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A Practical Guide to Implementing Responsible Research Assessment

at Research Performing Organizations

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Table of Contents

	Foreword	4
1	INTRODUCTION	6
	1.1 How to use the Guide	7
	1.2 The goal and principles of Responsible Research Assessment	9
2	KEY ACTIVITIES IN DEVELOPING AN RRA STRATEGY	13
	2.1 Engaging the organization leadership	16
	2.2 Working with the community at your organization	18
	2.3 Mobilizing resources to develop and implement an RRA strategy	20
	2.4 Convening a working group/task force	22
	2.5 Exploring the landscape for RRA	24
	2.6 Reviewing current assessment practices	26
	2.7 Developing a strategic vision for RRA	28
	2.8 Developing effective engagement and communication plans	30
	2.9 Monitoring and updating your strategy	32
3	KEY MOMENTS IN RESEARCH AND RESEARCHER ASSESSMENT	35
	3.1 Recruitment, hiring, and promotion decisions	38
	3.2 Institutional awards and internal grants	41
	3.3 Evaluating internal research units	44
	3.4 Developing corporate communications	50
4	GLOBAL INITIATIVES AND EXEMPLARS RELEVANT TO RRA	53
	4.1 Leadership and guidance on aspects of open science	54
	4.2 Driving research assessment reform	56
	4.3 Encouraging a holistic and inclusive view of research	59
	4.4 Enabling evidence-based policy and research integrity	60
	Resources and references	61
	Annex: Acknowledgments	65

Now with over 26,000 signatures - from individuals and institutions across the world - the awareness of the need for responsible research assessment (RRA) reform is widespread and growing.

FOREWORD

When the San Francisco Declaration on Research Assessment ([DORA](#)) was announced in 2013, it aimed to raise awareness of the problematic metrics used to assess research and researchers and heralded a new era of research assessment - an era where researchers are assessed based on a broad range of contributions to knowledge, research, and society, with a focus on quality and impact. The Declaration itself provided 18 recommendations for the different actors in the research system to consider in undertaking research assessment processes and practices¹.

These recommendations aimed to enhance the transparency of metrics used to assess research across different contexts, and to expand beyond a focus on what can be easily counted. In practical terms over the past decade, the focus of DORA has been to raise awareness of the need for research assessment reform and to support research organizations in the development and implementation of policies and practices that act to foster a given institution's mission-driven goals.

The DORA team has created case studies and coordinates a searchable repository, [Reformscape](#), to highlight examples of innovation and change in research assessment policies and practices occurring around the world^{2,3,4}. From our experience working with many organizations over the past decade, we know that introducing new approaches and making changes to established research assessment practices is invariably challenging and requires input from many stakeholders working within what are complex research performing organizations.

Over the past decade, we have learned that there are common factors that influence and impact research assessment reform across organizations. This Guide is intended to draw upon this learning and to provide practical guidance and tips for research performing organizations wanting to take steps to review or reform how they assess research and researchers.

This Guide is intended to draw upon this learning and to provide practical guidance and tips for research performing organizations wanting to take steps to review or reform how they assess research and researchers.

Our target audience is the diversity of individuals working in research performing organizations who are seeking to make a positive change to research assessment practices, including but certainly not limited to those in research leadership roles (e.g. Provost, Vice President of Research, Dean), faculty, administrative managers and staff, as well as those responsible for shaping organizational policies and recruitment practices, research communication and outreach staff, and other teams who may be involved in shaping research culture-related initiatives.

We know that one size does not fit all in the practice of research assessment. Each organization and jurisdiction faces its own set of complex challenges. The Guide is intended to be used flexibly and where possible, be discipline and geographically agnostic and we encourage organizations to use this Guide in ways that work best for them and their context; use it in its entirety or draw upon the pieces that resonate most strongly, always adapting and co-creating with your communities. This is the first version of the Guide, and one that we envision being modified and updated over time - and especially being enriched with real examples and through feedback from research performing organizations as they start to use the Guide.

The Guide reflects the hard work of many contributors. We particularly want to recognize and thank the participants of a January 2025 working meeting in Washington, DC, USA who provided valuable reflections and input to help shape the Guide. We would like to thank the Arcadia Foundation who provided funding to support the development of the Guide. Finally, we would like to thank the DORA steering committee and executive board, and the DORA staff team, current and past, without whom the creation of the Guide would not have been possible.

Ginny Barbour, Kelly Cobey, Rebecca Lawrence
DORA Co-Chairs and Vice-chair
May 2025

Introduction

This Guide provides practical guidance, resources, and illustrative examples, for research performing organizations (RPOs) who are looking to shape and deliver responsible research assessment (RRA) practices.

This includes organizations who are developing an RRA strategy, reforming existing policies and practices, or simply wanting to take steps towards more holistic and inclusive approaches to research assessment. We know that many RPOs are keen to reform their research assessment practices, but lack the time, space and/or expertise to reflect on how to do this, and either don't know where to start or simply give up because the task of making changes can seem so daunting. RPOs also exist within an external research system, and there are often external actors and influences (including national assessment processes and funder mandates) that impact upon how organizations can act.

The Guide presents a range of activities and prompts that we know, through working with the DORA community, can make a real difference in delivering changes to research assessment. Practical examples are provided to show how organizations have navigated the opportunities and challenges encountered along the way.

1.1 How to use the Guide

1.2 The goal and principles of RRA

CHAPTER 1.1

How to use the Guide

The Guide is not intended to present a definitive approach to responsible research assessment; indeed, each organization is unique and what works at one organization may not work at another.

The Guide is organized into Chapters; each Chapter stands alone, and we provide lots of options to jump across Chapters and to relevant sections.

Readers are invited to draw upon the elements that resonate and have most relevance to their organizational context.

[Chapter 1](#) provides the context and presents some underpinning principles that typically inform responsible research assessment approaches.

[Chapter 2](#) presents nine activities that can help to catalyze research assessment reform, and we hope will provide ideas and inspiration to others. These activities are:

1. Engaging the organization leadership
2. Working with the community at your organization
3. Mobilizing resources to develop and implement an RRA strategy
4. Convening a working group/task force
5. Exploring the landscape for RRA
6. Reviewing current assessment practices
7. Developing a strategic vision for RRA
8. Developing effective engagement and communication plans
9. Monitoring and updating your strategy

The [Spotlight on the SPACE Rubric](#) in this chapter provides guidance on how to use the rubric to support RRA.



CHAPTER 1.1

How to use the Guide

[Chapter 3](#) provides practical tips on how organizations can embed responsible research assessment practices into policies and practices that can directly impact upon researchers' careers, specifically:

1. Recruitment, hiring and promotion decisions
2. Institutional awards and internal grants
3. Evaluation of internal research units
4. Developing corporate communications

The [Spotlight on Narrative CVs](#) goes into detail on how this descriptive approach provides a more holistic view of a researcher's career. The [Spotlight on Early Career Researchers](#) highlights the desire among this population for research assessment approaches that value a diversity of outputs and contributions.

[Chapter 4](#) introduces a range of global initiatives and frameworks that align with RRA.

We end the Guide with references and resources mentioned.

We welcome feedback on the Guide - indeed, it is intended to be 'owned' by the RRA community.

To this end we intend to evolve the Guide over time and add to the examples, use cases and advice included based upon real insights, feedback and learnings. If you create new materials, policies, practices, or tools related to RRA, please consider sharing these with DORA and the broader community through [Reformscape](#), DORA's online digital repository of RRA materials that collates criteria and standards that RPOs are using for hiring, review, promotion, and tenure.

Please keep in touch and send questions and feedback to the DORA team at: info@sfdora.org



CHAPTER 1.2

The goal and principles of Responsible Research Assessment

Before diving into the key activities in developing and implementing an RRA strategy, we first want to reiterate why RRA is important and its goals and underpinning principles.

The term “Responsible research assessment” has emerged as an umbrella term for approaches to assessment that incentivize, reflect, and reward the plural characteristics of high-quality research, in support of diverse and inclusive research cultures^{5,6}. It is ‘responsible’ in that, by adhering to a set of broad principles, and living those in practice, it encourages and incentivizes the types of research behaviors that deliver benefits in terms of outputs, outcomes, and impact to both RPOs and the research system more broadly.

The goal of RRA is to support and encourage approaches to assessing research performance and impact, that focus on a holistic view of researchers, the research processes, outputs, outcomes, and impacts of research.

RRA embraces a values-driven approach that aligns with an organization’s mission and values, promoting clear, transparent, open, and fair criteria in research assessment, ensuring non-discriminatory practices.



CHAPTER 1.2.2

Think balanced and broad: value quality over quantity

RRA emphasizes a balanced and broad approach. It moves beyond the narrow focus on quantitative indicators that many traditional approaches to research assessment have assumed, to recognize and value a fuller range of contributions, including a diversity of research output, collaborations, teamwork and mentorship, and impact both within and beyond academia.

The process of doing research is also an important element of RRA; rigor and transparency in research practice is crucial to preserve research integrity and trust. RRA also encourages qualitative and transparent approaches to deliver the research assessment itself, with peer review and expert judgment playing a central role in the assessment process.

Qualitative assessments can of course be complemented by quantitative indicators, but quantitative indicators should be used responsibly; inappropriate journal- and publication-based metrics should not be used and the use of organization or department rankings or league tables avoided. Several reference documents provide useful guidance on the responsible use of research metrics, including the [Leiden Manifesto](#)⁹. DORA has also developed guidance for organizations on the responsible use of research-related indicators.



RESOURCE

[Guidance on Indicators](#)

Learn more about DORA's guidance on how to use research indicators responsibly¹⁰.



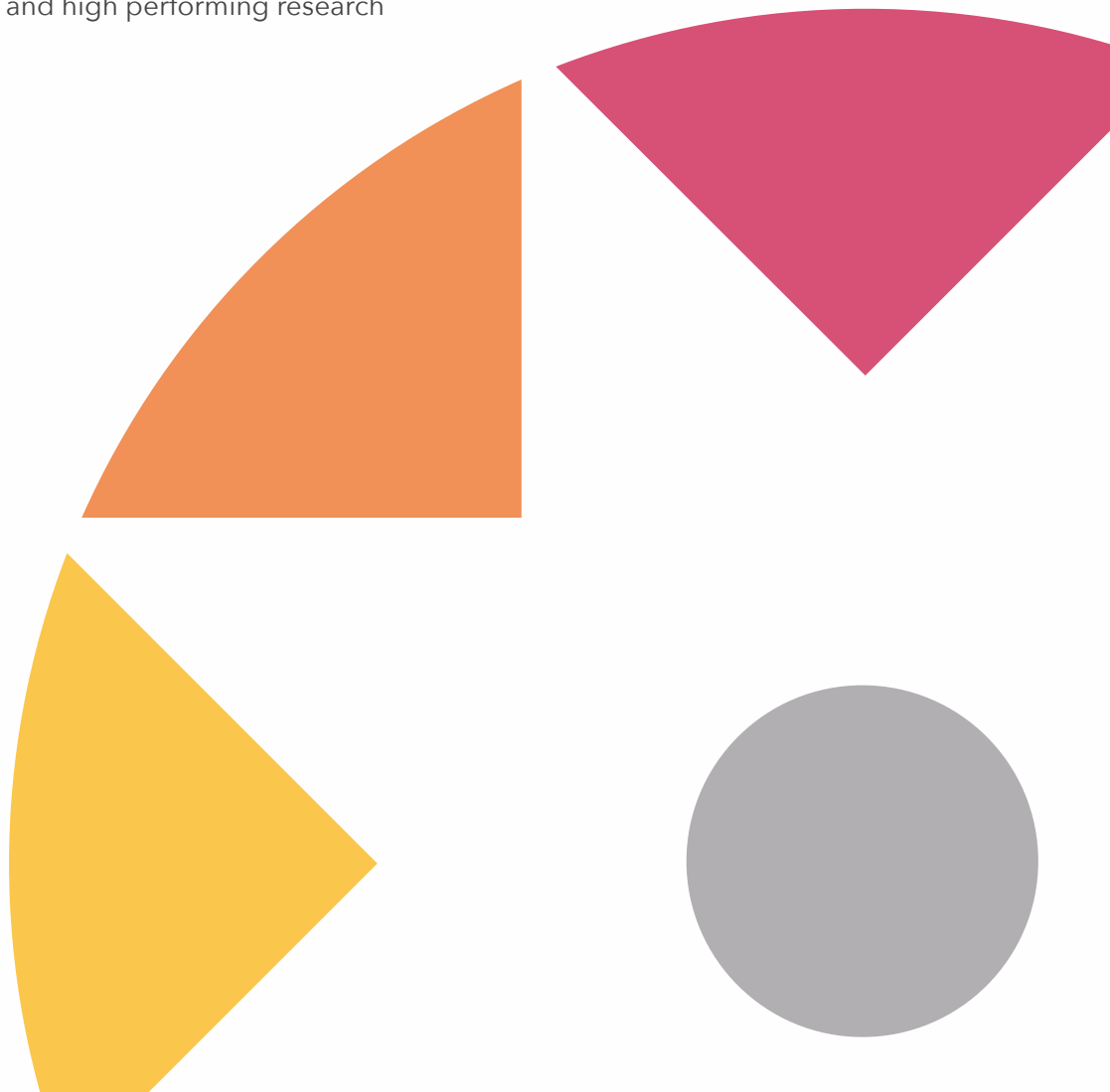
CHAPTER 1.2.3

Equitable opportunities for researchers

RRA also seeks to promote fairness throughout the research process. The recognition of the value of a diversity of research outputs and contributions to knowledge creation helps to shine a light on non-typical research and on adjacent professions (e.g. data stewards, research technicians, software developers), and the inputs of individuals from diverse backgrounds, disciplines, and career stages.

This is not just about being fair. Equitable organizations and teams have been shown to increase their overall performance.

RRA ensures equal opportunities, supports early-stage researchers, promotes transparency, encourages interdisciplinary research, and addresses systemic issues to create a truly equitable and high performing research environment.



Key activities in developing an RRA strategy

This Chapter outlines nine activities that, through our experience working with the DORA community, can be crucial in the successful development of RRA approaches.

While there may be logic in considering the nine activities in sequential order, each activity is discreet, could be considered in parallel to other activities, or may not be relevant to a specific organization at all.

One size rarely fits all in RRA and we encourage organizations to draw upon the activities that best support their needs and context.

- 1 Engaging the organization leadership
- 2 Working with the community at your organization
- 3 Mobilizing resources to develop and implement an RRA strategy
- 4 Convening a working group/task force
- 5 Exploring the landscape for RRA
- 6 Reviewing current assessment practices
- 7 Developing a strategic vision for RRA
- 8 Developing effective engagement and communication plans
- 9 Monitoring and updating your strategy



SPOTLIGHT ON

The SPACE Rubric

The SPACE rubric can help institutions grow their internal capabilities to support research assessment reform efforts.

Created by a collaboration between DORA and Ruth Schmidt from The Institute of Design at Illinois Tech, and informed by input from over 75 individuals across 26 countries and six continents.

The rubric aims to help institutions gauge their ability to support interventions and set them up for success, recognizing that even good reform ideas need supportive infrastructure to thrive.

The SPACE rubric¹¹ consists of five dimensions: Standards for Scholarship, Process Mechanics and Policies, Accountability, Culture Within Institutions, and Evaluative and Iterative Feedback.

These dimensions are analyzed across three stages of capability development: Foundation, Expansion, and Scaling.

SPACE RUBRIC WORKBOOK AND WORKSHOP KIT

The SPACE rubric resources¹² include:

- A **worksheet** to help institutions collect and organize information when assessing their current state or analyzing past interventions.
- A **workbook** that expands on the rubric by providing illustrative examples for each dimension and stage, and includes a "Next Steps" page to capture action items.
- A **workshop toolkit** for institutions that offers a slide deck to introduce the rubric and its applications, a pre-work reflection worksheet, and facilitator instructions.

**RESOURCE**

[SPACE Rubric](#)

Explore the rubric to advance your fair and responsible academic career assessment practices¹¹.



SPOTLIGHT ON THE SPACE RUBRIC

The SPACE rubric offers several potential uses to support RRA.

Here are some ideas on how to use it to support the activities listed in the Guide:

Engaging the leadership

Articulate the need for reform by highlighting the institution's current state.

Working with the community

Use the rubric's five dimensions as prompts to gather input and foster a shared understanding.

Mobilizing resources

Present an analysis based on it to provide justification for resource allocation.

Convening a task force

The rubric can act as a shared framework to structure discussions and analyses, help set priorities and realistic goals.

Exploring the landscape

Gain a deeper understanding of RRA by using the five dimensions as lenses to analyze different approaches by peer institutions.

Reviewing current practices

Working through the categories, capture the current state of organizational capability at a chosen level of analysis (e.g., department, school).

Developing a strategic vision

Use the rubric to identify goals and be inspired by the examples of what an integrated RRA strategy might look like.

Effective engagement

Get ideas on who needs to be involved across different dimensions.

Monitoring your strategy

Revisit the rubric frequently and assess progress and areas that require further development.

RETHINKING RESEARCH ASSESSMENT SPACE TO EVOLVE ACADEMIC ASSESSMENT <small>A RUBRIC FOR ANALYZING INSTITUTIONAL PROGRESS INDICATORS AND CONDITIONS FOR SUCCESS</small>	
Research and researcher assessment is a systems challenge, suggesting that institutions that prioritize developing infrastructures to support their efforts may be better positioned to achieve their goals than those focused only on individual solutions.	
STANDARDS FOR SCHOLARSHIP <small>How are new definitions of "quality scholarship" formulated and applied?</small>	FROM FOUNDATION... <small>Care definitions and shared clarity of purpose</small> ALIGNMENT ON VALUES AND GOALS <small>How are new definitions of "quality scholarship" formulated and applied?</small> Standards are explicitly designed and articulated to align with institutional mission and values, such as increasing equity and support for traditionally underrepresented, nontraditional groups New standards for scholarship consider the balance across research, teaching, and service contributions including teaching, mentoring and good citizenship Specific definitions and standards of "quality" with regard to scholarship are articulated and shared across disciplines and nonrepresentation committees
PROCESS MECHANISMS AND POLICIES <small>How are new practices incorporated into review structure, processes, and institutional policies?</small>	TO EXPANSION... <small>Increased traction and capacity development</small> DIVERSIFICATION OF STANDARDS <small>How are new definitions of "quality scholarship" formulated and applied?</small> Scholarship is assessed using diverse indicators (e.g., social impact, letters of assessment, etc.) and body of work (e.g., individual articles, and forms of output, e.g., new journal contributions) Indicators of quality recognize non-individualized activities and accomplishments by team and New definitions of "scholarship" are deployed across the full range of institutional disciplines
ACCOUNTABILITY <small>How are individuals and institutions held liable for excelling in new assessment practices?</small>	TO SCALING <small>Accelerated uptake and continuous improvement</small> ADOPTION OF NEW PRACTICES <small>How are new definitions of "quality scholarship" formulated and applied?</small> Faculty have the ability to customize various measures to reflect their research interests and goals New standards, definitions, and criteria for evaluating the quality and impact of scholarship are integrated into the frequency and processes of new assessment practices
CULTURE WITHIN INSTITUTIONS <small>How are assessment practices perceived and adopted both within and outside of formal evaluation activities?</small>	DEBATING DELIBERATIVE JUDGMENTS <small>How are new definitions of "quality scholarship" formulated and applied?</small> Meaningful and appropriately rigorous qualitative practices for academic assessment, such as narrative CVs, are given due weight Structures and processes are applied consistently across assessment activities, using an iterative approach to refine and clarify points Use of new assessment mechanisms extend beyond traditional evaluation contexts into ensuring equitable opportunities, mentoring, and exposure to increase research and researcher diversity
EVALUATIVE AND ITERATIVE FEEDBACK <small>How are assessment outcomes and progress toward institutional values captured and continually improved upon?</small>	CAPACITY TO SUPPORT NEW ACTIVITIES <small>How are new definitions of "quality scholarship" formulated and applied?</small> Training on the goals and procedures of assessment processes and practices are accessible and continually maintained Institutions design processes take into account the resource capacity of committee members to effectively adopt new assessment practices, such as additional faculty on time Institutions have designated senior faculty or staff to ensure faculty capacity for new assessment practices and principles
	INTEGRATION INTO EXISTING SYSTEMS <small>How are new definitions of "quality scholarship" formulated and applied?</small> Assessment mechanisms can be flexibly applied and adapted to accommodate diverse disciplines Mechanisms to support practices are codified and written into institutional policies New processes and policies are seamlessly integrated and widely adopted
	TRANSPARENCY AND CLARITY OF GOALS <small>How are new definitions of "quality scholarship" formulated and applied?</small> The goals, principles, and practices of academic assessment are well defined and shared RPT activities are transparent and clearly articulated, and shared with participants Examples of "what good looks like" are articulated and shared to more concretely illustrate target outcomes and behaviors
	ADHERENCE THROUGH COMMITMENT <small>How are new definitions of "quality scholarship" formulated and applied?</small> Research evaluators self-monitor adherence to academic assessment principles and practice Senior leaders and committee members actively engage in equitable assessment practices during both formal and informal career development contexts Institutions model system-level accountability, such as ensuring that system-level incentives align with and support equity principles and practices
	PRODUCTIVITY IN ENGAGEMENT <small>How are new definitions of "quality scholarship" formulated and applied?</small> Individuals actively contribute to the development and review of new practices and principles Departments proactively broaden and conduct outreach activities to include new or nontraditional applicants Faculty serve as "ambassadors" for new academic assessment practices, such as when serving on external committee members
	INCLUSION AND ACCESS <small>How are new definitions of "quality scholarship" formulated and applied?</small> More diverse types of individuals are involved in both defining and participating in career advancement processes, such as including early career researchers in RPT committees Representation of nontraditional applicants meets or exceeds equity goals for both new hires and researcher retention Career growth and mentoring systems are intentionally designed to provide ongoing support for underrepresented hires
	ADVOCACY AT INSTITUTIONAL LEVELS <small>How are new definitions of "quality scholarship" formulated and applied?</small> Adoption of new assessment mechanisms is supported and advocated for by departmental and institutional leaders Institutions model system-level accountability in building more equitable practices—not just in research roles New research assessment norms are increasingly adopted as a default by faculty, administrators, and applicants
	REFLECTIVITY THROUGH REFLECTION <small>How are new definitions of "quality scholarship" formulated and applied?</small> "Practice futures," or intentional pause points to reflect on assessment practices and their downstream as usual practices is incorporated into both formal and informal assessment practices All participants in assessment activities feel prepared to share a balance of effectiveness and efficiency
	ARTICULATION OF DIVERSE INDICATORS <small>How are new definitions of "quality scholarship" formulated and applied?</small> Goals and success criteria for individual academic assessment initiatives are well defined and shared Use of leading indicators (e.g., increased diversity of inquiries for open positions), lagging indicators (e.g., increased diversity of inquiries for open positions), and embedded into assessment processes from the onset Best practices and examples of measurement and/or gathering feedback are codified and shared across disciplines within the institution
	SYSTEMATIZATION TO GAIN CONSISTENCY <small>How are new definitions of "quality scholarship" formulated and applied?</small> Quantitative and qualitative data from interventions are captured in a standardized way Mechanisms that capture both quantitative and qualitative feedback are explicitly designed and embedded into assessment processes from the onset Best practices and examples of measurement and/or gathering feedback are codified and shared across disciplines within the institution
	IMPROVEMENT USING FEEDBACK LOOPS <small>How are new definitions of "quality scholarship" formulated and applied?</small> Interventions that don't achieve desired outcomes are considered learning opportunities, not failures Outcomes and data are collected and monitored to ensure high standards of evaluation quality and clearly understood consequences or advice Feedback and other indicators are refined and/or examined to aggregate to identify and investigate patterns or opportunities for course-correction

ACTIVITY 1

Engaging the organization leadership

Possibly the activity that can have the most significant impact on organizational change, and in being able to develop and implement an RRA strategy, is to secure the 'buy in' of senior leadership.

This could be engagement with leaders at the very head of the organization, so Vice Chancellors and/or Directors of Research, but faculty and department leaders can be equally influential in recognizing the need for change within a local context and can then support the case for more widespread change^{13,14}.



CASE STUDY

University of Maryland

Find out how the Department of Psychology at the University of Maryland overhauled their evaluation policies¹⁵.



Leadership support for the RRA can help to mobilize the resources that are likely to be needed for the development and implementation of a strategy, including, but not limited to staff time; development of messaging and materials; and planning and delivery of engagement activities to support effective strategy implementation (e.g. town halls, webinars, workshops).

Seek out organization leaders who might have previously spoken out about the need for research assessment reform or who may have engaged with global initiatives such as DORA, or are advocates of other relevant institutional changes such as open science¹⁶, interdisciplinarity, community engagement, societal impact^{17,18}, research integrity and reproducibility, and may therefore be motivated to get involved with RRA efforts.



ACTIVITY 1

Engaging the organization leadership

While some organization leaders may be supportive of the need for research assessment reform, many leaders may have lived and worked through more traditional approaches to research assessment and be unfamiliar with the arguments or may not see the need for change.

Making time to listen to the perspectives of leaders can help you to shape the arguments and build the evidence and use cases for reform and within your own organization context. DORA has created a factsheet that presents ‘five common myths’ about research assessment and evaluation, based on real examples that can be useful to draw on when starting conversations with organizational leaders.



RESOURCE

Five Common Myths

Discover common myths about research evaluation reform, and how they exist both inside and outside of academia¹⁹.



Framing RRA as ‘evolution rather than revolution’ can be helpful in making the case to leaders.

An incremental approach can be especially helpful where there is skepticism about the potential benefits and/or impact of such change on the organization’s national or international competitiveness, or where there are limited resources to deliver any change.



ENGAGING THE LEADERSHIP

Things to Think About

How can you articulate the value proposition of RRA with your leadership?

What opportunities can you propose for leadership to engage with and learn from other institutions within (inter)national networks?

What steps can you take to understand current priorities and how can you integrate RRA principles within these rather than as a separate initiative?

How can you encourage leadership to actively involve the broader research community in shaping RRA principles and practices?

What role can you suggest leadership play in addressing potential resistance?

ACTIVITY 2

Working with the community at your organization

There are a range of communities across RPOs whose participation and engagement in RRA initiatives can be hugely important in driving change.

RPOs are home to diverse communities, working across research and professional roles, that can drive research assessment reform, including faculty researchers, early career researchers and students, librarians, administrators, and research managers. These communities are also working on trajectories such as open science, interdisciplinarity, societal impact to name a few, and joining forces may prove beneficial.

Faculty members, working across disciplinary areas and at all career stages, can be important champions for RRA. Early Career Researchers (ECRs) can be particularly engaged in conversations and initiatives that can have a very real impact on their current career progression²⁰. As such ECRs can bring fresh perspectives to organizational debates around academic incentives and their impact upon career progression (see [Spotlight on Early Career Researchers](#) on page 48).

Librarians, research managers and administrators help to shape and implement institutional policies that can guide assessment and evaluation frameworks, including setting out the criteria and information that could be included.

It can also be helpful to engage individuals or groups outside of your organization, including community groups that might partner with your organization and alumni of the organization who may be working in a variety of roles across sectors and industries.



WORKING WITH THE COMMUNITY Things to Think About

Who are the different communities and their (in) formal leaders that have been encouraging discussions about RRA in your institution?

How can you tailor your engagement strategies to effectively reach and involve the different communities interested in and affected by RRA, including those who left academia?

How can you create opportunities for faculty researchers to become champions for RRA within their disciplinary and expertise areas?

How will you ensure that ECRs and societal partners, who can bring fresh perspectives on academic incentives and impacts, have meaningful opportunities to influence RRA principles and practices?

In what ways can you empower librarians and research managers and administrators to contribute with their expertise?



RESOURCE

[Advancing Research Impacts](#)

Explore how the U.S. societal impact community is transforming universities to align research with societal needs²¹.



ACTIVITY 2

Working with the community at your organization

Engaging the broader community in discussions around the value of research can help to ensure that the real and tangible benefits to society, innovation, and economy are considered in approaches to research assessment.

As such, to ensure that the RRA framework is authentic, relevant and widely accepted, a comprehensive consultative process involving surveys, open forums, and feedback mechanisms is advisable, to gather input and distribute ownership from the diverse communities within the RPO. This aims to include their perspectives and secure their advocacy and involvement - perhaps as part of a working group or task force ([activity 4](#)) - which means they will be equipped for, invested in, and empowered to make the case for research assessment reform.

As you reflect on your community engagement strategy ([activity 8](#)), consider if tailored communication, training and resources for faculty, ECRs, librarians, and research managers and administrators are needed to ensure they understand RRA principles and their respective roles in its implementation. Be aware of power imbalances arising from career stage, varying levels of central vs. local implementation autonomy, disciplinary resistances, and historical prioritization of academic roles in research assessment reform efforts.



CASE STUDY

University of Tokyo

Learn how the University of Tokyo engaged with the broader research community at multiple levels across their organization²².



ACTIVITY 3

Mobilizing resources to develop and implement an RRA strategy

Ensuring that you have the resources - people, time, materials - to develop an RRA strategy is as important to its success as securing the initial buy-in and commitment to develop the strategy.

Despite good intentions, many approaches or strategies lack the potency to have their intended impact because they have been poorly implemented.

When thinking about developing a strategy that might require significant resources, consider starting small and pilot test an approach to help you to understand the potential resource and broader implications of a new approach or changes.

Pilot testing can help you provide real evidence of the likely impacts and secure buy-in to a new approach while mitigating the risks and allow you to get things right before considering scaling.



CASE STUDY

University of Glasgow

Learn about how the University of Glasgow mobilized resources to support the implementation of its RRA strategy²³.



MOBILIZING RESOURCES

Things to Think About

What resources do I need, how much it will cost and over what timespan?

What compelling arguments can you present to secure the necessary (financial) resources?

Are there resources or networks that currently exist in your organization that you can repurpose or lever to support RRA efforts?

What can you implement to support and value those engaged in reviewing criteria, developing tools, and participating in training initiatives?

Looking beyond the initial implementation phase, how will you ensure sustained commitment of resources and leadership attention?



ACTIVITY 3**Mobilizing resources to develop and implement an RRA strategy**

Things that you may need resources for include:

- ◆ Seizing opportunities to talk about what you are doing and why

↪ Chapter 2, Activity 1

- ◆ Recruiting and rewarding members of a working group or task force

↪ Chapter 2, Activity 4

- ◆ Developing the working group's remit and expected time commitment

↪ Chapter 2, Activity 4

- ◆ Engaging with (inter)national networks for learning and collaboration

↪ Chapter 2, Activity 5

- ◆ Reviewing and aligning existing institutional policies and processes

↪ Chapter 2, Activity 6

- ◆ Drafting and writing the strategy and associated guidance

↪ Chapter 2, Activity 7

- ◆ Developing a communications and roll out plan and actioning it

↪ Chapter 2, Activity 8

- ◆ Ongoing monitoring and evaluation of the overall RRA implementation

↪ Chapter 2, Activity 9

- ◆ Phasing or pilot testing of RRA approaches, and analysis of impact

↪ Chapter 3

- ◆ Creating training and ongoing support and guidance materials

↪ Chapter 3

- ◆ Adapting IT systems for RRA (e.g., diverse contributions, narrative CVs)

↪ Chapter 3

ACTIVITY 4

Convening a working group/ task force

Bringing together a group who possess the expertise, experience and can provide broad representation across the organization to drive change can lead to increased awareness and commitment to the RRA strategy.

Ideally the group should include individuals who are both motivated by RRA and have the remit (and time!) to get things done. If possible, try to secure an organization sponsor (e.g. an RRA advocate from the organization's leadership) to support the group and help to provide visibility for their work among the organization leadership.

Develop a 'Terms of Reference' for the working group that outlines the responsibilities of working group members, including things like attending meetings, providing expertise for specific activities (such as a communication plan, feedback mechanisms), and helping to develop and implement the strategy itself.

Assigning individuals to specific roles within the working group can be useful, particularly if they have relevant professional skills, such as coordinating with senior management, managing finances, creating communication plans, or overseeing monitoring and evaluation efforts.

Group members will also need access to resources to deliver the work required – and as noted in [activity 1](#), this is where senior leadership 'buy-in' can be especially helpful if, for example, funds or administrative capacity is required to support the activities needed.



CONVENING A TASK FORCE

Things to Think About

How can you ensure that diverse perspectives (researchers at all career stages, administrators, and your broader community) are meaningfully included?

Are there any RRA experts that could join or advise your group/task force?

What existing committees or working groups can you connect with to ensure alignment and long-term sustainability/hand-over?

What arguments and evidence can you present to leaders to ensure they actively champion the task force's work?


What mechanisms (e.g. consultations, town halls, surveys) will you use to maintain transparency in the process?

How will you ensure that members contribute meaningfully without being overburdened, balancing formal leadership with distributed ownership?

ACTIVITY 4


Convening a working group/task force

Consider carefully how you select or recruit individuals who might serve on a working group and try to adhere to principles that are aligned with RRA such as operating a transparent application process. Equally, consider how your organization's mission and its community can be represented in the membership of the working group (e.g. early career researchers; patients and publics; indigenous involvement).

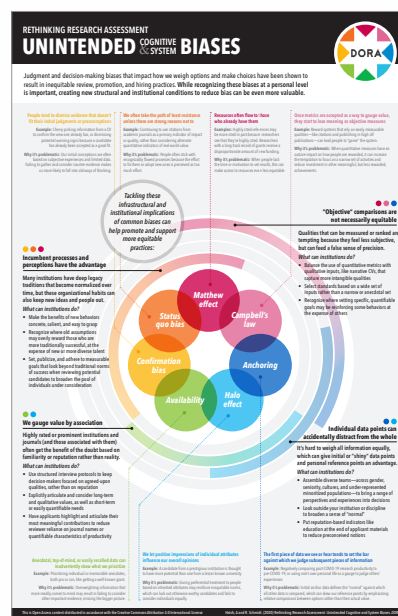


Unintended System Biases

Read on how institutional and infrastructural implications of personal biases influence hiring, promotion, and tenure decisions²⁴.




RESOURCE




Remember that engagement in RRA across the organization might not sit only with those typically involved in RRA; individuals involved in initiatives focused on research culture and diversity, research integrity, and open science and scholarship are likely to be active supporters of the principles of RRA and important allies!

Finally, as the group forms, consider if training related to RRA might be helpful, such as debiasing and unconscious bias or Equity, Diversity and Inclusion (EDI) monitoring.



Debiasing Committee Composition

Get inspired by these strategies for including more perspectives and reducing biases in the evaluation processes²⁵.



RESOURCE



ACTIVITY 5

Exploring the landscape for RRA

There are an increasing number of global initiatives focused on driving RRA and aligning your proposals with these movements can strengthen the case for change in research assessment.

Exploring affiliations with organizations like DORA and those set out in [Chapter 4](#), shows commitment and intent towards RRA and can spark discussions with the leadership and other influential groups within your organization, such as early career researchers.

Organizations sit within a broader system and researchers are influenced by policies from their organization, as well as those from their funders, collaborators' institutions, and national or regional requirements. In shaping your own approach to RRA, explore how other organizations manage research assessment.

It may be expedient to align your organization's RRA approaches with those of peers or other influential organizations.

For example, check the policies of local and national funders and academies, and/or whether any policies are subject to updates that might impact your organization.



EXPLORING THE LANDSCAPE Things to Think About

What (inter)national initiatives are your community already connected to – such as university associations and academies – that can support your RRA efforts?

Are your national or regional evaluation systems moving towards more RRA practices?

Are the policies of other similar RPOs changing, or those of your biggest collaborating organizations?

Do funding and assessment agencies encourage a diversity of research outputs, have open research mandates, or are using narrative CVs in their processes?

How can you influence current initiatives with the experience and expertise of your approaches?



RESOURCE

Dimensions of RRA

Discover 11 dimensions set by the Global Research Council to articulate funders' vision of RRA and their plan to embed RRA principles²⁶.



ACTIVITY 5

Exploring the landscape for responsible research assessment

[Chapter 4](#) of this Guide provides examples of some of the most well-known organizations and initiatives active in the research assessment and related spaces. Over the last decade DORA has built a rich resource of case studies, toolkits and guidance documents to help organizations share innovations and learn from each other. In addition, Reformscape provides examples of RRA practices that are being used particularly for hiring, promotion, and tenure decisions across research performing organizations.



RESOURCE

[DORA Case Studies](#)

Explore these innovative stories highlighting key elements of institutional change to improve academic career assessment².



RESOURCE

[Reformscape](#)

Explore how academic institutions worldwide are reimagining their hiring, review, promotion and tenure processes⁴.

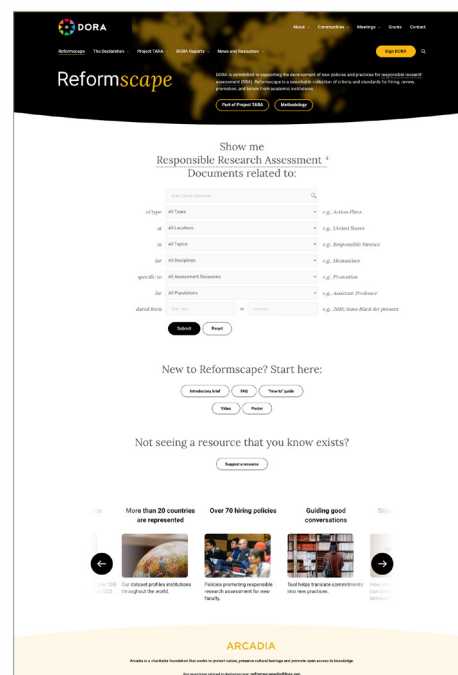


CASE STUDY REPORT

Reimagining Academic Career Assessment: Stories of innovation and change

Bregt Saenen (EUA), Anna Hatch (DORA), Stephen Curry (DORA), Vanessa Proudman (SPARC Europe) and Ashley Lakoduk (DORA)

January 2021



ACTIVITY 6

Reviewing current assessment practices

Before developing a new or revised approach to research assessment, we recommend that you conduct a review or audit of existing research assessment practices being used across your RPO.

This will help you to understand current research assessment practices and associated incentives or guidance being issued to researchers and therefore allow you to assess whether current practices might conflict with RRA principles. Such a review should consider the processes and criteria used in recruitment, hiring, tenure and promotion; making awards and funding decisions; evaluating internal research units; and developing corporate communications (see [Chapter 3](#) for more detail).

Researcher evaluation is often decentralized at most RPOs, with practices varying across faculties or departments. Talk to those responsible for research assessment in different areas to understand current practices, such as the use of quantitative indicators or narrow definitions of impact.

Try to gather opinions on what works, what needs improvement, and where change is needed.

Ideally, if you have resources, consider using participatory methods such as discussion or focus groups, surveys, and interviews to compare practices and set priorities.



ACTIVITY 6

Reviewing current assessment practices

Also, explore any past efforts to change research assessment approaches and the challenges that may have been encountered. Understanding views on research assessment can help you to identify areas that may need particular focus in your organization and where you may need to emphasize the benefits of making change, as well as identify advocates for change.

Creating a supportive environment by listening to different perspectives can also help you to constructively address reticence and build the case for alternative approaches.



REVIEWING CURRENT PRACTICES

Things to Think About

Does your organization have existing policies that are currently used to guide research assessment practices?

Have there been any studies or surveys on attitudes to RRA or research culture across your organization?

Are there variations in attitudes to research assessment across your organization?

Who is involved and what are the dependencies between policies, practices and training across different levels of your institution?

Can you celebrate existing initiatives and champions that could demonstrate the benefits of RRA early in the process?

ACTIVITY 7

Developing a strategic vision for RRA

An important consideration that can support acceptance and uptake of your strategy is the extent to which it is aligned to the organization's mission.

If, for example, your organization places a focus on encouraging the next generation of innovators, building interdisciplinary work and/or team science, fostering inclusive research environments, or promoting open science practices, consider how to build a research assessment strategy that incentivizes and rewards these things^{27,28,29}. Some other examples are below.

As noted in [activity 1](#), senior leadership support can be crucial when developing an RRA strategy and especially where you can show how it can underpin the organization's goals. Use meetings or presentations with senior leaders – if you have a working group ([activity 4](#)) perhaps invite them to be part of the presentation to senior leaders to highlight the benefits, address potential risks, and explain how misalignment could affect organizational goals and key performance indicators.



If your organization focuses on...

Encouraging the next generation of innovators

Building interdisciplinary work and/or Team science

Fostering inclusive research environments

Promoting open science practices

Consider approaches to RRA that ...

Encourage and reward researchers who proactively undertake student mentoring.

Incentivize researchers to openly share and talk about the diversity of their contributions and research outputs in any reporting or research assessment requirements.

Encourage researchers to make the full range of their research outputs discoverable and available for use and reuse.

ACTIVITY 7

Developing a strategic vision for RRA

Share clear evidence of RRA's advantages and identify cultural or structural challenges, using audits or consultations for reference. And where possible, provide specific solutions to overcome these obstacles.



CASE STUDY

Aalborg University

Find out how Aalborg University has linked responsible research assessment to the university's strategic goals³⁰.

DEVELOPING A STRATEGIC VISION
Things to Think About

How can you leverage existing priorities and frameworks in your arguments to advance RRA?

Considering the distributed ownership of RRA, who could you involve in co-developing this strategic vision?

How can the vision accommodate for the potential challenges such as lack of institutional evidence about RRA?

What opportunities exist in the landscape that you can leverage to preventively address potential resistance?

How will you define short-term wins and long-term goals to create a lasting cultural change?



ACTIVITY 8

Developing effective engagement and communication plans

Effective communication about how and why your organization is developing an RRA agenda will help to secure the engagement and active participation of staff across the organization.

Engaging with and being transparent to affected parties about new policies and the details of any new assessment approaches can also help to mitigate confusion and avoid concern that new approaches may be seen as opaque and prone to favoritism and bias. Creating a “community of practice” or an ambassador program could help promote awareness, engagement, and provide feedback to keep RRA efforts aligned with organizational needs.

Where possible, ensure the early participation of communication and marketing experts at your organization in the creation of materials and messaging about the organization’s direction of travel towards RRA. Importantly, try to be consistent in how you talk about RRA, from signing up to initiatives such as DORA to launching an RRA strategy, to make the journey towards implementation of a new approach easier. [Chapter 3](#) provides some specific examples of where and how to frame communication and messaging during research(er) assessment.



CASE STUDY

[University of Calgary](#)

Read how the University of Calgary combined high-level institutional implementation with on-the-ground buy-in across Faculties and units³¹.



Leaders and advocates from across the organization can contribute to ensuring messages are effective and widely understood, and that they align with leadership priorities. RRA advocates may be spread across different roles, not just research management.



ACTIVITY 8

Developing effective engagement and communication plans

Messages should explain the benefits of RRA, why it's necessary now, and the impact of not adopting it.

Use real examples to illustrate how others have successfully implemented these approaches, making the concept clearer for those unfamiliar with RRA.

When your strategy is ready, consider creating a launch plan that ideally includes opportunities for engagement and feedback during launch and in the post-launch period. Launch activities might include blog posts; social media announcements; newsletters; news or commentary articles or more interactive fora such as through town halls or webinars for departments or across the organization. Following launch, you are likely to receive questions and feedback; if possible, try to provide a simple route for questions and feedback to be submitted and captured.



CASE STUDY

Queensland University of Technology

Find out how Queensland University of Technology (QUT) announced its revised approach to research assessment³².



Consider, for example, setting up a dedicated email address or feedback form that can be linked to your RRA materials (e.g. RRA website). You may also consider developing some Frequently Asked Questions (FAQs) to support engagement and understanding with research assessment reform and specifically at your organization.



CASE STUDY

Concordia University

Find out how Concordia University announced becoming a signatory of DORA in 2025³³.



EFFECTIVE COMMUNICATION Things to Think About

How will you disseminate your strategy? Do you need a communication plan?

Have you engaged communication expertise in your messaging?

Have you gained the input of senior leadership in your communication plan and messaging?

Have you clearly articulated the use cases and why RRA is needed at your organization?

Do you have some real examples from other organizations to include in your RRA materials?

ACTIVITY 9

Monitoring and updating your strategy

Organizations need data and information to help them to reflect and evaluate their strategy's effectiveness, identify successes, and address areas for improvement.

RRA emphasizes regular reflection and review. A solid RRA strategy should ideally include mechanisms for reflection, use evidence to guide decisions, and be transparent about its impact, building credibility in research assessment.

Gathering information on the uptake and impact of a strategy can provide useful insights. This might range from tracking participation in the strategy's launch, such as attendance at events, and collecting feedback from applicants. Monitoring key aspects of recruitment and promotion, like applicant numbers, demographics, or outcomes, can reveal areas of change.

Comparing data from before and after implementation, as well as across departments or organizations, can also help you to identify the strategy's key impacts and foster broader comparisons as RRA practices become more common.

This can also help your RPO to identify any unintended consequences and take steps to mitigate these, helping to improve outcomes as well as to minimize resistance to change.

Active communication and engagement about the impacts of implementing RRA practices – and with researchers from across career stages and across the organization – can help to build trust in the changes and build further buy-in for change across the organization ([activity 8](#)).



MONITORING YOUR STRATEGY Things to Think About

How will you use your communication and dissemination plans to keep an open iterative change process with your communities?

What indicators can you use to track progress and your definition of success?

Who will own addressing feedback and updating the strategy?


How will you adapt to new (inter) national developments in RRA?

What will you do to keep leadership, researchers, and staff engaged with the strategy?

ACTIVITY 9


Monitoring and updating your strategy

Tools and approaches to capture relevant data and feedback to support monitoring and evaluation include embedding information in your organization research management system, creating simple feedback forms and surveys linked to specific practices designed to deliver RRA (e.g. recruitment practices, use of narrative CVs), and perhaps through the establishment of a dedicated website and email address or feedback box.




SPACE Rubric

Gauge the current state of infrastructural conditions to support reform initiatives and interventions using the SPACE rubric¹¹.




RESOURCE

There are several example frameworks that provide useful templates for RPOs seeking to shape reflexive approaches (see DORA SPACE Rubric¹¹ and the SCOPE framework for research evaluation³⁴ created by INORMS).



SCOPE Framework

Developed for research assessment, the reflective approach of SCOPE can also help your reflection of the evaluation of your RRA strategy³⁴.



RESOURCE

RETHINKING RESEARCH ASSESSMENT SPACE TO EVOLVE ACADEMIC ASSESSMENT A RUBRIC FOR ANALYZING INSTITUTIONAL PRACTICES, INDICATORS AND CONDITIONS FOR SUCCESS		
Research and researcher assessment is a systems challenge, suggesting that institutions that prioritize developing infrastructures to support their efforts may be better positioned to achieve their goals than those focused only on individual solutions.		
FROM FOUNDATION...	TO EXPANSION...	TO SCALING
STANDARDS FOR SCHOLARSHIP How are new definitions of "quality scholarship" formulated and applied? The standards are explicitly designed and articulated alongside institutional mission and values, with accompanying metrics and systems for monitoring and reporting. Standards are new, with standards for scholarship considering the broader ecosystem, including training, mentoring and career development. Specific definitions and standards of "quality" with regard to scholarship are articulated and shared across disciplines and across academic communities.	DIVERSIFICATION OF STANDARDS Not all research is created equal. Scholarship is assessed using diverse indicators (e.g., societal impact, equity of assessment) to a full range of diverse institutional contexts and forms of scholarship, to support diverse research. Indicators of quality recognize more individualized activities and accomplishments. The new criteria. New definitions of "scholarship" are designed across the full range of institutional disciplines.	ADOPTION OF NEW PRACTICES The standards are... Institutions have the ability to implement some measures to reflect their research interests and goals. The standards, definitions and criteria for including the quality and impact of scholarship are integrated into the ongoing and persistent of new assessment practices.
PROCESS MECHANISMS AND POLICIES How are new practices incorporated into existing structures, processes, and institutional policies? Meaningful and appropriately rigorous qualitative measures, the academic community, such as narrative CVs, are given due weight. Processes and policies are aligned consistently across assessment activities, taking into consideration disciplinary and training paths. Use of new assessment mechanisms extends beyond traditional evaluation towards the ongoing facilitation, opportunities, mentoring, and relations to increase research and research diversity.	CAPACITY TO SUPPORT NEW ACTIVITIES Training on the goals and practices of assessment practices and processes are accessible and continuously available. Increasing support for new activities. The research capacity of committee members is enhanced, along with assessment practices, to assess and reward research on time. Institutions have developed some functions or offices to ensure faculty capacity for new assessment practices and projects.	INTEGRATION INTO EXISTING SYSTEMS Assessment mechanisms can be flexibly applied and adapted to accommodate diverse disciplines. Institutions support practices and policies and create new institutional policies. New practices and policies are seamlessly integrated and widely adopted.
ACCOUNTABILITY How are individuals and institutions held liable for results on new assessment practices? The goals, principles, and practices of academic assessment are transparent and clearly articulated, and are expected to be followed. Institutions have clearly defined expectations for adherence to academic assessment practices. Examples of "what good looks like" are valued and shared to ensure consistency in the target outcomes and behaviors.	ADHERENCE THROUGH COMMITMENT Research evaluation self-interests, adherence to academic assessment practices and principles. Senior leaders and committee members actively engage in academic assessment practices and both formal and informal career development activities. Institutions model engagement-level accountability, such as ensuring that systems have consequences with and support agreed upon principles and practices.	PRODUCTIVITY IN ENGAGEMENT Individuals actively contribute to the development and execution of assessment practices and conduct research in assessment practices and conduct research in assessment practices. Faculty serve as "ambassadors" for new academic assessment practices, both in their own and in other academic departments.
CULTURE WITHIN INSTITUTIONS How are assessment practices promoted and adopted both within and across different evaluation activities? These diverse types of individuals are included in both defining and participating in assessment practices, such as including early career researchers and non-academic members. Representation of assessment practices is made in all relevant spaces, both in the formal and informal. Career growth and mentoring systems are designed to support the ongoing engagement for underrepresented lines.	ADVOCACY AT INSTITUTIONAL LEVELS Adoption of new assessment mechanisms is supported and encouraged by the department and institutional leaders. All individuals actively contribute to building more equitable practices—not just intended but also realized. New research assessment needs are increasingly adopted as a default by faculty, committees, and applicants.	RELEVANCE THROUGH REFLECTION "Practice makes perfect" is not enough. Institutions have the capacity to reflect on their assessment practices and to make adjustments. Institutions have the capacity to reflect on their assessment practices and to make adjustments.
EVALUATIVE AND FEEDBACK How are assessment practices and programs evaluated and improved based on ongoing and continuous improvement efforts? Goals and metrics are clearly articulated and well-defined and are used to monitor and report on progress. Use of leading indicators (e.g., increased diversity of participation, increased diversity of topics) after program implementation. Goals and assessment criteria are automatically updated to ensure relevance and strategic impact.	SYSTEMATIZATION OF GOAL CONCEPTS The goals are... Quantitative and qualitative data from observations are reported to a centralized system. Decisions that guide both quantitative and qualitative feedback are explicitly reported and included in the assessment process. Best practices and examples of assessment and/or gathering feedback are collected and shared across disciplines within the institution.	IMPROVEMENT USING FEEDBACK DATA Institutions that do not address desired outcomes, or are not transparent in their efforts, are less likely to receive high levels of academic quality and research. Institutions that do not address desired outcomes, or are not transparent in their efforts, are less likely to receive high levels of academic quality and research.





Key moments in research and researcher assessment

This Chapter provides tips on how organizations can embed RRA practices into policies and practices that impact upon researchers at crucial points in their careers.

Specifically during recruitment and promotion decisions, when providing awards and allocating grants, when evaluating research units, and in corporate communications.

3.1 Recruitment, hiring, and promotion decisions

3.2 Institutional awards and internal grants

3.3 Evaluating internal research units

3.4 Developing corporate communications



SPOTLIGHT ON

Narrative CVs

Narrative CVs are an alternative to traditional academic CVs that allow researchers to present their achievements, skills, and contributions through a descriptive, contextualized format.

RATIONALE The adoption of narrative CVs aims to promote diversity, equity, and inclusion within the research community by recognizing varied experiences and reducing biases inherent in conventional assessment methods and allows researchers to ‘tell their story’.

They allow candidates to describe their key contributions in research, and why they are important; moreover, researchers can provide evidence of their specific role to each research output, describe their competencies, their mobility experiences and their career paths, providing a richer, more qualitative understanding of a researcher's profile and impact.

Organizations such as the UK funder UK Research and Innovation (UKRI) have implemented narrative CVs formats³⁵ (see UKRI's [Resume for Research Information](#)) to support a healthier research culture and to align with RRA principles. In addition, narrative CVs encourage applicants to reflect on their personal and professional growth, fostering a more holistic approach to career development³⁶.

IMPACT Since the introduction of narrative CVs as a tool to support RRA, several studies have assessed the difference that their use can make. While the evidence is variable thus far, there is a consensus emerging that narrative CVs can reduce bias in researcher assessment processes while shining a light on sub-optimal practices³⁷.

SPOTLIGHT ON NARRATIVE CVs

Instead of focusing solely on metrics like publications and grants, narrative CVs typically enable researchers to provide information across four areas:

Contributions to knowledge

The generation of new ideas, tools, and methodologies

Collaborations, teamwork and developing others

Contributions to team working and the development of others

Wider research impact

Contributions to the wider research and innovation community

Broader societal impact

Contributions to broader research/innovation users and audiences, and towards wider societal benefit

This approach and many other diverse approaches provide a more holistic view of a researcher's career by emphasizing the quality and significance of their work rather than just quantitative outputs.

Narrative CVs are increasingly used in research funding and hiring processes to promote fairness, diversity, and a more comprehensive assessment of academic contributions.

**RESOURCE****[How to Use Narrative CVs](#)**

Tip sheet on how to optimize, evaluate and iterate on the use of narrative CVs for funding decisions³⁸.



SECTION 3.1

Recruitment, hiring, and promotion decisions

There are a range of interventions that institutions can implement to align with RRA throughout recruitment, promotion and/or tenure.

Recognizing the diverse contributions and talents of researchers, prioritizing qualitative evaluation, moving away from inappropriate metric use, and ensuring a fair and transparent process in hiring, review, promotion and/or tenure are the cornerstones of RRA. Objectives include to foster diverse career paths, ensuring transparency in assessment processes, and actively involving the academic community in these reforms, as discussed in [Chapter 2](#).

[Table 1](#) presents possible approaches that organizations can take to ensure RRA at key moments in recruitment, hiring and promotion processes.

**CASE STUDY**[Open University](#)

Find out how Open University created a new promotion track for researchers doing publicly engaged work³⁹.



The DORA team, in partnership with the Luxembourg National Research Fund (FNR), has created a video that presents a helpful overview for research evaluators involved in recruitment and promotion.

**RESOURCE**[A Practical Guide for Evaluators](#)

A guide for funders of research seeking to promote a more holistic approach to the evaluation of funding proposals⁴⁰.



TABLE 1

Assuring RRA in recruitment and promotion processes

Approaches organizations can take to ensure RRA at key moments in recruitment, hiring and promotion processes.

KEY MOMENT	SUGGESTED INTERVENTION TO SUPPORT RRA
Creating a hiring or promotion committee	<p>When putting together your hiring/promotion committee or panel, ensure that members are:</p> <ul style="list-style-type: none"> • Equipped with the appropriate tools and information to enable them to practice RRA (e.g. aware of any institutional RRA strategy and associated assessment criteria). • Trained in making decisions that avoid bias and are RRA aligned (e.g. unconscious bias or debiasing training). • As representative and inclusive of the academic community as possible, to promote an inclusive approach to decision-making.
Creating and posting job adverts	<p>When creating job advertisements or promotion application notices:</p> <ul style="list-style-type: none"> • Ensure that the applicant eligibility requirements do not inadvertently censor out potentially qualified applicants. • Ensure job adverts clearly convey the organization's mission and commitment to responsible research(er) assessment. • Emphasize the importance placed in recognizing a broad range of research outputs, career experiences and competences, including societal contributions, teamwork, and interdisciplinarity. • Publish your job advertisement across a range of platforms that enable you to reach a diversity of individuals. • Where possible, provide options for applicants to ask questions and receive support where appropriate.
Creating application material and criteria	<p>When creating applicant forms and associated instructions and/or notices:</p> <ul style="list-style-type: none"> • Ensure they are transparent and easily discoverable by potential candidates. • Provide FAQs and/or a contact point so that individuals can pose questions that can help them optimize their application. • Ensure that the criteria is directly relevant to the role and/or tenureship and do not request information that is not aligned with RRA principles (and your institutional RRA strategy) or that would inadvertently censor out potentially qualified applicants. • Structure them to allow applicants to present a 'balanced and broad' spectrum of their competences and achievements. • Consider requiring a narrative CV and/or include questions about areas of impact that align with your institutional goals, such as public or patient engagement and knowledge mobilization (see Spotlight on Narrative CVs on page 36).

TABLE 1 (continued)

Assuring RRA in recruitment and promotion processes

Approaches organizations can take to ensure RRA at key moments in recruitment, hiring and promotion processes.

KEY MOMENT**SUGGESTED INTERVENTION TO SUPPORT RRA****Triaging applications****When triaging applications:**

- Create a standard set of criteria upon which to assess applicants.
- Train the staff performing the triage to follow the criteria and avoid any deviation that might introduce bias into the selection process (especially if triaging is not done by a member of the committee).
- If you are capturing applicant data for monitoring purposes - such as tracking diversity or recruitment trends - ensure the data is anonymized or pseudonymized where possible.
- Where possible, provide a route for applicants to receive feedback, including those not selected, especially after interview.

Interviewing candidates**When interviewing candidates, interview committees can:**

- Use a standardized set of interview protocols and questions that are given to all applicants to avoid the potential for bias.
- Offer candidates advanced sight of question areas to be covered, allowing time for reflective responses and reduce language bias.
- In advance or at the start of the interview, inform candidates about the interview process and structure, and how they will be assessed.

Onboarding and researcher development in new positions**When welcoming candidates to new positions, consider:**

- Providing post-hire support, with individual development plans, regular meetings and discussion, and periodic evaluation to identify areas for support to ensure academic success.
- Ensuring that new staff or promotion information is captured properly in research management and information systems, and that the information that is captured is aligned with RRA.
- Providing training, especially for heads of departments and team leads, to share the organization's approach to RRA.
- Gathering regular staff feedback on working practices and research assessment practices on the ground.

Evaluating hiring and promotion process**Try to build in ways for you to reflect on process from the candidate and recruiter perspective. For example:**

- Introduce a post-recruitment process feedback form, for candidates/ applicants and recruitment team members.
- Aim to keep feedback forms:
 - simple
 - anonymous where possible - include contextual information that can be used in the aggregate to ensure you are aware of trends according to specific characteristics (e.g. gender, career age)
 - applicable to different departments and faculty to enable comparisons and benchmarks

SECTION 3.2

Institutional awards and internal grants

Ensuring fairness and reducing bias in awarding grants, prizes, and funding is a key part of responsible research assessment.

Internal awards and funding competitions may be a relatively easy place for institutions to consider piloting and experimenting with RRA changes. Awards recognizing broader impacts of research do not need to cost the institution money and internal funding calls that already exist can be reframed to align with RRA best practices.

RPOs also receive funding from agencies who have developed their own standards and policies, for example, requiring open access publishing and full data sharing. To support their researchers, RPOs must stay up-to-date on these policies and work towards aligning their own policies with broader research system requirements.

Many RPOs have also developed approaches to allow some internal flexibility to support researchers who may not be in receipt of dedicated external funding. For example, through the creation of organization funding reserves or pooled funding pots, monies can be shared across research teams to support specific activities and to align with an RRA strategy.

These combined efforts help RPOs navigate funding constraints while fostering a research culture that values integrity, inclusivity, and academic freedom.

Through its engagement with research funding agencies, the DORA team has produced a guide that can help organizations keep funding calls simple and effective⁴¹.

[Table 2](#) presents possible approaches that organizations can take to ensure RRA at key moments in making institutional and grant awards.



TABLE 2

Assuring RRA in institutional and grant awarding

Approaches organizations can take to ensure RRA at key moments in making institutional and grant awards.

KEY MOMENT

SUGGESTED INTERVENTION TO SUPPORT RRA

Award determination

When establishing awards and grants, RPOs can:

- Ensure alignment with the RPO's strategy and institutional profile and its RRA commitments, including, for example, mission-oriented and open research, indigenization and decolonization.
- Provide enough time for applicants to be aware of, and prepared for, submission, including establishing relationships and gathering necessary evidence for new assessment methods.
- Ensure fair opportunities for younger and under-represented groups of researchers.

Grant funding panels or committees

Establish a judging panel that is:

- Equipped with the appropriate tools and information to enable them to practice RRA and ensure their focus is [balanced and broad](#)⁴⁰ (e.g. be aware of any organizational RRA strategy and associated assessment criteria). Be clear about the key foci for making a decision, e.g. to assess research proposals on potential and feasibility rather than solely on the applicant's track record (and the proxy of using publication records).
- Trained in making decisions that avoid bias and are RRA aligned (e.g. unconscious bias or debiasing training). Consider using pre-established rubrics/matrices during evaluation.
- Equipped to consider a diversity of research outputs and contributions in their decision-making, unless prizes of grants are targeted at specific skills or outputs.

Award nomination and/or grant funding calls

When issuing award nomination notices or grant funding calls:

- Ensure that the criteria that individuals use in choosing when and whether to apply or nominate for an award or prize, or to apply for a grant, are clear, open and transparent, focused on the quality and impact of scholarship.
- Ensure that the criteria for applicant eligibility do not inadvertently censor nominations or potentially valuable grant applications.
- Base assessment primarily on qualitative evaluation, with peer review as a central component, supplemented by the responsible use of quantitative indicators.



RESOURCE

[Balanced and Broad](#)

Find out more about how to conduct balanced and broad research assessment at your organization⁴⁰.



TABLE 2 (continued)

Assuring RRA in institutional and grant awarding

Approaches organizations can take to ensure RRA at key moments in making institutional and grant awards.

KEY MOMENT**SUGGESTED INTERVENTION TO SUPPORT RRA****Award nomination/grant application forms****When creating nomination or grant application forms and associated instructions and/or notices:**

- Ensure that the information requested is directly relevant to the award or grant and does not request information that is not going to be used or is not aligned with RRA principles (and your institutional RRA strategy).
- Structure nomination or application material to enable applicants to contextualize their research achievements. Consider requiring narrative formats alongside quantitative information (see [Spotlight on Narrative CVs](#) on page 36).

Communication around awardees/winners**When issuing communication around award winners:**

- Ensure that the communication is done in consultation with the awardees and winners and is sensitive to unsuccessful applicants and emphasizes the RRA attributes of the winners.
- Ensure that communication does not deter future applicants.
- Ensure that communication around grant awards uses inclusive language and that any messaging aligns with institutional values.
- Provide feedback to all applicants.

After award and grant cycle is complete**Once an award cycle is complete, an organization can:**

- Consider building feedback mechanisms into your awarding and decision-making processes to enable monitoring and reflection.
- Closely monitor application and awarding patterns so that any potential biases can be identified early and remedied where possible.
- Share assessment data and evaluation results with the broader research community to foster transparency and gather feedback.
- Share how it is acting on feedback from each annual review to enhance and embed new RRA practices in collaboration with the community.

SECTION 3.3

Evaluating internal research units

Institutional assessment of units and teams have important implications for those being assessed, and should be intentionally aligned with overall RRA principles and strategy, and with institutional mission and values.

Research evaluation of units involves assessing entities such as university departments, research centers, and infrastructures to analyze and value their quality, impact, relevance, and productivity.

Key areas of focus include the assessment of research activities through accreditation, evaluation of research quality, societal contribution, and viability, with an emphasis on the unit's goals and strategies, typically focusing on development, profiling, optimization, and improvement. These processes are often influenced by external national and international processes, such as quality and accreditation procedures.

Some organizations use research evaluation of units to monitor and fund their research structures by evaluating groups, distributing the budget between departments and institutes using performance-based funding.

Through a contractual component within their internal system for distributing the core budget for research among faculties and/or institutes, RPOs can make sure that RRA approaches trickle down within different governance structures.

[Table 3](#) presents possible approaches that organizations can take to ensure RRA at key moments during research unit evaluations.

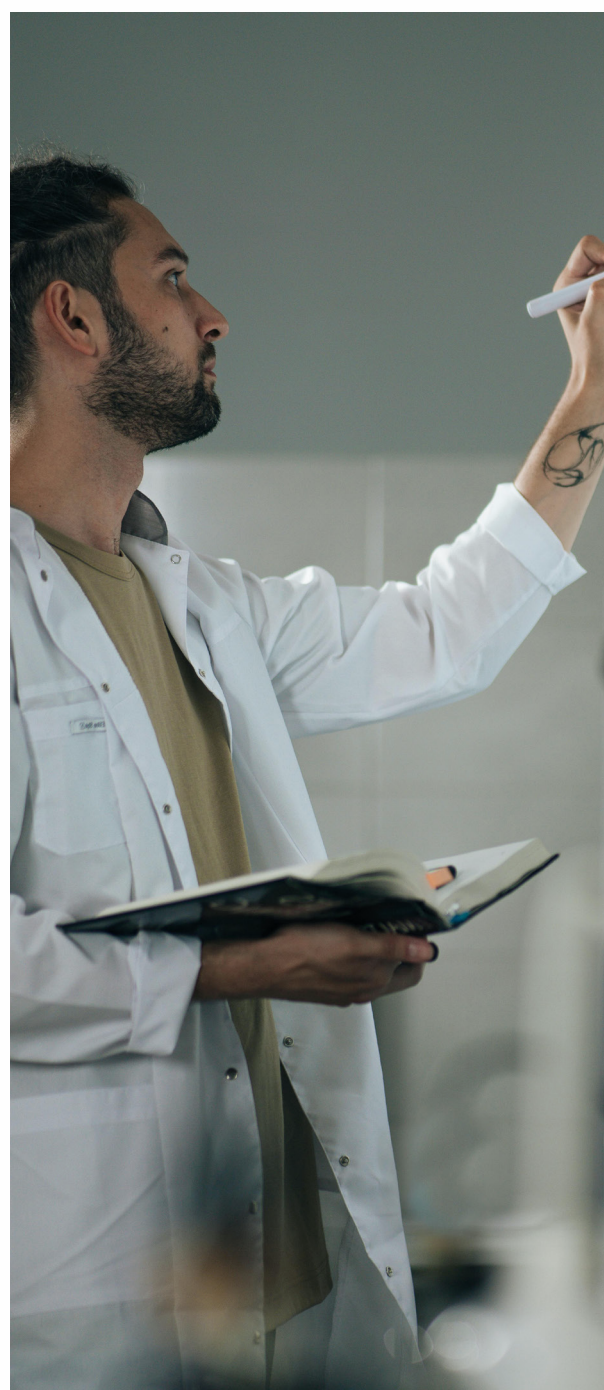


TABLE 3

Assuring RRA in research unit evaluations

Approaches organizations can take to ensure RRA at key moments during research unit evaluations.

KEY MOMENT**SUGGESTED INTERVENTION TO SUPPORT RRA****Development of the evaluation policy and practices**

When defining the policy for unit assessment, organizations can:

- Co-create the policy with the units being assessed and staff from all career stages.
- Ensure harmonization on the usage of metrics, creating recommendations on suitable metrics, and ensuring unsuitable uses are phased out.
- Make sure that discipline-appropriate international literature, best practices, etc., are taken into account.
- Incorporate expectations regarding pathways toward societal contributions and the sustainability of research activities.
- Ensure evaluation is in alignment with RRA strategy and established mission and values of the organization.

Preparation and submission for research assessment

While units are preparing for their evaluation, organizations can:

- Promote the use of evaluation as a formative moment to develop research strategies aligned with RRA practices.
- Privilege the use of self-evaluation reports, which should primarily be based on a textual Chapter describing activities, mission, vision, and a diverse set of collaborations, outputs, and impacts of research discoveries and development of staff.
- Ensure data collection and processing of institutional data is appropriate and aligned with RRA, including use of formative indicators.

Composition of evaluation panels

While establishing evaluation panels, organizations can:

- Provide comprehensive guidance and support to panels and committees, which includes defining guidelines for RRA.
- Include both staff and individuals from industry or societal sectors to offer a comprehensive evaluation of both the scientific work plan and the societal potential of research.
- Provide unconscious bias training to all assessors of research and researchers.

TABLE 3 (continued)

Assuring RRA in research unit evaluations

Approaches organizations can take to ensure RRA at key moments during research unit evaluations.

KEY MOMENT**SUGGESTED INTERVENTION TO SUPPORT RRA****Conducting the evaluation**

While evaluation panels are reviewing units, organizations can:

- Facilitate open and transparent communication between evaluators and the units being assessed.
- Focus on verifying how well assessment policies promote high-quality research and consider diverse aspects of professional activity.
- Devote attention to conflicts of interest and ensuring error avoidance, transparency, and correctness.

Post-evaluation feedback and reflection

Following unit evaluations, organizations can:

- Provide detailed feedback to the units, highlighting strengths, areas for improvement, and actionable recommendations.
- Organize follow-up workshops or meetings to discuss the evaluation outcomes and share best practices.
- Focus on verifying how well assessment policies promote high-quality research and consider diverse aspects of scholarly activity.
- Establish a schedule for the regular review of assessment criteria, tools, and processes.
- Make data openly available for evidence gathering and research on research assessment.
- Promote a culture of continuous learning and improvement by recognizing and rewarding units that demonstrate significant progress and innovation.



SPOTLIGHT ON

Early Career Researchers

There is an abundance of evidence that shows the desire among early career researchers (ECRs) for research assessment approaches that value a diversity of outputs and contributions^{42,43}.

However, if organizations do not adhere to progressive RRA practices, ECRs can find themselves sitting within a traditional paradigm that creates a 'pressure to publish'⁴⁴, which can be at the expense of broader research learnings and experience, and lead to mental health challenges⁴⁵. There are many initiatives that are now working to fully involve ECRs in shaping their approach to research assessment to ensure that it best serves their interests⁴⁶.

ENSURING RRA AS PART OF THE GRADUATE STUDENT PROGRAM

Graduate programs are often highly competitive with students competing for a limited number of places.

Students are typically formally assessed by the institution as part of their degree progression, commonly through a faculty committee assessing their final thesis or dissertation. While of course individual thesis assessments do need to be nuanced, there are many things that institutions can do to make the assessment process align with the principles of RRA.

SPOTLIGHT ON EARLY CAREER RESEARCHERS

Consider whether your graduate programs include training on responsible research assessment. Useful topics for training that encourage RRA might include:

Responsible use of metrics

How best to use quantitative and qualitative indicators in research assessment and some of the dangers of different indicators and approaches

Research culture

How to be a constructive and fair peer reviewer

Research integrity and ethics

How to design research for robustness and transparency, and how to deal with negative results

Sharing your research with impact

Open science, research dissemination and publication practices

Narrative CVs

How to contextualize and evidence their contributions in a narrative format


**EARLY CAREER RESEARCHERS:
Things to think about**

Do you require students to publish papers to graduate? Avoid a focus on quantity over quality.

Consider focusing on good scientific governance, for example by encouraging graduate students to make their research outputs and data discoverable and easily reusable, such as by publishing a preprint and/or using data repositories.

Is your organization consistent in how it assesses theses? Do you apply standard criteria?

**CASE STUDY****[University Medical Centre](#)**

Learn more about how the University Medical Centre in Utrecht redesigned its evaluation of PhD candidates⁴⁷.



SECTION 3.4

Developing corporate communications

Effective communication of research quality and its broad impacts helps to ensure that RRA becomes part of an institution's internal and external narrative and identity.

It is important to ensure that colleagues who are responsible for communication across the RPO are aware and on board with the focus and aims of the RRA strategy and are positioned to share the stories and successes of researchers with a focus on a broader range of contributions.

[Table 4](#) presents possible approaches that organizations can take to ensure RRA practices when shaping corporate internal and external communications.



TABLE 4

Assuring RRA practices in organization communication

Possible approaches that organizations can take to ensure RRA practices when shaping corporate internal and external communications.

KEY MOMENT	SUGGESTED INTERVENTION TO SUPPORT RRA
Developing institution policies and position statements	<p>When communicating new policies or updates, organizations can:</p> <ul style="list-style-type: none"> • Ensure existing and new policies and position statements (e.g. around EDI, hiring and promotion, the use of rankings, the approach to open science) align with the RRA strategy and are transparent to all interested parties. • Indicate values alignment with DORA, CoARA, and other institutional commitments, increasing community accountability.
Announcing key appointments and new hires	<p>When putting out communications around new appointments:</p> <ul style="list-style-type: none"> • Focus on the broad skills, experience and future potential that a new appointment can bring and avoid focusing solely on narrow definitions of academic success (e.g. publication output). • Reinforce increased scope and flexibility of research quality and competence assessment in recruiting procedures.
Updates and internal newsletters from institutional leadership	<p>In regular communications to the community, organizations can:</p> <ul style="list-style-type: none"> • Celebrate examples of the wider impact of the research and researchers, rather than just highlighting papers published in specific journals. • Focus on diverse pathways to impact including, but not limited to, societal engagement, commercialization, science for policy, science communication. • Recognize the different competencies and activities that are employed to achieve high quality and impactful research, including research robustness, reproducibility, integrity, ethics, and openness.

TABLE 4 (continued)

Assuring RRA practices in organization communication

Possible approaches that organizations can take to ensure RRA practices when shaping corporate internal and external communications.

KEY MOMENT**SUGGESTED INTERVENTION TO SUPPORT RRA**

Senior leadership engagement with community

Organizations can foster a culture of co-creation on RRA by:

- Fostering dialogue around RRA initiatives as they are being developed and once an approach is agreed.
- Organizing open town halls and seminars to facilitate internal discussions as well as other forms of wide intra-institutional information exchange.
- Using various communication channels to engage all units, disciplines and career stages, including PhDs and professional staff.

Commentary around national and/or institutional rankings

Encourage that communication - both internal and external - around the institution's position within national and international rankings:

- Focuses on presenting a holistic view of an institution's strengths and future development.
- Avoids focusing on narrow definitions of research quality and impact, and only on successes.
- Clarifies the data from which rankings are derived and what they represent.
- Affirms that the criteria in these rankings do not trickle down to the assessment of teams or individual researchers.
- Explains the limitations of the rankings.
- Aligns with the More Than Our Rank initiative that encourages responsible use of institutional rankings ([Chapter 4](#)).

Global initiatives and exemplars relevant to RRA

There are a range of initiatives that offer frameworks and resources that can help inform responsible research assessment (RRA) practices and related topics.

Being knowledgeable about and integrating related topics such as open science, societal impact, research integrity, community engagement, interdisciplinarity, and reproducibility – along with others relevant to your context – could prove beneficial given there may be many ongoing efforts to support change in your organization.

This Chapter includes well-known examples; while the list of initiatives is non-exhaustive, we hope that it provides a helpful starting point.

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- 4.1 Initiatives aiming to provide leadership and guidance on aspects of open science
 - 4.2 Initiatives that focus on driving research assessment reform
 - 4.3 Initiatives that aim to encourage a holistic and inclusive view of research
 - 4.4 Initiatives that focus on enabling evidence-based policy and research integrity

SECTION 4.1

Initiatives aiming to provide leadership and guidance on aspects of open science

UNESCO Recommendation on Open Science

BACKGROUND	The UNESCO Recommendation on Open Science ¹⁶ was adopted by the 41st session of UNESCO General Conference in November 2021. The Recommendation provides an international framework for open science policy and practice that recognizes disciplinary and regional differences in open science perspectives.
CORE PRINCIPLES	<p>A set of principles has been designed to help countries to make open science a reality within their context. The principles closely align with those of RRA.</p> <ul style="list-style-type: none"> • Transparency, scrutiny, critique and reproducibility - to reinforce the rigor of scientific results, enhance the positive impact of science on society and increase society's ability to solve complex interconnected problems. • Equality of opportunities - to ensure that all scientists and those with an interest in science have equal opportunity to access, contribute to and benefit from science, regardless of origin or circumstance. • Responsibility, respect and accountability - to be responsible for and aware of public accountability, potential conflicts of interest, intellectual integrity and the possible social or ecological consequences of research activities. • Collaboration, participation and inclusion - to ensure that scientific collaborations transcend the boundaries of geography, language and resources, and include knowledge from marginalized communities to solve problems of great social importance. • Flexibility - to acknowledge that there is no one-size-fits-all way to practice open science and to encourage different pathways to practicing it while upholding the core values. • Sustainability - to be as efficient and impactful as possible by building on long-term practices, services, infrastructures and funding models to ensure participation of scientists from less-privileged countries or institutions.
IMPACT	The UNESCO Recommendation is thought to help create the conditions for a holistic view of research and all its impact within and across countries.

SECTION 4.1

Initiatives aiming to provide leadership and guidance on aspects of open science

Higher Education Leadership Initiative for Open Scholarship (HELIOS OPEN)

BACKGROUND	Founded in 2022, the Higher Education Leadership Initiative for Open Scholarship ⁴⁸ (HELIOS Open) was established to advance the adoption of open scholarship practices in higher education and is an initiative of the Open Research Funders Group ⁴⁹ . Despite its transformative potential, the adoption of open practices can face barriers including cultural resistance, lack of funding for the needed infrastructures, and misaligned incentives. HELIOS Open was created to mobilize leadership within universities to champion the potential benefits of open scholarly and help to drive systemic change.
CORE PRINCIPLES	The focus on open scholarship is closely aligned with RRA. HELIOS Open's aim is to promote a more transparent, inclusive, equitable, and trustworthy research ecosystem.
IMPACT	HELIOS Open has set up a network comprising US institution leaders and an Open Program Plan. Through this network and through a range of other discussion fora with the research community, HELIOS Open hopes to drive open scholarship.

Barcelona Declaration on Open Research Information

BACKGROUND	Launched in 2023, the Barcelona Declaration on Open Research Information ⁵⁰ (Barcelona Declaration) aims to make 'openness' of information about the conduct and communication of research the norm.
CORE PRINCIPLES	<p>Signatories to the declaration are required to sign up to four principles.</p> <ul style="list-style-type: none"> • Transparency - Research information should be openly available and accessible, ensuring clarity in data collection, processing, and dissemination. • Equity - All researchers, institutions, and regions should have equal access to research information, preventing monopolization or restrictive access. • Sustainability - Open research information infrastructures should be built and maintained in ways that ensure long-term viability and community governance. • Openness - Research information should be freely shared and reusable to maximize its impact benefit for society.
IMPACT	Signatories include a wide range of RPOs, funders and research-related organizations.

SECTION 4.2

Initiatives that focus on driving research assessment reform

Declaration on Research Assessment (DORA)

BACKGROUND	Established in 2013, the San Francisco Declaration on Research Assessment ¹ (DORA) is a global initiative that advocates for improving research assessment practices, particularly by reducing reliance on journal impact factors and promoting qualitative, context-driven evaluation criteria.
CORE PRINCIPLES	DORA provides 18 recommendations aimed at academic institutions, funders, and publishers, encouraging them to prioritize research quality and impact over quantitative metrics. DORA also emphasizes the need for transparent assessment criteria and broader recognition of research contributions.
IMPACT	Over 26,000 researchers and institutions have signed DORA, signaling a strong global commitment to responsible research assessment. More recently, DORA has focused on supporting active implementation of RRA by research institutions, funders and others. It has collated a significant volume of case studies ³ , tools frameworks, and guidance documents to support organizations looking to shift their practices towards RRA.

Latin American Forum on Research Assessment (FOLEC-CLACSO)

BACKGROUND	Founded in 2019, Foro Latinoamericano sobre Evaluación Científica ⁵¹ (FOLEC-CLACSO) aims to promote activity and action to strengthen and develop research assessment processes in the Latin American region.
CORE PRINCIPLES	From an open, collaborative and public knowledge perspective, FOLEC seeks to strengthen democratizing and sustainable approaches and models of science, committed to societal problems.
IMPACT	FOLEC has been taking a lead across the Latin American region to build networks across national science and technology agencies and other RPOs to advance enhancements of academic evaluation systems and research culture.

SECTION 4.2

Initiatives that focus on driving research assessment reform

More Than Our Rank (MTOR)

BACKGROUND	The 'More Than Our Rank' ⁵² (MTOR) initiative was launched in 2022 by the International Network of Research Management Societies (INORMS) to address the over-emphasis placed on university rankings when evaluating higher education institutions. MTOR seeks to shift focus away from rankings (which are often derived from a narrow set of metrics) to the broader values and impacts that universities have on their communities, students, and global challenges. It advocates for a more holistic appreciation of what makes universities meaningful and effective.
CORE PRINCIPLES	MTOR advocates for research institutions to be evaluated in broader and less biased ways, which recognize and encourage equity, diversity and fairness. MTOR is an initiative for all institutions that recognise the limitations of the indicators used by the rankings and for those who feel that the rankings do not reflect all of their strengths or institutional mission.
IMPACT	MTOR provides an opportunity for institutions to publicly highlight the unique strengths and societal contributions of their research that is not able to be recognized through international ranking alone. MTOR also emphasizes institutional work in research culture and how it aligns with local and global societal needs. MTOR signatories are not required to exit from traditional global research rankings but supplement those rankings with qualitative assessment related to their strengths and contributions.

Make Data Count

BACKGROUND	Make Data Count ⁵³ is an initiative that promotes the development of open data metrics to enable evaluation of data usage. Through the development of tools, strategic partnerships, and community engagement, Make Data Count advocates for the recognition of 'data' as an important output in research assessment.
CORE PRINCIPLES	Make Data Count's vision is that <i>Research data are valued research outputs across scholarly activities, evaluation, and communications</i> .
IMPACT	Make Data Count provides guidelines and tools to facilitate the integration of data metrics into data repositories and platforms. Several well-known data repositories, publishers, and research institutions are adopting Make Data Count metrics to track and showcase the impact of research data, including Dryad ⁵⁴ , Figshare ⁵⁵ , and Zenodo ⁵⁶ .

SECTION 4.2

Initiatives that focus on driving research assessment reform

Coalition for Advancing Research Assessment (CoARA)

BACKGROUND	The Coalition for Advancing Research Assessment ⁵⁷ (CoARA) was founded in 2022 to promote more inclusive, transparent and diverse evaluation of research and RPOs. CoARA emphasizes diversity in research outputs and promotes collaboration across disciplines. While initially focused in Europe, CoARA invites signatories ⁵⁸ from across the world. Signatories are required to implement 10 CoARA Commitments ⁵⁹ and create an Action Plan within one year of signing.
CORE PRINCIPLES	CoARA advocates an inclusive approach to research assessment that values contributions to the community, equity, and transparency, making it a valuable model for institutions aiming to modernize their assessment practices.
IMPACT	Over 700 organizations have signed up to the CoARA initiative. CoARA has set up a range of working groups and 'National Chapters' that are aimed at helping to develop approaches that can be tailored to the research assessment context in different countries.

SCOPE Framework

BACKGROUND	The SCOPE framework ³⁴ for research evaluation is a five-stage model for evaluating responsibly. It is a practical step-by-step process designed to help research managers, or anyone involved in conducting research evaluations, in planning new evaluations as well as check existing evaluations.
CORE PRINCIPLES	SCOPE is an acronym, where S stands for START with what you value, C for CONTEXT considerations, O for OPTIONS for evaluating, P for PROBE deeply, and E for EVALUATE your evaluation. It is based on three principles: 1) evaluate only where necessary, 2) evaluate with the evaluated, and 3) draw on evaluation expertise.
IMPACT	SCOPE bridges the gap between principles and their implementation by providing a structured five-stage framework by which evaluations can be designed and implemented, as well as evaluated. It is now widely being used around the globe as a tool to embedding RRA into research evaluations.

SECTION 4.3

Initiatives that aim to encourage a holistic and inclusive view of research

Contributor Role Taxonomy (CRediT)

BACKGROUND	Launched in 2015, the Contributor Roles Taxonomy ⁶⁰ (CRediT) is a high-level taxonomy, including 14 roles, that can be used to represent the roles typically played by contributors to research outputs. The roles describe each contributor's specific contribution to the scholarly output.
CORE PRINCIPLES	Providing visibility of contributions is a simple way to enable a diversity of researchers to be recognized and rewarded for their contributions. CRediT (or an adapted version that is appropriate for different types of scholarly work) can help outline the roles of team members at the start or end of a project, enabling all members of a team to clarify and be recognized for their specific contributions.
IMPACT	CRediT is increasingly being adopted by publishers as a mechanism to provide structured, interoperable data on the diversity of contributions of different authors and support research attribution, provenance and integrity. It can also be adapted to provide a framework for recognizing different types of scholarly contributions.

EDI Caucus (EDICa)

BACKGROUND	Founded in 2022, EDI Caucus ⁶¹ (EDICa) was established by the British Academy and UKRI to build the evidence base for developing inclusive careers in the UK's research and innovation ecosystem. The initiative provides over £3m of funding up to the end of 2025 to researchers working to build the evidence base for policymaking around EDI in the research system.
CORE PRINCIPLES	EDICa aims to enhance Equity, Diversity, and Inclusion (EDI) in research and innovation through five key objectives: synthesizing existing evidence to identify gaps and provide recommendations; conducting a programme of co-designed research to improve EDI literacy and understanding gendered aspects of disability in research careers; funding impactful research projects to drive EDI advancements; creating skilled EDI communities of practice; and disseminating EDI best practices and profiles via multimedia approaches, culminating in the interactive web-tool ERICa.
IMPACT	EDICa aims to fund projects covering three broad themes: Career Lifecycle, Research Process, and Organization of Work.

SECTION 4.4

Initiatives that focus on enabling evidence-based policy and research integrity

The Hong Kong Principles

BACKGROUND	The Hong Kong Principles ⁶² for assessing researchers were developed and endorsed at the 6th World Conference on Research Integrity (WCRI) held in Hong Kong in 2019. With a focus on ensuring research integrity, individuals ⁶³ and organizations ⁶⁴ are invited to endorse the Principles.
CORE PRINCIPLES	The Hong Kong (HK) Principles were selected to explicitly incentivize, recognize and reward researchers for practices that ensure trustworthy research and responsible behavior. The aim is that by endorsing and implementing the HK Principles, organizations can help researchers advance their careers in ways that help to ensure research integrity.
IMPACT	Over 25 influential organizations (including funders and research institutions) and many individuals have endorsed the HK Principles.

The Transforming Evidence Funders Network (TEFN)

BACKGROUND	Led by The Pew Charitable Trusts and founded in 2020, the Transforming Evidence Funders Network ⁶⁵ (TEFN) convenes public and private funders who are driving change in the generation, mobilization, and use of evidence across a wide range of issue areas and policy sectors worldwide. Through the network, participants learn from each other, identify shared priorities, and act on challenging problems at the nexus of research, policy, and practice.
CORE PRINCIPLES	The TEFN aims to strengthen knowledge and practice; foster a coordinated evidence ecosystem; catalyze institutional change; and galvanize momentum and demand.
IMPACT	Aimed at funding agencies, the TEFN aims to deliver societal benefits that range from sustainability, reductions in educational inequities, improved public health, and beyond.

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ANNEX

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