (justeringsperson), date for next meeting and closing of the meeting
- Decisions
- Information items
- Discussion items
- Any actions points
- Any other issues.

All decisions taken during the meeting shall be documented in the minutes. The minutes shall be signed by the minute keeper and verified by a member, and shall be approved by the chairperson; this should be done within three weeks. All the decisions taken must be communicated to the relevant people for action and/or information.

A formal decision document must be issued according to the decision-making process (enligt gällande beslutsordning) when any of the decisions in the minutes is brought into action that entails transfer of funds to a school, centres or other initiatives. The minutes should be archived at RO.