

## Recognising and Rewarding Open Research in Research Assessment: Maturity Framework

| Action area             |                          | No Action   | Emerging   | Evolving   | Sustained  |
|-------------------------|--------------------------|---|--|--|--|
| Strategy and Leadership | Institutional Commitment | There are no public institutional commitments to open research and responsible research assessment. | There are public institutional commitments to open research and responsible research assessment but little or no recognition of open research in research assessment practice.   | There are public institutional commitments to open research and responsible research assessment. There is an explicit commitment to recognise and reward open research in research assessment practice.  | Public open research and responsible research assessment commitments are well-integrated into recognition and reward policies and procedures. There is a strong shared understanding of how open research and responsible research assessment contribute to institutional research strategy and overall mission.                         |
|                         | Leadership               | There is no senior strategic leadership for open research or responsible research assessment.       | There are identified senior strategic leads for open research and responsible research assessment. Recognition and reward for open research in research assessment is an identified priority for strategic action.       | Senior leadership develops actions on open research and responsible research assessment in collaboration with key stakeholders. Actions to recognise open research in research assessment are agreed and supported by relevant leads and promoted by open research advocates across the institution. | Recognition and reward for open research in research assessment is progressed as a strategic priority by members of senior management. External engagement ensures alignment to sector. Leadership in open research is seen and valued across the organisation, and includes researchers, research enablers and open research advocates. |
|                         | Strategy & Planning      | There is no open research strategy or plans to implement change.                                    | A strategic plan for open research has identified recognition and reward for open research in research assessment as an area for action. This objective is recognised in strategic action on research assessment reform. | Strategic action on open research has progressed. Recognition and reward for open research across all key areas of research assessment is actioned by a stakeholder group against a strategic plan. Progress has been made against objectives.   | Strategic action on open research is well-developed and sustained. Recognition and reward for open research has been implemented in relevant policies and procedures. The implementation plan has been delivered and action is focused on monitoring, consolidating and embedding practice.  |

|                |                              | No Action  | Emerging   | Evolving   | Sustained   |
|----------------|------------------------------|--|--|--|---|
| Implementation | Communication & Engagement   | There is no communication about the recognition of open research in research assessment.   | Some information about recognition and reward for open research in research assessment has been communicated, but with little or no guidance, or active engagement.              | Strategic communications about recognition and reward for open research are part of an open research communication plan. Key stakeholders have been identified and engaged. Stakeholders have been able to learn about and contribute to changes in policy and procedure.                    | Well-publicised information about recognition and reward for open research in research assessment policies and procedures is supplemented by strategic, consistent communications targeting key stakeholders and the wider community to raise awareness and promote good practice.                    |
|                | Policy & Procedure           | Recognition and reward for open research is not referenced in policies or procedures related to or involving the use of research assessment. | Recognition and reward for open research is mentioned in some relevant policies and procedures, but on a limited basis and with little evidence of integration or effective use. | Recognition and reward for open research is included in most relevant policies, with evidence of effective integration into practice.  | Recognition and reward for open research is included in all relevant policies and procedures. There is evidence of increasing effective use of open research criteria by candidates and assessors in research assessment activities. Policies are reviewed regularly.                                 |
|                | Support, systems & processes | There is no operational implementation of recognition and reward for open research in research assessment.                                   | Colleagues enabling open research provide some support for open research recognition and reward, without dedicated responsibilities, systems or processes.                       | In some research assessment activities, colleagues have defined responsibilities to support recognition and reward for open research, and there has been some development of supporting resources, systems and processes.  | Colleagues have defined responsibilities to support recognition and reward for open research in relevant research assessment activities. Resources are allocated and supporting resources, systems and processes are well-developed and operating effectively.  |
|                | Guidance & Training          | There is no guidance or training on recognition and reward for open research in research assessment.   | Some guidance on recognition and reward for open research is provided for those involved in research assessment.   | Guidance and training on recognition and reward for open research is well-developed and made available to researchers, assessors and external candidates, as relevant. Resources are integrated into some processes and are promoted to staff. Training is encouraged for key staff members. | Guidance and training on recognition and reward for open research is available for all relevant groups. It is systematically targeted at staff involved in research assessment, and integrated into auditable training and development frameworks and processes. There is widespread use of training. |

|                   |                         | No Action  | Emerging   | Evolving  | Sustained   |
|-------------------|-------------------------|--|--|---|---|
| Managing Progress | Monitoring & Evaluation | There is no monitoring or evaluation of recognition and reward for open research in research assessment. | There has been some observation of practice with respect to recognition and reward for open research in research assessment.   | Measures are defined and reported to monitor use of open research criteria in research assessment, with some operational support. Data capture developments in some practices and/or identifies areas for targeting.                                      | There is systematic collection and reporting of data on use of open research criteria in research assessment, with allocated operational support. Progress is monitored and evaluated across the institution, identifying and targeting areas for improvement.  |
|                   | Research Planning       | Open research is not considered in institutional and individual research planning activities.            | There is some use of open research criteria in institutional and individual research planning activities, but these are not fully aligned with institutional research and assessment strategies. | Open research criteria are defined and reported in institutional and individual research planning activities. Planning identifies open research objectives and links these to institutional strategy related to open research and recognition and reward. | Open research criteria are systematically used and reported in institutional and individual research planning activities. There is evidence of a sustained increase in setting and reporting against open research objectives. Strategic priorities related to open research inform institutional planning. |