



## Recognising and rewarding open research: progress actions

### Strategy and leadership

| Action area                     | Emerging  | Evolving  | Sustained   |
|---------------------------------|---|---|---|
| <b>Institutional commitment</b> | <p>Adopt and publish an open research statement.</p> <p>Adopt and publish a commitment to the implementation of responsible research assessment. In so far as it relates to open research, it could be linked to the open research statement.</p> <p>Sign the Agreement on Reforming Research Assessment and join the Coalition on Advancing Research Assessment (CoARA) and communicate this within the institution.</p> | <p>Initiate action to implement commitments, e.g. by appointment of senior strategic leads for open research and responsible research assessment, development and publication of action plans, and engagement of key stakeholders.</p> <p>Include a commitment to recognise and reward open research practice within institutional research assessment.</p> <p>Ensure senior leads and stakeholder groups (where they have been established) are co-ordinated towards objectives for recognition and reward for open research.</p> <p>Demonstrate that progress has been made in implementing commitments, e.g. by publishing updates against action plan milestones.</p> | <p>Ensure that commitments are well-integrated into relevant policies, procedures, assessment, guidance and training, and that they are widely understood and supported by research leaders and managers.</p> <p>Ensure that activities and communications relating to institutional research strategy, environment and culture are aligned to and reference institutional commitments.</p> |

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| Action area                  | Emerging  | Evolving   | Sustained   |
|------------------------------|---|--|---|
| <b>Leadership</b>            | <p>Nominate and empower a member of senior management or professional services with responsibility for strategic action to develop open research culture and practice.</p> <p>Nominate and empower a senior strategic lead for responsible research assessment.</p> <p>Identify recognition and reward for open research as a priority for strategic action.</p>  | <p>Evidence activity by senior strategic leads for open research and responsible research assessment and engagement with relevant stakeholders. Where leadership of open research and responsible research assessment is separate, ensure there is co-ordinated action and agreement on objectives to include recognition and reward for open research.</p> <p>Identify and develop advocates in the research community and professional services who can provide leadership and support for open research recognition and reward.</p> | <p>Demonstrate progress in embedding culture change under the direction of the senior strategic lead.</p> <p>Cascade open research leadership through the organisation, with research leaders and managers, research professionals and other champions showing leadership in their areas of activity and influence.</p> <p>Demonstrate that championing open research practice is a recognised criterion of research leadership, for example through inclusion in job descriptions, promotion criteria, and performance and development review.</p> <p>Demonstrate that leadership in the institution is engaging externally with research assessment reform networks in order to promote effective recognition and reward for open research across the sector.</p> |
| <b>Strategy and planning</b> | <p>Create and secure approval for a strategic action plan to develop open research culture and practice which identifies recognition and reward for open research as an area for action.</p> <p>Where research assessment reform work is undertaken by an existing group, ensure that there is representation for open research in this group.</p> <p>Establish recognition and reward for open research as an objective, and discuss the infrastructure, training, and support that may be required.</p> | <p>Demonstrate progress against an open research action plan.</p> <p>Ensure there is a detailed plan for implementing research assessment reform, including recognition and reward for open research, which is agreed and owned by the relevant stakeholder group.</p> <p>Demonstrate progress against the research assessment reform implementation plan, with members of the stakeholder group working to deliver primary objectives.</p>  | <p>Demonstrate that substantive progress has been made against the action plan to develop open research culture and practice.</p> <p>Demonstrate that primary objectives of the research assessment reform plan have been delivered, with recognition and reward for open research integrated into relevant research assessment policies and procedures.</p> <p>Move from implementation to consolidation and embedding of operational activity, with monitoring and reporting to the relevant oversight committee/group.</p>   |

## Implementation

| Action area                         | Emerging   | Evolving  | Sustained   |
|-------------------------------------|--|---|---|
| <b>Communication and engagement</b> | <p>Disseminate a range of communications that indicate recognition and reward for open research as an upcoming strategic ambition or aim.</p> <p>Facilitate conversations with key stakeholders about the need for greater consideration of open research in recognition and reward practices.</p> | <p>Develop an open research communication and engagement plan, which includes communications around recognition and reward for open research, associated with published institutional commitments and strategic plans.</p> <p>Ensure regular communications relating to recognition and reward for open research are included as a key theme in research assessment reform communication plan, where this is separately managed.</p> <p>Undertake consultation on proposals for inclusion of open research recognition and reward in research assessment reform, engaging key stakeholders to develop buy-in and obtain input.</p> <p>Ensure there are established mechanisms and channels for feedback and that there is effective representation of researchers' interests on strategic oversight groups.</p> | <p>Ensure information about recognition and reward for open research is integrated into relevant procedures, e.g. recruitment, probation, and promotion, and references relevant guidance and training, and that those supporting implementation understand and apply the policy.</p> <p>Include communications relating to recognition and reward for open research as part of open research communications, using research leaders and managers and open research advocates to amplify and target messages.</p> |

## Implementation

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|---------------------------------------|---|---|--|
| <b>Policy and procedure</b>           | <p>Include some mention of open research and open research criteria in some key policies, e.g. for promotion, although the broader policy framework and supporting procedures, training, etc. may not yet be developed.</p> | <p>Develop and publish a research assessment policy or statement aligned to the Principles of the Agreement on Reforming Research Assessment, which includes a commitment to recognise and reward open research, with definition of open research and reference to an open research statement or policy.</p> <p>Identify relevant policies and procedures involving the assessment of researchers e.g., those concerning recruitment, probation, promotion, performance and development review, and engage policy owners to discuss and agree required policy, including support and resource requirements.</p> | <p>Ensure that all relevant policies and procedures have been updated to integrate recognition and reward for open research consistent with institutional policy and open research policies.</p> <p>Ensure that policies and procedures are operating effectively and have been refined as necessary in response to feedback. Various routes should be available to provide feedback for substantive and iterative development of policy and procedure.</p> <p>Review policies and procedures on a regular basis to align with developments in open research practice.</p>   |
| <b>Support, systems and processes</b> | <p>Provide some informal ad hoc support for open research recognition and reward within existing professional services support roles and systems and processes.</p>   | <p>Ensure that existing open research support roles provide some support for recognition and reward for open research in some defined researcher assessment processes.</p> <p>Identify and develop areas of professional services support and changes to systems and processes necessary to implement recognition and reward for open research.</p>   | <p>Demonstrate that professional services support for open research has developed, is well-integrated into institutional processes, and is delivering support in alignment with strategic objectives to grow open research culture and practice.</p> <p>Ensure that relevant professional services staff have defined and understood responsibilities to support recognition and reward for open research as part of support for responsible research assessment and are delivering effective services.</p> <p>Ensure that supporting systems and processes have been developed/implemented as required, are operating effectively, and are delivering timely support in response to demand.</p> |

## Implementation

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|------------------------------|--|---|--|
| <b>Guidance and training</b> | Publish information and/or provide ad-hoc training on recognition of open research in research assessment. | <p>Provide publicly accessible guidance on recognition of open research as part of guidance supporting research assessment.</p> <p>Provide research assessment training including consideration of recognition and reward for open research that is available to all members of staff.</p> <p>Encourage completion of research assessment training for key categories of staff, e.g. researchers' line managers, members of recruitment and promotion panels.</p> | <p>Link to guidance and training on research assessment including consideration of recognition and reward for open research from all relevant policies and procedures.</p> <p>Integrate research assessment training into professional development frameworks, e.g. for early career researchers.</p> <p>Make research assessment training required for some colleagues, e.g. members of recruitment and promotion committees, with completion logged and monitored using institutional systems.</p> |

## Managing progress

| Action area                      | Emerging   | Evolving   | Sustained   |
|----------------------------------|--|--|---|
| <b>Monitoring and evaluation</b> | Undertake some baseline observation and analysis of current practice in relation to recognition of open research in research assessment.   | <p>Establish measures and processes for reporting on use of open research criteria in research assessment during and after implementation of changes, and ensure processes and support are in place.</p> <p>Demonstrate increases in use of open research evidence within research assessments and researcher engagement in some areas of the institution.</p> <p>Establish processes for intervention where areas for improvement are identified.</p> | <p>Establish business-as-usual monitoring measures, processes and responsibilities, with institutional oversight and reporting, to assess impact and effectiveness of policy and compliance across the institution.</p> <p>Demonstrate sustained increases in use of open research evidence within research assessments and researcher engagement across several areas in the institution.</p> <p>Demonstrate effective responsive action where areas for improvement have been identified, e.g. through targeted communications, performance and development review, and training.</p> |
| <b>Research planning</b>         | <p>Identify open research as an area of strategic focus in research planning activities at institutional, group and individual level.</p> <p>Develop some open research objectives for use in research planning activities, e.g. relating to open access and data sharing.</p> | <p>Develop more systematic open research objectives in research planning, aligned to institutional open research strategy and criteria of recognition and reward for open research.</p> <p>Identify relevant measures to be collected and reported, and implement reporting against specified open research objectives in relevant research planning and management activities.</p>  | <p>Demonstrate systematic integration of open research objectives in research planning at institutional, intra-institutional and individual level.</p> <p>Demonstrate substantive progress in implementation and reporting of open research objectives in relevant planning and research management activities.</p>   |