



LUNDS  
UNIVERSITET

# Information meeting on profiling at Lund University

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VICE CHANCELLOR & PRO VICE-CHANCELLOR | 12.11.21



# Today's agenda

- Profiling at Lund University – presentation by Vice-Chancellor Erik Renström.
- The process for notification of interest to become a profile area and criteria at Lund University – presentation by Pro Vice-Chancellor Per Mickwitz.
- Questions and answers.
- Next steps.

# Today's meeting: information sharing and questions

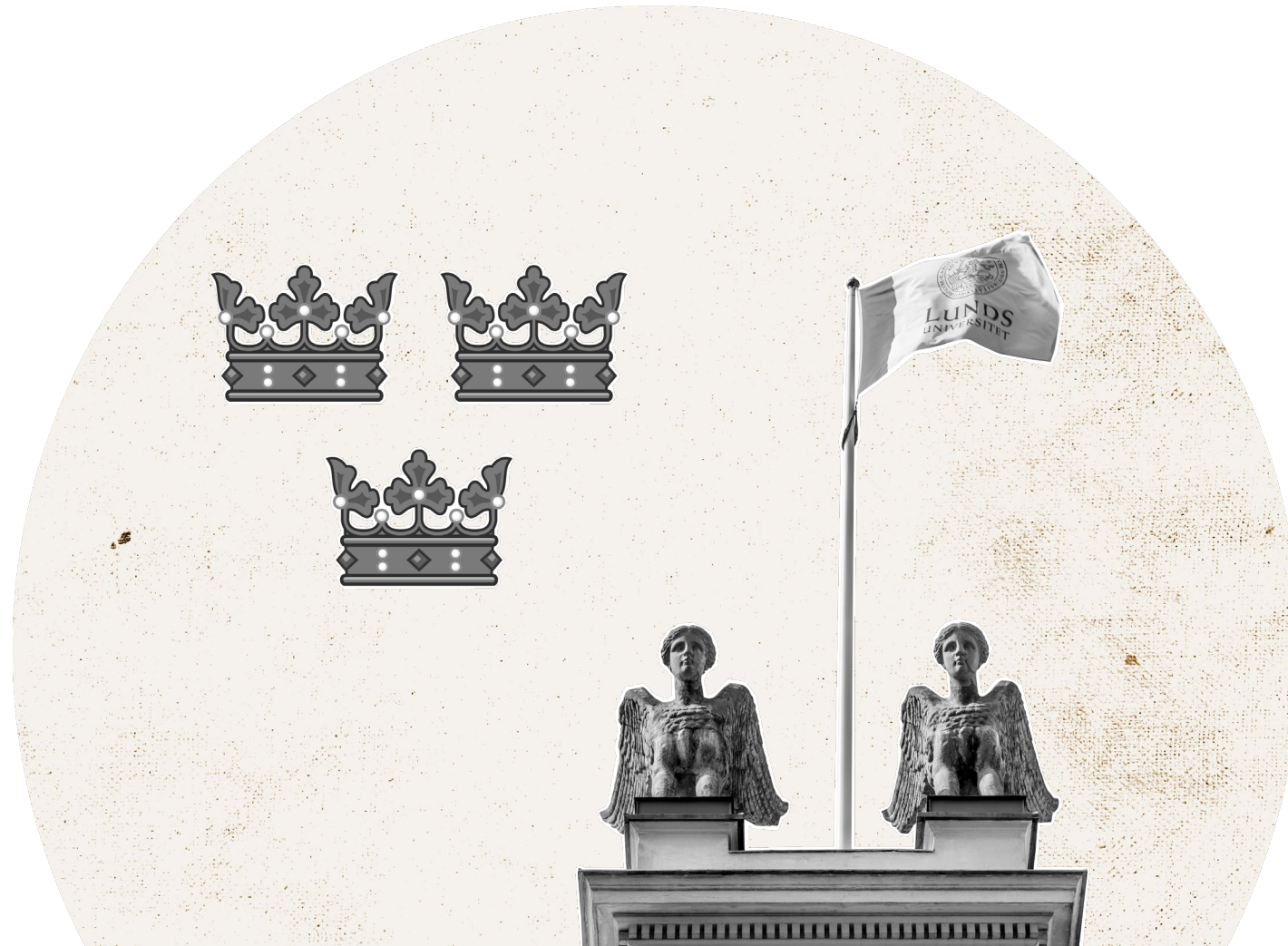
- The webinar will be filmed, subtitled in Swedish and subsequently published on [profile-areas.blogg.lu.se](http://profile-areas.blogg.lu.se)
- After the meeting, the PPT presentation will be available to attendees and other interested parties.
- The management order for notification of interest will be available on the [profile-areas.blogg.lu.se](http://profile-areas.blogg.lu.se)
- Questions are put through the **Q&A function** in the webinar.
- Questions will be read aloud by Johanna Mellgren and Tina Trollås, Research Services.
- Please **like the questions** that you wish to hear the answers to. This will help us to prioritise questions.
- Any questions not addressed during the meeting will be answered afterwards.

# I. Profiling at Lund University

VICE-CHANCELLOR ERIK RENSTRÖM

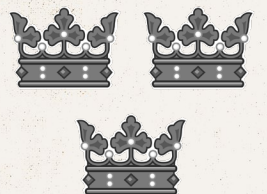


There are both external and internal reasons for Lund University to work on profiling



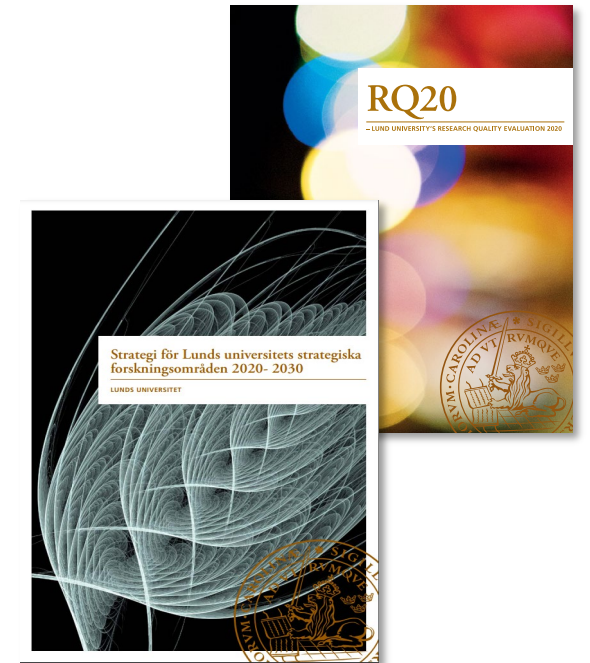
# The Government's plans

- Profiling was first announced in the Govt.'s Research Bill (2020/21:60).
- The Government's purpose for the new model is to:
  - reward high quality in research
  - reward strategic profiling and prioritisation of research where the conditions are assessed to be best for research of the highest international quality
- The report about profiling presented by the Swedish Research Council and other funding agencies on 1 June 2021.
- *“The Government's intention is therefore to give the research funders a continued assignment to, in consultation with higher education institutions, work further on the development of the model to enable an introduction from 2024.”*(Gov. Bill 2021/22:1 Expenditure area 16, p. 155–6)
- **Lund University must be well prepared if and when an application is to be submitted.**



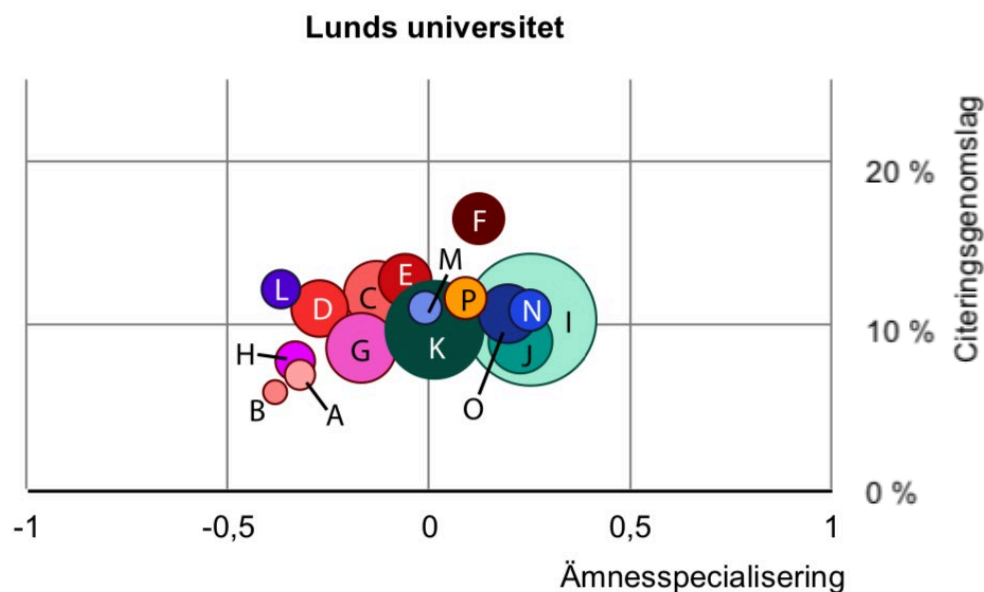
# Lund University's motivation for profiling

- Lund University has worked on profiling, renewal and quality development for a long time.
- “*The Strategy for Lund University's Strategic Research Areas 2020–2030*”.
- Lund University is Sweden's largest and broadest university. There is **potential for unique research** by creating new links.
- RQ20: still scope at Lund University to use its full potential for interdisciplinary research.
- Lund University needs to **highlight excellence and develop strategic research environments**.



# Lund University's motivation for profiling (cont.)

- According to the new Research Barometer 2021



*“Lund University and Uppsala University have the least spread in their specialisation of subjects and **are placed around zero (world average) in most subjects** (page 77 and figure on page 78)*



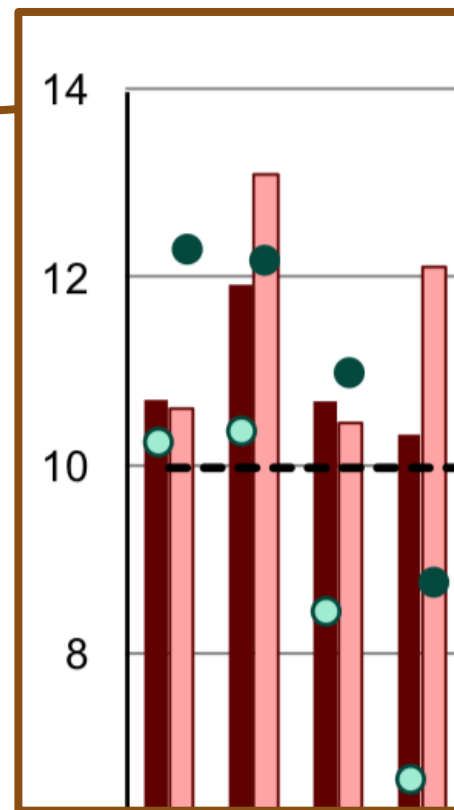
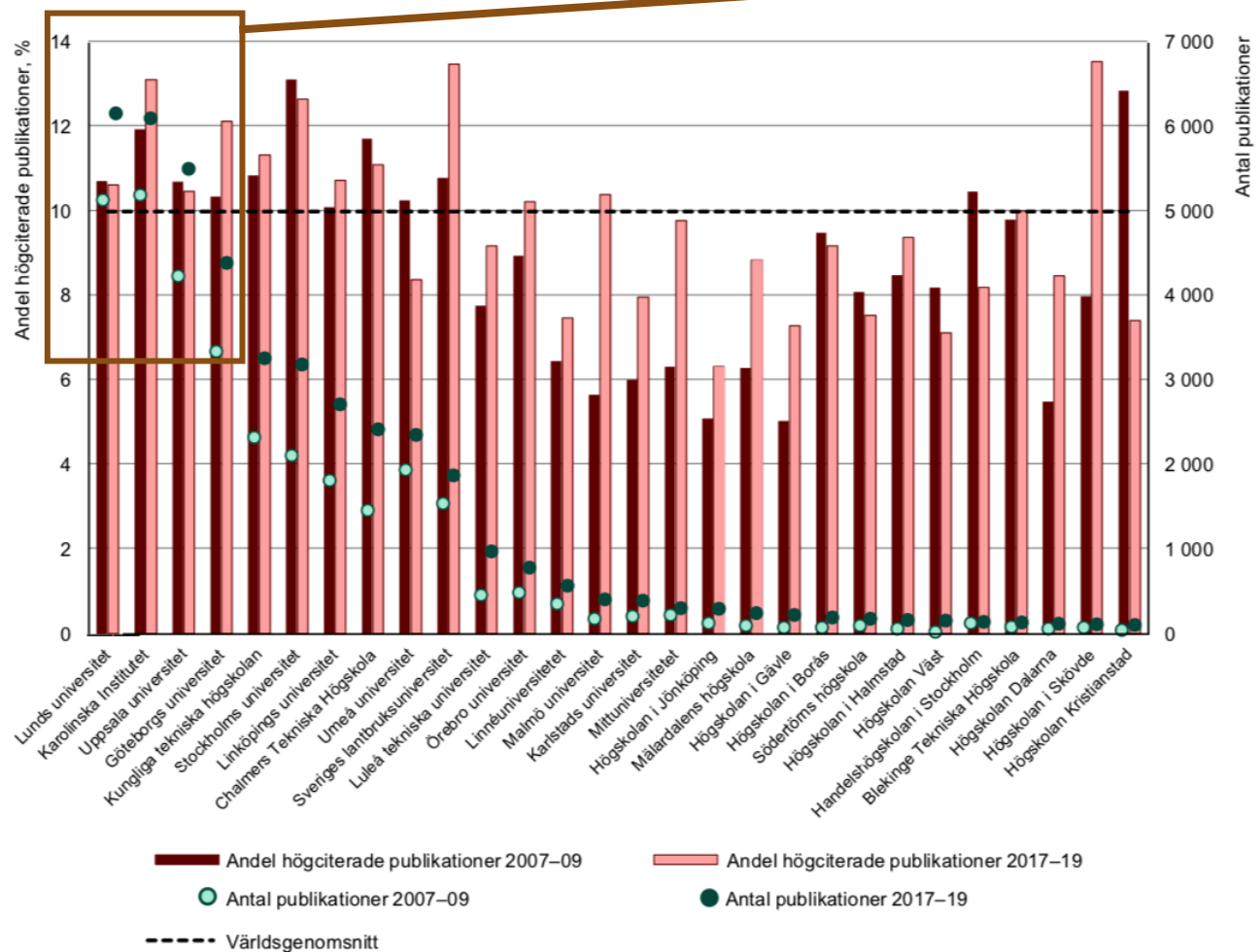
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| A Matematik | E Geovetenskap       | I Klinisk medicin | M Psykologi         |
| B IKT       | F Biologi            | J Hälsvetenskap   | N Ekonomi           |
| C Fysik     | G Ingenjörsvetenskap | K Biomedicin      | O Samhällsvetenskap |
| D Kemi      | H Materialvetenskap  | L Agronomi        | P Humaniora         |





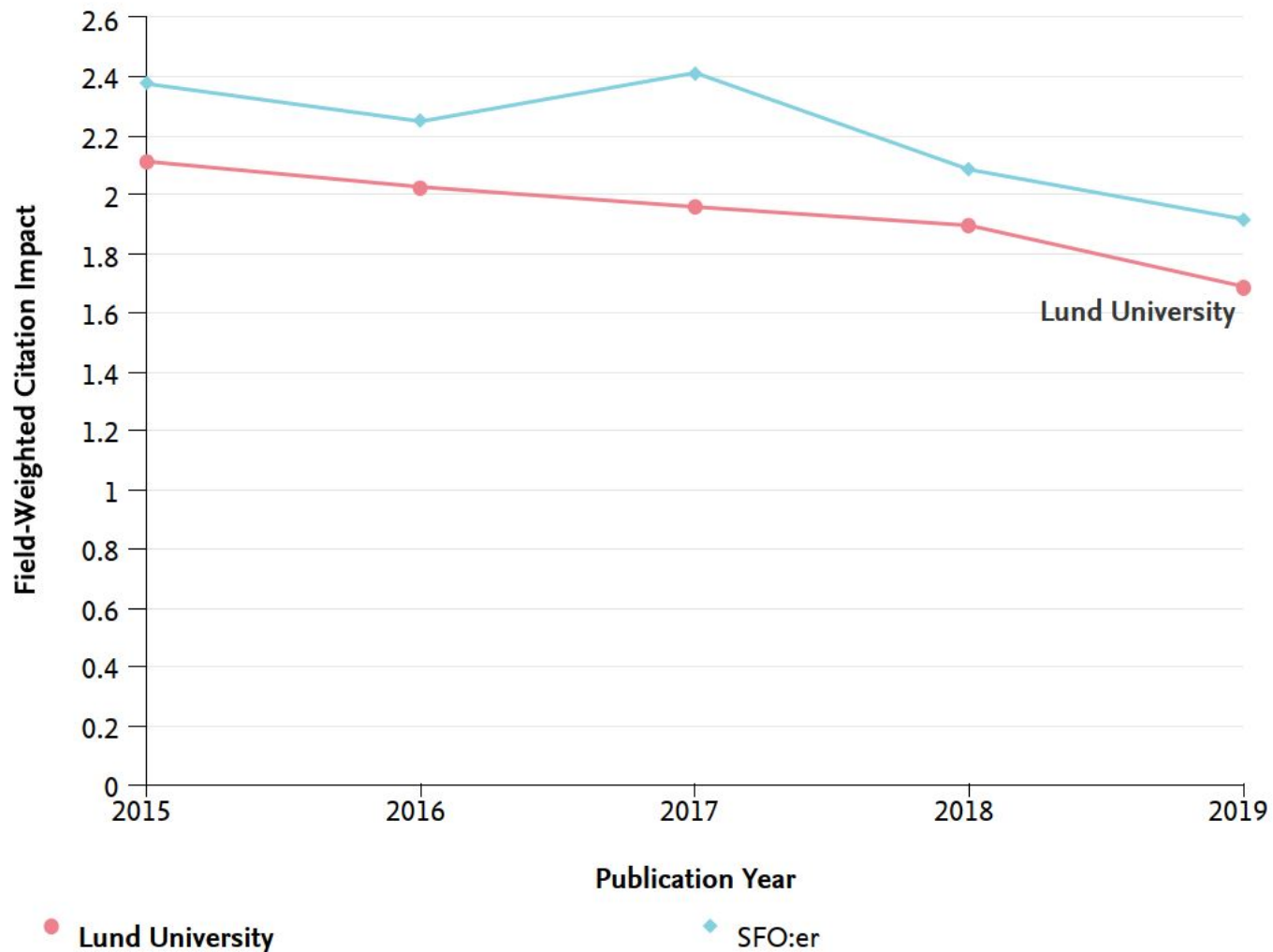
# Lund University's motivation for profiling (cont.)

- According to the new Research Barometer 2021



# Lund University's motivation for profiling (cont.)


- LU's own analysis also shows that citations are dropping...



*Field-weighted average citation during the period 2015–2019 for Lund University and its Strategic Research Areas.*

*Source: SciVal 18.10.2021*





## II. The process for notification of interest to become a profile area and criteria at Lund University

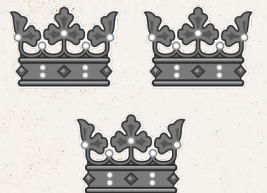
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PRO VICE-CHANCELLOR PER MICKWITZ



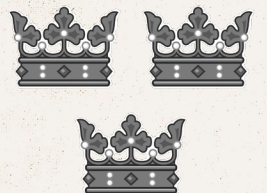
# The Government's current and proposed model for allocating research resources

- Current model for allocating resources to research and research education is from 2009 (continuously developed since then).
- Current model has two parts:
  - (i) quality and indicator-based (bibliometrics and external grants)
  - (ii) minimum resources (based on year-round students).
- Previous investigation on changing the allocation model was never realised (Funding agencies' proposal FOKUS, U2013/1700).
- Control and resource investigation (Styr- och resursutredningen/STRUT, SOU 2019:6) proposed a new model with calls based on strategic investments.
- New two-part model proposed in Government Research Bill (2020/21:60):
  - quality-based resource allocation (profile areas)
  - resources based on year-round students



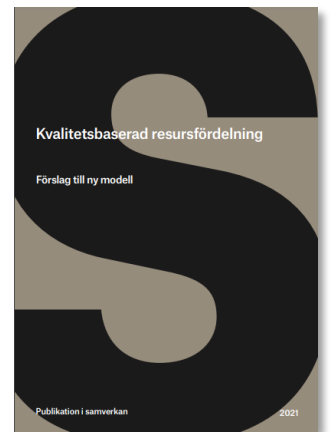
# The Government's purpose for the new resource allocation model (Govt. Research Bill 2020/21:60)

- The Government wants to:
  - reward high-quality research
  - reward strategic profiling and prioritisation of research where the conditions are assessed to be best for research of the highest international quality
- The new model is to provide incentives for high-quality research environments.
- Principles for the new model:
  - High research quality, including quality in external engagement (“samverkan”)
  - Profile areas, i.e. high-quality strategic research investments defined by the universities
  - Universities apply for profile areas
  - Peer review of applications
  - All higher education institutions are to be assigned at least one profile area
- The funding agencies were tasked with developing the model in March 2021.



# Quality-based resource allocation – proposal for new model from funding agencies

- Formas, Forte, Vinnova and the Swedish Research Council presented a proposal for the new model on 1 June 2021.
- In dialogue with higher education institutions.
- Purpose is to reward high-quality research.
- Proposed start-up phase in first year.



# Quality-based resource allocation – proposal for new model from funding agencies

- Lund University will be able to apply for **5 profile areas**.
- A profile area should include:
  - **research** whose scientific quality is of very high international quality,
  - **external collaboration** that is of very high quality and developed in a **collected knowledge environment** of high quality that includes research, **education** and external engagement.
- Profile areas can have **different degrees of maturity** – from established to under construction with the potential to achieve very high quality, but the common denominator is that there must be a clear development perspective.



# Quality-based resource allocation – proposal for new model from funding agencies (cont.)

- **One application per university**

*“With a description of how they work on strategic profiling, renewal and quality development in general, the preconditions of the profile area(s), and a description of their activities and planned development.”*

- Proposal: higher education institutions' applications are assessed and graded by an **international review panel**.

- Proposal: the applications are assessed on three quality aspects:

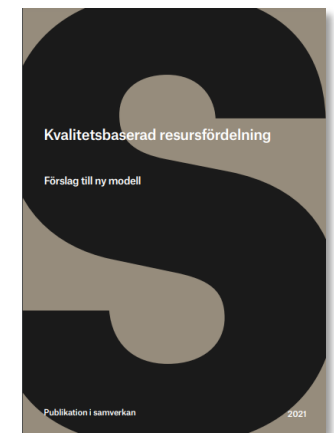
- **Strategic profile** and prerequisites for quality enhancement,
- **Research quality**, and
- **Quality in external engagement**.





# Quality-based resource allocation – proposal for new model from funding agencies (cont.)

Quality aspect	Assessment criteria
<b>Strategic profile and prerequisites for quality enhancement</b>	The University's strategic work on profiling, renewal and quality enhancement
	The added value of the profile area/s for the University's research profile and research quality, range of study programmes and external engagement
	The University's prerequisites for developing the profile area/s, e.g. in terms of funding, staff, gender equality and access to relevant research infrastructure
	The profile areas' contribution to creating knowledge environments of high quality that include research, education and external engagement
<b>Research quality</b>	The University's work on maintaining, renewing and developing the research quality within the profile area in an international perspective
	Existing level and potential for research in the profile area to move the research frontier forwards
<b>Quality in external engagement</b>	The University's work to maintain and develop the quality within the profile area in external engagement in relation to the nature and conditions of the area
	Existing level and potential for research in the profile area to contribute to generating better understanding of, and solutions to, societal challenges



# Developments since model proposal

- SUHF's views on the proposal for a new model for quality-based resource allocation sent to the Government on 7 July 2021.
- SUHF critique (link [here](#), Swedish only):
  - Goal conflicts between profiling and conditions for high-quality research
  - Links to the long-term research policy
  - Uncertainties in the assessment of profiling areas
- Budget proposal (20 September 2021). Funding agencies will be tasked to further develop the model in dialogue with higher education institutions. The goal is to **introduce the model from 2024**.

 **Application in October 2022**

- But! Currently there are **uncertainties as to how, when and even if the model will be introduced**.

# Lund University's view on the new proposed model

- Profiling increases the quality and impact of the research to a certain extent.
- A planning period is necessary before the applications are to be submitted.
- It is unfortunate that the profile model is proposed to replace the indicator model – supplement rather than replacement would be better.
- LU proposes that the resources be taken from the Research Council's grants to prevent a further increase in dependency on external grants.
- The proposal is for a second round after 5 years. LU proposes a second round after 2 years in order to support learning within the higher education institutions and enable development of the process.
- Today, there is a certain fragmentation. We could instead work together to focus research and research funding.



# Lund University's view on the new proposed model

- Profiling can increase the quality and impact of research to a certain extent
  - Synergies in the production of new research and new ideas,
  - Easier for strong research environments to recruit new, leading researchers, and
  - Visibility of research from strong research environments increases and the research will have a greater impact.
- Problematic to control profiling via resource allocation
  - It declares the managements of higher education institutions incompetent.



# Profiling and strong research environments at Lund University

- Lund University has a great track record in developing strong research environments.
  - LU has received external funding, in competition, for some 30 environments.
  - These include the Linneaus environments, Strategic Research Areas, VinnExcellence and Forte Centres of Excellence.
- Lund University has worked for a long time on profiling, renewal and quality enhancement.
  - We have just conducted the RQ20 quality evaluation.
  - In 2020, Lund University adopted the “Strategy for Strategic Research Areas at Lund University 2020–2030”.



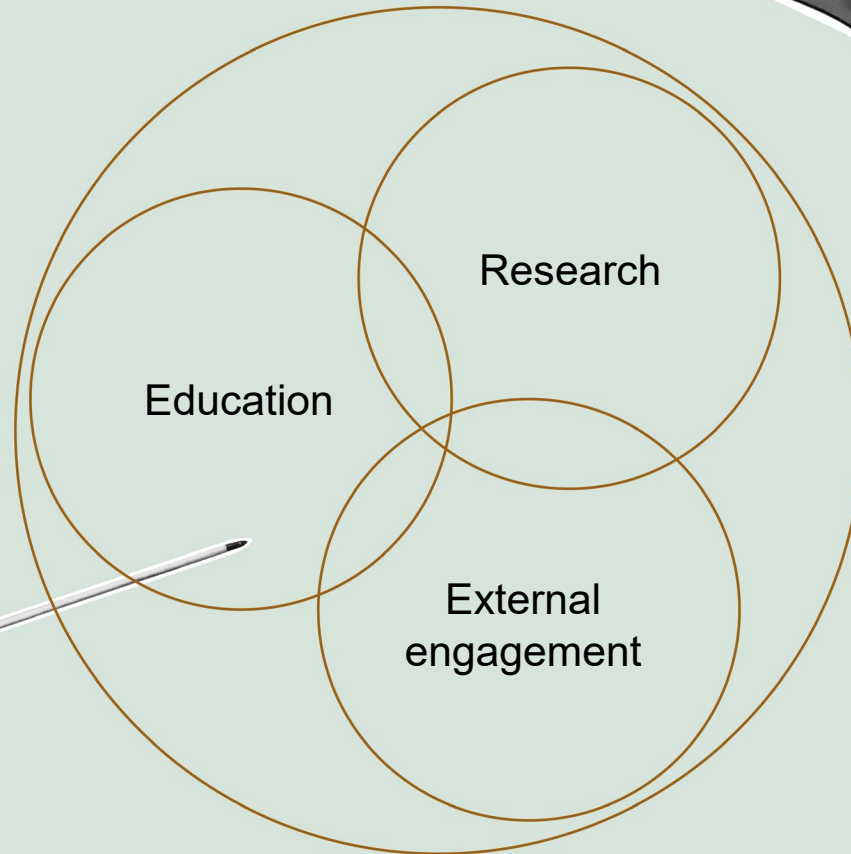
# Lund University's application for profile areas

- The University as an organisation will apply for funding for the profile areas.
- There will be **one collective application** from the University.
- Based on the present information, a big and broad university submits one application with **five profile areas**.
- **Individual quality** of the five profile areas is important, as well as...
- ...the **collective whole formed by all the profile areas together** and how they **relate to Lund University's research in its entirety**.



# Sketch of an imaginary profile area at LU

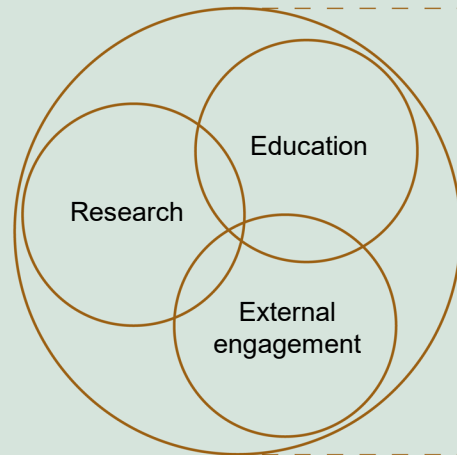
One profile area: starting with about 20 PI:s (typically from 3-4 faculties)



## Possible annual budget for a profile area:

- 10 MSEK in block grant for the profile area
- Possibly 10 MSEK in co-funding (to be determined)
- 30–40 MSEK in external grants attracted by the profile area
- ≈ 50–60 MSEK in total budget, of which the new funding can be used for recruitment

# LU's integrated application with five profile areas





# Open notification of interest for potential profile areas

- Notification of interest for potential profile areas at Lund University.
- Open to all researchers.
- Three thematic discussion forums will be organised on themes for profile areas identified as promising, but there is no subsequent precedence.
- Two thematic discussion forums will be organised by LU networks.
  - one on digitalisation (by AI Lund) and
  - one on sustainability (by Sustainability Forum).
- Two open discussion forums (with no pre-set theme).
- All the proposed profile areas will be assessed according to the same criteria.



# Lund University's criteria for profile areas

- A **central starting point** for the profile areas at Lund University is the **three quality aspects** included in the Research Councils' proposed model:
  - strategic profile and prerequisites for quality enhancement,
  - research quality, and
  - quality in external engagement.
- Lund University will utilise its strengths in the best possible way to create profile areas that will be successful in the application, as well as helping to move the University's research, education and external engagement forwards.



# Lund University's criteria for profile areas (cont.)

Existing research vs new ideas	<b>Current state &amp; Ambition</b>
Researchers	
Research infrastructure	
External engagement	
Education	

# Lund University's criteria for profile areas (cont.)

## Existing research vs new ideas

**Current state**: All profile areas shall build on research (research fields or teams) that is already **very strong internationally**. Certain bibliometric analyses, together with other background material, will be used to demonstrate this and to make selections.

**Current state**: It is desirable for the profile areas to utilise **Lund University's breadth**, but at the same time it is important not to make the profile areas too broad; not everyone needs to be included.

**Current state**: A profile area **can also include teams with high scientific potential** that are not yet world-leading in their field, but they can only make up a small minority.

Starting point: All profile areas shall be able to show why they are **unique** in relation to what is being done at other universities in Sweden and internationally. For example, bibliometrics and analyses of research grants can be used to demonstrate this.

**Ambition**: All profile areas shall have **innovative and inventive ambitions** that go beyond what is already being done at Lund University or internationally. What we aspire to achieve rather than what we are already doing.

**Ambition**: All groups must be well-integrated in a credible whole.

Researchers

Research infrastructure

External engagement

Education

# Lund University's criteria for profile areas (cont.)

Existing research vs new ideas	
<b>Researchers</b>	<p><b><u>Starting point</u></b>: All profile areas need <b>several researchers with strong CVs</b> and a <b>balance</b> of experienced and early-career researchers.</p> <p><b><u>Starting point/Ambition</u></b>: It is important that the profile areas clearly demonstrate <b>regrowth, generational turnover and gender equality</b>.</p> <p><b><u>Ambition</u></b>: All profile areas will need to develop a <b>plan for the expertise</b> that will have to be provided through recruitment.</p>
Research infrastructure	
External engagement	
Education	

# Lund University's criteria for profile areas (cont.)

Existing research vs new ideas	
Researchers	
<b>Research infrastructure</b>	<p><b><u>Current state</u></b>: It is important that at least one of the profile areas utilises <b>the unique research infrastructure</b> present in Lund (MAX IV, ESS)</p> <p><b><u>Ambition</u></b>: For the profile area/s that utilise the unique research infrastructure, there should be <b>ambitious, innovative plans</b> in place for the research infrastructures that are well integrated with the other stated ambitions.</p>
External engagement	
Education	

# Lund University's criteria for profile areas (cont.)

Existing research vs new ideas	
Researchers	
Research infrastructure	
<b>External engagement</b>	<p><b><u>Current state</u></b>: All profile areas <b>must already be able to show examples of strong external engagement</b> involving industry, the public sector or citizen organisations that has been described, or can be described, in impact stories*.</p> <p><b>Ambition</b>: All profile areas shall have a <b>network of agents</b> that are known to want to engage actively in developing the profile area.</p>
Education	

# Lund University's criteria for profile areas (cont.)

Existing research vs new ideas	
Researchers	
Research infrastructure	
External engagement	
<b>Education</b>	<p><b><u>Current state</u></b>: All profile areas shall have a <b>clear intertwining of research and education</b>, preferably at different stages (candidate, master, doctoral). This intertwining must be describable through specific courses and teaching staff members.</p> <p><b><u>Ambition</u></b>: All profile areas shall have <b>clear plans to develop</b> existing education and to create new study programmes based on the research that is being done.</p>



# LU process and timetable for notification of interest

- 19 November 2021 Period for notification of interest for profiling opens.
- December–January Thematic discussion forums.
- 15 March 2022, at 14:00 Deadline for notification of interest.
- 15 March–4 May 2022 Contact persons for potential profile areas are prepared to submit additional information, if required.  
Dialogue and interactivity within LU.
- 5 May 2022 Decision on profile areas for LU's collective application
- May–September 2022 Application writing.  
Dialogue with other higher education institutions on cooperation, synergies and complementarity.
- October 2022 Lund University's application is submitted.

**Please note:** The timetable may be changed if new information is received from the Government or Research Council that the University must take into account.

# Uncertainties: we must be prepared to change the process and/or the criteria

- *“The Government's intention is therefore to give the research funders a continued assignment to, in consultation with higher education institutions, work further on the development of the model to enable an introduction from 2024.”* (translated) Govt. Bill 2021/22:1, Expenditure area 16, p. 155–6.
- After the notification of interest have been submitted (15 March 2022), the process will be characterised by **dialogue and interactivity**.
- Some potential profile areas may be asked to provide additional information for their notification of interest, but this will not necessarily apply to all.

The image features a large, ornate fountain in the foreground, with a classical building in the background under a cloudy sky. The fountain has a central column with a tiered basin and a smaller basin below it. Water is spraying from several points. The building behind it is a grand, multi-story structure with many windows and classical architectural details. The sky is filled with soft, white clouds. In the bottom right corner, there is a circular seal or logo with Latin text and a central figure.

### III. Questions and answers

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## IV. Next steps

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VICE-CHANCELLOR ERIK RENSTRÖM



# Next steps

- Regarding questions from **today's Q&A** that we did not have time for: these will be addressed after the meeting and answers will be published on [profile-areas.blogg.lu.se](https://profile-areas.blogg.lu.se).
- A presentation that includes more details on criteria, will be sent out to attendees.
- **3 December 2021** – Online information meeting with Pro Vice-Chancellor Per Mickwitz (after management order for notification of interest has been distributed).
- **Answers to FAQs** on profiling and the process will be available on [profile-areas.blogg.lu.se](https://profile-areas.blogg.lu.se).





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