



1. Rules of Procedure (SIPRI's organization)

(Updated by the SIPRI Governing Board on 16 December 2024)

SIPRI is a foundation as defined by Swedish law. Statutes that have been determined by the Swedish Government govern the activities of SIPRI. Paragraph 9 of these statutes stipulates that: *"At the Foundation there shall be Rules of Procedure approved by the Governing Board."*

The Rules of Procedure, which are incorporated in the SIPRI Staff Handbook as chapter 1, complement the SIPRI Statutes and describe the Institute's organization, key decision-making structures and the division of responsibilities among its staff. These Rules of Procedure are updated on a regular basis by the Governing Board. This reflects an organization that changes over time in order to remain relevant and effective for the purposes of the output of the Institute.

1.1 The Governing Board

The SIPRI Governing Board shall according to paragraph 8 of the statutes:

"...decide important matters concerning the activities, organization and financial administration."

The members of the Governing Board are appointed by the Swedish Government upon nominations by the Governing Board, the Research Staff Collegium and the staff unions (SIPRI Statutes, paragraph 3). Their initial appointment is for five years, and this term may be renewed once for up to a further five years. The Governing Board approves the general direction of SIPRI's research activities, and its members are ultimately, as the highest decision-making body of the Institute, legally responsible for all its activities. The Governing Board appoints the Director and the Deputy Director, signs the annual report, and appoints members of the Advisory Committee.

In addition to the functions mentioned in the statutes, the Chair represents the Board on an ongoing basis, for example by:

- Making official statements about SIPRI's activities on matters within the Board's responsibility;
- Acting as Senior Adviser to the Director on important questions and as the person to whom the Director reports between Board meetings;
- Following SIPRI's activities and giving advice on the delegation of decision-making between Board meetings; and
- Representing SIPRI at official engagements and conferences.

1.1.1 Membership of the Governing Board (May 2024):

- Mr Stefan Löfven, Chair (Sweden)
- Dr Radha Kumar, Vice Chair (India)
- Dr Mohamed Ibn Chambas (Ghana)
- Ambassador Chan Heng Chee (Singapore)
- Mr Jean-Marie Guéhenno (France)
- Dr Noha El-Mikawy (Egypt)
- Dr Patricia Lewis (Ireland/United Kingdom)
- Dr Jessica Tuchman Mathews (United States of America)

Board meetings are also attended by:

- Mr Dan Smith (United Kingdom), the Director
- Ms Charlotta Sparre (Sweden), Deputy Director and Secretary of the Governing Board
- Mr Timo Smit (the Netherlands), SIPRI Staff Observer or in his absence, Barbara Kunz (France/Germany), SIPRI Deputy Staff Observer
- Ms Sofie Waller Snygg (Sweden), Notetaker

1.1.2 Staff Observer on the Governing Board

The Governing Board invites SIPRI's staff to ask a representative to act as an actively participating observer during the meetings of the Governing Board. The observer is appointed by SIPRI's staff for a period of three years, renewable once. The observer represents the staff and is expected to consult with the SIPRI staff at meetings of the Research Staff Collegium about Board matters.

The observer has the same speaking rights as a full member of the Governing Board with one exception (see below). If an issue comes to a vote by Board members, the observer does not vote. The observer receives the papers for each Board meeting. On behalf of the staff, having consulted at a meeting of the Research Staff Collegium open to all staff members, the observer can propose items for discussion by the Board. The agenda is drafted by the Board

Chair and SIPRI management and proposed for acceptance or amendment at the start of each Board meeting. The staff observer reports back to the next Research Staff Collegium.

At each Board meeting there will be a default agenda item headed *Executive Session*. This item is reserved for Board discussions of staff members, including issues of performance, contract and budget, for which Board members want to have confidentiality. The observer will not participate in the meeting at this point in the agenda. The item may be by-passed at the meeting by decision of the Board Chair.

1.1.3 Eligibility to become Staff Observer

Employees of SIPRI, except the Director and the Deputy Director, are eligible for the position of staff observer on the SIPRI Governing Board. External consultants or associates to SIPRI and staff on leave of absence for more than three months are not eligible. The observer leaves the Governing Board when her/his employment at SIPRI ends; when she/he takes a leave of absence other than parental leave for more than three months, when she/he decides to step down from the position; or after a period of three years.

1.1.4 Nomination and election of the Staff Observer

The two members of the SIPRI staff who are not eligible for election, the Director and the Deputy Director, act as the secretariat that facilitates the election process. The secretariat provides a list of all employed staff members to the SIPRI staff and solicits nominations. The secretariat asks the staff members who have been nominated in confidence if they are willing to stand.

Staff members are given the opportunity to anonymously cast a single vote for any of the candidates, or a blank vote. A quorum for the vote is established if at least two thirds of the staff members have cast their vote. If a candidate receives two thirds of the votes the candidate is elected.

If no candidate receives two thirds of the vote a new round of voting following the same procedure will start involving the two candidates with the most votes. In case of a tie for the second position in the first voting round, the tied candidates are included in the second round. The candidate with the majority of the votes in the second round is appointed Staff Observer. In case of a tie among the top candidates in the second round, lots are drawn to decide. A new election is held within two months of the Staff Observer stepping down.

1.1.5 Deputy Staff Observer

To ensure continuity in representation, SIPRI staff may elect a Deputy Staff Observer to act in the absence of the Staff Observer. The Deputy Staff Observer serves a term of three years,

renewable once, and is subject to the same eligibility criteria and election process as outlined for the Staff Observer (see sections 1.1.3 and 1.1.4).

1.2 The Advisory Committee

An Advisory Committee with members from different geographical regions may be appointed to serve as a consultative body to the Institute. The Governing Board appoints members of the Advisory Committee (SIPRI Statutes, paragraph 7).

1.3 The Director

“At the Foundation there shall be a Director of the Institute, who is the Head of the Institute, a Deputy Director and researchers and other staff as required, according to the funds available. The researchers should be recruited from different geographical regions.”

Moreover, paragraph 8 of the statutes stipulates that:

“... Matters not to be decided by the Governing Board shall be decided by the Director of the Institute.”

This means that the Director is the Chief Executive Officer who directs the activities of the Institute and who is the chair of the Research Staff Collegium.

The Director of the Institute is appointed by the Governing Board, following consultation with the Research Staff Collegium and the staff unions, for a term not exceeding five years. The appointment may be renewed once, for up to five years. (SIPRI Statutes, paragraph 6). In terms of the organization of the Institute, paragraph 5 of the statutes stipulates that the Director is, inter alia, responsible for:

- The overall direction of the Institute’s research and activities and ensuring it remains topical and relevant in line with the strategic direction set by the Governing Board.
- The financial health of the Institute, which among other things mean that the Director presents the annual report to the Governing Board for approval and signature.
- The overall work environment at the Institute as per the Swedish Work Environment Act, and delegates these responsibilities as s/he deems fit.
- Fundraising for the Institute’s research and activities.
- The recruitment and management of the Institute staff.
- Publication and review of studies based on SIPRI’s research results.
- Public relations and outreach activities of the Institute.
- The representation of SIPRI in official contacts outside the Institute and official statements about the activities of the Institute.

- Proposals to the Governing Board on new research activities and major changes to ongoing projects as well as major organizational changes.
- Cooperation with all relevant external stakeholders.
- Delegation of the responsibilities described above to the Deputy Director, to other members of the Senior Management Team, and to other members of staff as appropriate.

1.4 The Deputy Director

The Deputy Director of the Institute is according to the SIPRI statutes, paragraph 6:

“...appointed by the Governing Board.”

The post of Deputy Director is a leadership position in SIPRI aimed at ensuring the continuing excellence of the institute’s core work of research, outreach and dialogue. The Deputy Director works in close collaboration with the Director and under her/his guidance. The post focuses on three key areas:

- Maintaining internal coherence in the management and strategic development of the institute;
- Ensuring SIPRI maintains a balance between its role as an international institute and its place in the Swedish scene;
- Resource mobilization.

The Deputy Director has three main areas of responsibility:

- Deputising for the Director – both within SIPRI and externally, in one-to-one meetings, at public events, both formal and informal representation and aspects of institute management as appropriate;
- Liaising with key Swedish stakeholders – using knowledge of Swedish government, agencies, society and politics combined with effective networking and relationships to ensure SIPRI remains aware of, connected to, and well resourced by its Stockholm/Sweden milieu; and,
- Acting as the Director’s Chief of Staff – ensuring that what is decided gets done, connecting the dots between vision, strategy and operation, and as its Secretary ensuring that the Governing Board’s meetings are properly convened and conducted.

Linking these areas of responsibility, the Deputy Director is the key interlocutor for the Director within the institute, a source both of ideas and of reflection upon ideas for enhancing SIPRI’s performance and steering its development. The Deputy Director works with and can call on all senior colleagues as necessary in order to fulfil her/his

responsibilities, and is a member of the Senior Management Team. Subject to workload, opportunity and the Deputy Director's specific knowledge and competences, s/he is encouraged to participate substantively in the work of SIPRI based on her/his expertise.

1.5 Research Programme

SIPRI conducts research in three thematic clusters – *Armament and Disarmament*, *Conflict, Peace and Security* and *Peace and Development* – each of which is headed by a Director of Studies (DoS), who is a member of the Institute's Senior Management Team. The clusters include in turn programmes, led by Programme Directors, and projects, led by Senior Researchers or Researchers.

The purpose of the post of Director of Studies is to develop and implement the research strategy for the cluster, which aligns with Institute strategy and is adequately resourced and appropriately staffed. The DoS maintains a balance between the different demands of management, mentoring and continuing to be an active and leading researcher.

The primary responsibility of the Director of Studies is to run a thriving set of programmes within the Cluster. S/he manages staff to help them produce the best work of which they are capable and in particular mentor younger researchers. S/he is an active member of the Institute's Senior Management Team. In addition, s/he contributes to a pleasant and stimulating intellectual and work environment in the Institute.

The Director of Studies is responsible for:

- Articulating an overall strategy to pursue research of the highest standard within the area of the respective Cluster;
- Ensuring that each programme within her/his Cluster is well designed with a clear strategy including the research direction, budget, a viable fundraising strategy, staffing targets and a realistic outreach plan;
- Conducting her/his own research.

On the cluster's overall strategy, the DoS will work with the other two Directors of Studies and with the Institute Director to ensure the whole is coherent and on track to fulfil the Institute's over-arching goals as defined by the Governing Board. On the design and strategy of programmes within the cluster, the DoS will work with senior colleagues both in the team and across the institute to ensure all responsibilities are fulfilled.

Within the cluster, the main responsibilities of the Director of Studies are to:

- Ensure the cluster strategy and programme strategies are implemented, adequately resourced and appropriately staffed, and to keep the Senior Management Team up to date with developments and challenges;
- Ensure all research staff working in the cluster receive management support and mentoring in line with the cluster's strategy and Institute policy;
- Guide the work of the cluster coordinator in support of cluster activities;
- Foster a positive team spirit and an engaging work environment;
- Maintain a good pace of publications by the team and other forms of outreach of high quality – including events such as conferences, seminars and roundtables.

1.6 Operations

The Operations Department at SIPRI, headed by the Head of Operations, consists of the following sections: Finance, Grants Acquisition, Project Management, Human Resources, IT, and Facilities. The Operations Department ensures smooth support which enables research and other activities to thrive. It also advises research programmes and projects on administrative and financial needs and opportunities. The main responsibilities of the Head of Operations are:

- To actively shape and update a strategy for SIPRI's administration and financial management, ensuring efficiency, buy-in and adherence among staff within the framework of the Institute's overall strategy.
- Plan, direct and monitor the work of SIPRI's Operations and to monitor that the organization is fit for the given purpose and budget.
- Financial management including delivering financial results and the sound implementation of the current budget.
- To ensure that SIPRI's internal administrative and financial rules and systems are up to date, in line with legal provisions and implemented.
- HR, work environment and personnel matters, including the implementation of a systematic work environment perspective and the planning of staff training and formal job review discussions.
- Development and implementation of IT services, including the acquisition of computer equipment and computer software.
- Ensuring SIPRI's Facilities and physical environment are fit for purpose.

1.7 Outreach

The Outreach function at SIPRI is headed by the Director of Communications. The SIPRI Outreach function is responsible for the Institute's outreach and public relations work, including the organization of SIPRI events and the library. The Department will make sure that all SIPRI outputs (publications, reports etc) and activities (conferences, seminars etc.) are communicated to the appropriate target groups through appropriate communication

tools. The SIPRI Outreach function also advises individual research programmes and projects on their communication needs and opportunities. The responsibilities of the Director of Communications are:

- To actively shape a communications strategy for SIPRI, anchor it within the Institute, and make sure it is implemented and updated within the framework of the Institute's overall strategy.
- Plan, direct and monitor all the work of SIPRI's Outreach and to monitor that the organization is fit for the given purpose and budget.
- Launch and promotion of research results (media, targeted mailings, launch events and seminars).
- Maintaining and developing key outreach tools, such as the website, SIPRI's social media channels and the individual researchers' biography pages.
- Organising and branding of SIPRI events.
- Actively shape a publications strategy for SIPRI, anchor it within the Institute, and make sure it is implemented and updated.
- Ensure that the SIPRI Yearbook is edited and produced to a high standard and in a timely fashion.
- Provide editorial support for researchers' written output – articles, reports etc.
- Develop and implement a strategy for SIPRI's library holdings, written and electronic.
- Collect material and documentation needed for the projects undertaken by SIPRI researchers and manage the holdings.

Decisions to publish a manuscript within the SIPRI family of publications are taken by the SIPRI Editorial Board (the Director, the Director of Communications and the Managing Editor) in consultation with the relevant Director of Studies. The Managing Editor will assign an editor to every publication that is to be published. The SIPRI Library provides library and documentation services. The library collection is designed to meet the needs of SIPRI and reflect the projects of the Institute.

1.8 Management and information structures

1.8.1 The Senior Management Team

The Senior Management Team (SMT) works as a team under the Director's leadership to ensure the smooth running of the Institute, its continued development, its collegial and supportive atmosphere, its impressive output and its status as a global leader in its field. The SMT works on the principle of collective responsibility.

The SMT meets every week, and consists of the Institute Director, the Deputy Director, the Head of Operations, the Director of Communications and the three Directors of Studies.

1.8.2 The Research Staff Collegium

The Research Staff Collegium is stipulated by the SIPRI statutes, paragraph 10. Its purpose is to advise the Director and prepare matters for the Governing Board and which relate to the planning and conduct of the Foundation's research activities and to the dissemination of research findings.

The members of the Collegium comprise the Director of the Institute, the research staff and other staff relevant or interested. The Director convenes regular Research Staff Collegium meetings.

1.8.3 The Cooperation Group

The Cooperation group meets at least ten times per year, and is a formal body for exchange of information between SIPRI as employer and the trade unions at SIPRI as stipulated by the Swedish Act of Co-determination at the Workplace.

The participants in the Cooperation Group are the Deputy Director (chair), the Head of Operations, the Human Resources Manager, the Human Resources Officer (secretary), 1–2 representatives from each trade union (ST and Saco-S), the Head Work Environment Officer and 1–2 representatives of the Research Staff Collegium (RSC).

1.8.4 Other internal information and exchange structures

Staff meetings are held every Monday to provide and exchange information about decisions, research, activities and other matters of importance. Weekly Institute-wide 'fika' is held on Thursdays. Further information of immediate interest is distributed via email and on the staff intranet.