

Recognising and Rewarding Open Research in Research Assessment: Maturity Framework

		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 explicit recognition of open research in research assessment practice.	Public open research and responsible research assessment commitments build on international frameworks. There is a strong shared understanding of how open research and responsible research assessment contribute to the institutional research strategy and overall mission. Actions have led to demonstrable progress.
	Leadership	There is no senior strategic leadership for open research.	There is an identified senior strategic lead for open research who acts as a strong advocate within the institution. Recognition of open research in research assessment is an identified priority for strategic action.	Senior strategic lead(s) develops actions on open research and responsible research assessment in collaboration with key stakeholder groups. Actions to recognise open research in research assessment are agreed and supported by relevant activity leads. Champions of open research may also be empowered to deliver institutional change.	Recognition of open research in research assessment is visibly led as a strategic priority and championed by members of senior management. Leadership for the implementation of change is seen and valued across the organisation, and includes researchers, research enablers and open research champions.
	Strategy & Planning	There is no open research strategy or plans to implement change.	A strategic plan has identified recognition of open research in research assessment as an area for action. Work may be at an early stage.	Recognition of 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.	Primary objectives of the strategic plan have been delivered, with a shift towards consolidating and embedding practice by the stakeholder group.

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Implementation	Communication & Engagement	There is no communication about the recognition of open research in research assessment.	Some information about recognising open research in research assessment has been published, but with little or no guidance, or active communication.	There are planned communications for research assessment reform recognising open research and 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 (changes to) research assessment policies and procedures recognising open research is supplemented by strategic, consistent communications targeting key stakeholders and the wider community to raise awareness and promote good practice.
	Policy & Procedure	Open research is not referenced in any research assessment policies or procedures.	Open research is mentioned in some research assessment policies and procedures, but on a limited basis and with little evidence of integration or effective use.	Open research is recognised in most institutional research assessment policies, with evidence of integration into relevant assessment policies and procedures.	Open research is recognised in all key research assessment policies and procedures. Changes were agreed by stakeholders and fully integrated in policy and procedure.
	Support, systems & processes	There is no operational implementation or recognition of open research in research assessment.	Colleagues enabling open research may provide some support for recognition of open research in research assessment, without dedicated responsibilities, systems or processes.	In some research assessment activities, colleagues have some defined responsibilities to support recognition of open research, and there has been some development of supporting resources, systems and processes.	Staff have well-defined responsibilities to support recognition of open research in all key 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 of open research in research assessment.	Some guidance on recognition of open research is provided for those involved in research assessment.	Guidance and training on recognition of open research is aligned to strategic objectives. This is provided as part of external recruitment guidance, and training for colleagues involved in research assessment. Resources are integrated into some processes and are promoted to staff.	Well-developed guidance and training on recognition of open research is available for external recruitment. It is also systematically targeted at staff involved in research assessment as assessors and subjects internally, and integrated into auditable training and development processes.

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Managing Progress	Monitoring & Evaluation	There is no monitoring or evaluation of recognition of open research in research assessment.	There has been some observation(s) of practice with respect to recognition of open research in research assessment.	There is an effort to regularly collect and monitor some data to report institutional progress, with some operational support. Data captures developments in some practices and/or identifies areas for targeting.	There is systematic collection of data on progress, with allocated operational support. Progress is monitored and evaluated across the institution, identifying sub-optimal practice, and targeting improvements to practice.
	Research Planning	Open research criteria are 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 it is not always fully aligned with institutional research and/or assessment strategy.	Open research criteria are used and reported in institutional and individual research planning activities. There is some evidence of increased use of open research practices, aligned to institutional strategy.	Open research criteria are systematically used and reported in institutional and individual research planning activities. There is evidence of a sustained increase in use of open research practices. Data is used to inform future planning.