



A responsible research assessment **self-assessment tool** for funders

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Executive summary

Momentum for responsible research assessment is accelerating worldwide, with a growing convergence around shared principles, frameworks and commitments. However, many research funders continue to face a critical gap in the availability of practical, actionable tools to help translate these collective ambitions into consistent implementation.

This self-assessment tool will address this gap, by providing a structured diagnostic instrument that enables funders to critically review their research assessment policies, processes and practices.

This provides support to funders as they plan for a more systematic and structured implementation of RRA that is globally aligned and locally relevant.

Since its inception in 2021, the Global Research Council (GRC) Responsible Research Assessment (RRA) Working Group has played a substantial role in shaping global dialogue around responsible research assessment. This dialogue has been anchored in the development and publication of the 11 dimensions of RRA (hereafter referred to as the 'dimensions'). These articulate funders' vision of RRA and establish a shared framework to drive future discussions.

The dimensions are complemented by a suite of case studies that demonstrate how GRC participant organisations from across the world have implemented the dimensions in diverse institutional and national contexts.

The working group developed this RRA self-assessment tool for funders, which built upon insights gleaned through these case studies and wider international examples curated by other international initiatives like the Declaration on Research Assessment (DORA). The tool is designed to help funders navigate the evolving RRA landscape, identify strengths, gaps and challenges in the current practice and prioritise concrete actions to support context-appropriate RRA implementation.



The tool establishes five RRA implementation stages that describe how the 11 dimensions of RRA can be:

- initiated
- conceptualised
- tested
- deployed
- improved by funders

This tool also provides a diagnostic RRA self-assessment questionnaire to help funders position themselves across the following five stages and help plan for their future implementation actions.



Figure 1: the five RRA implementation stages

This tool intends to support funders at every stage of RRA implementation, in recognition of the diversity of funders across the global funding landscape.

All funders should benefit from using this tool. From funders that are taking their first steps in exploring the many dimension of RRA to those integrating its principles and seeking to deepen their understanding of best practices in this space.

Accordingly, the tool has been designed to be adaptable to different local contexts and organisational priorities.

In keeping with its practical orientation, this tool is best suited for those within funding organisations who are directly responsible for the development, monitoring and evaluation of research assessment processes.

By navigating through the questions described in the self-assessment questionnaire, funding organisations can situate their own practices and policies within each dimension to foster reflections and inform their potential next steps.

Resources are also provided to support actionable next steps in the implementation of RRA practices, providing concrete examples and real-world case studies. This document has six sections to support funders in this journey:



Core concepts for RRA implementation

1.1 Defining RRA

RoRI RESEARCH ON RESEARCH INSTITUTE

RoRI Working Paper No.3
The changing role of funders in responsible research assessment: progress, obstacles and the way ahead

Stephen Curry, Sarah de Rijcke, Anna Hatch, Dorsamy (Gansen) Pillay, Inge van der Weijden and James Wilsdon
November 2020

Responsible research assessment
DORA
UK Research and Innovation
Wellcome
Research Councils UK

In 2020, the GRC convened a virtual conference on RRA, which was supported by evidence from a global survey report entitled The Changing Role of Funders in Responsible Research Assessment (2020). This report highlighted persistent challenges stemming from established assessment mechanisms including:

- overreliance on narrow metrics
- incentives that drive improper research
- systemic biases
- reduced diversity of research missions

The report established a common understanding of RRA by defining it as “an umbrella term for approaches to assessment which incentivise, reflect and reward the plural characteristics of high-quality research, in support of diverse and inclusive research cultures.”

Critically, the report also called for a more cohesive and shared vision of what RRA should look like, centred on how to put its principles into practice by testing, identifying and sharing what works in building a healthy and productive research culture.

1.2 The dimensions of RRA

Building upon this work, the GRC RRA working group established a framework outlining eleven dimensions of RRA (2024). This would articulate a shared understanding and vision for RRA between GRC participant organisations and frame future discussions on how to reform assessment by embedding the principles of RRA. The eleven dimensions are listed below. Funders are encouraged to read the full report, which provides additional definitions, descriptions, and examples of responsible research assessment practices.

Guiding principles	Governance and strategy	Process and methodology
[1] Responsible commitment to and promotion of research integrity and the responsible conduct of research.	[5] Responsible administration and monitoring of research assessment processes.	[8] Responsible use and dissemination of research assessment criteria.
[2] Responsible approaches to incentivising open research.	[6] Responsible approaches to research assessment reform.	[9] Responsible assessment of research contributions and achievements.
[3] Responsible commitment to equity, diversity and inclusion in research	[7] Responsible use of influence on institutional policies and practices.	[10] Responsible approaches to impact assessment.
[4] Responsible responses to the effects of global challenges and emergencies on research.		[11] Responsible approaches to reviewer and panel recruitment.

¹ Curry, Stephen; de Rijcke, Sarah; Hatch, Anna; Pillay, Dorsamy (Gansen); van der Weijden, Inge; Wilsdon, James (2020). The changing role of funders in responsible research assessment: progress, obstacles and the way ahead (RoRI Working Paper No.3). Research on Research Institute. Report. <https://doi.org/10.6084/m9.figshare.13227914.v2>

1.3 Implementing RRA at research funding organisations

This self-assessment tool builds upon each of the dimensions by describing their implementation according to three core pillars.

Governance and organisational structure (GOS)

The first pillar focuses on how various organisations' responsibility, authority and coordination are structured to ensure that RRA dimensions are translated into clear policies, guidelines, decision-making processes and accountability mechanisms.

GOS sets expectations and formalises how the other pillars may be implemented. This is because it influences how RRA is discussed, implemented, reviewed and continuously improved across the organisation, from early exploration to full institutionalisation."

Capacity building and engagement (CBE)

CBE focuses on developing the skills, knowledge, shared understanding and relationships needed within a funding organisation to ensure that the implementation of each dimension is sustainable, effective, and meaningfully engages with all relevant stakeholders. This includes, but is not limited to: staff, researchers, research performing organisations, research partner organisations and communities and international counterparts.

Evaluation and monitoring (EM)

EM ensures that RRA implementation is informed by evidence and supports learning and continuous improvement.

Through monitoring, funders can ensure that the implementation of RRA practices is data-driven and efficient.

Through evaluation, funders can leverage data into insights for improvements, thereby identifying gaps and generating insights that allow for effective strategic planning and adaptation.

Together this pillar enables funders to: pursue what works, remain accountable to their objectives, adjust approaches as practices, contexts and expectations evolve.

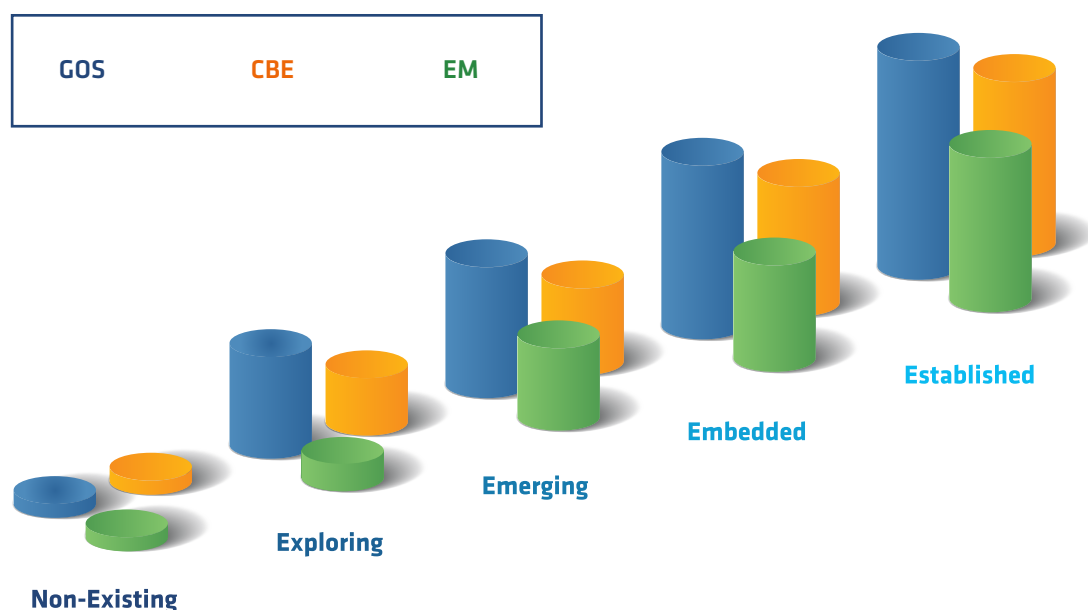


Figure 2: RRA implementation stages defined by the three pillars

From these three pillars, the implementation of each dimension can be described across the **five implementation stages**.

The first stage represents a baseline state in which none of three core pillars are in place. At this point, RRA implementation can be described as **non-existing**.

In the second stage, funding organisations begin **exploring** these elements by establishing an initial governance structure and initiating capacity building and engagement activities. Evaluation and monitoring processes remain limited or absent.

As the model advances to the **embedded** stage, organisations strengthen all three pillars:

GOS, CBE, EM.

From this stage onward, progress continues through the **emerging** and **established** stages, where these pillars become increasingly robust and integrated.

Funding organisations are encouraged to prioritise the RRA dimensions most important to their specific context and to assess their implementation progress accordingly, following the core pillars and stages described in section 1.

How to use this tool

Identifying priority dimensions

While funding organisations are encouraged to consider their progress towards implementing all 11 dimensions of RRA, this tool has been designed to support self-assessment according to individual dimensions.

Accordingly, these can be approached in any order of priority, for any given organisation.

Funding organisations are encouraged to bring in subject matter experts from across their organisation to participate in this priority-setting exercise.

Completing the self-assessment questionnaire

Once priority dimensions and relevant subject matter experts are identified, funding organisations are encouraged to complete the self-assessment questions related to their priority dimensions, which are presented in section 4.

Mapping to the RRA implementation stages

After completing the relevant self-assessment questions, the funding organisation will be able to better map its progress on implementing the dimensions according to the RRA implementation stages in section 3. This is intended to be a qualitative assessment, which may be repeated throughout the organisation's journey toward implementing more responsible research assessment practices.

Identifying gaps

While conducting their self-assessment and mapping their progress towards implementing each dimension, funding organisations are encouraged to record and review their results. This can support further analysis to help identify gaps as well as opportunities to address these gaps and enable further progress.

Exploring case studies and other guidance to plan actions

To help funders plan to address these gaps, the reader is encouraged to consult resources in section 5 including [A Practical Guide to Implementing RRA at Research Funding Organisations](#).

Defining implementation stages for RRA

The following RRA implementation stages provide a framework that reflects the diversity in prioritisation, emphasis and progress that funders may consider according to each dimension of RRA. There is no value judgement applied to the five stages that are described by the model. Its development and its application recognise that each funder operates within its own unique context, under which progress towards the 11 different dimensions can vary.

RRA implementation stages

Dimension	Non-existing	Exploring	Emerging	Embedded	Established
[1] Responsible commitment to and promotion of research integrity and the responsible conduct of research	Integrity is assumed, but there is no explicit recommendation, policies or monitoring structure.	Basic awareness codes of conduct exist but are not promoted.	Integrity policies are present and training introduced for researchers.	Integrity policies are embedded into all relevant processes.	Integrity is embedded in evaluation systems and adapted over time, following evolving best practices. Co-development entails structured consultation processes, such as engagement through standing committees or advisory boards.
[2] Responsible approaches to incentivising open research	No support or recognition for open access/ data.	Some policies encourage open access and/or data management.	Clear policies and incentives for open publishing and findability, accessibility, interoperability and reusability (FAIR) data are in place. Other open research activities are identified as important.	Open research practices are rewarded in evaluations.	Open research practices and policies are continuously co-developed and adapted according to community needs and global trends. Co-development entails structured consultation processes, such as engagement through standing committees or advisory boards.
[3] Responsible commitment to equity, diversity and inclusion (EDI) in research	No recognition of equity, diversity or inclusion in evaluation processes and policies.	EDI aspects are considered and mentioned in policy documents.	Resources are in place to build capacity for EDI analyses within the funding organisation and among the institutions being funded.	EDI principles are integral to evaluation and monitoring where appropriate. They are standardly monitored and integrated across policies and funding opportunities.	EDI ambitions continuously co-developed with underrepresented groups. Co-development entails structured consultation processes, such as engagement through standing committees or advisory boards.

Dimension	Non-existing	Exploring	Emerging	Embedded	Established
[4] Responsible responses to global challenges and emergencies	Research priorities do not consider global trends and emergency needs.	Occasional references and responses to societal needs and emerging issues in research priorities and policies. Affected communities' perspectives are reflected.	Challenge and crisis-driven research is funded reactively, co-designed with affected communities and policy adaptations and support are provided in a timely manner.	Agile funding and evaluation mechanisms in place, or existing funding policies can be adapted in response to emergency needs.	Anticipatory frameworks for future crises developed collaboratively. Co-development entails structured consultation processes, such as engagement through standing committees or advisory boards.
[5] Responsible administration and monitoring of research assessment	No formal oversight. Ad-hoc decisions dominate.	Plans to review assessment practices in place.	Assessment processes are structured and monitored centrally across the portfolio and there is consistent data collection.	Monitoring is systematic, transparent and inclusive, supported by effective data-driven insights.	Comprehensive, transparent assessment processes are continuously refined using evaluation, evidence and feedback.
[6] Responsible approaches to research assessment reform	No plans to reform assessment practices.	Informal conversations about reform, potentially including early stages of intervention development, supported by a general awareness of global assessment reform initiatives.	Pilot projects underway to test potential research assessment reforms, through one or more types of interventions. This may include direct involvement with global assessment reform movements.	Reform of research assessment is embedded institutionally with clear timelines. This may include active engagement and information sharing with global assessment reform movements.	Reform process is co-created with internal and external stakeholders. Structured approach allows evolutions that are responsive to evaluation and to emerging RRA best practices.
[7] Responsible use of influence on institutional policies	No influence on institutional assessment policies.	Funders' responsible influence on research performing organisations (RPOs) result in RRA-related issues being raised informally by institutional leadership.	Funders' responsible influence on RPOs result in institutional leadership setting expectations for change and/or research offices advocating for change.	Funders co-create RRA guidance and frameworks with RPOs that enable cohesive alignment between RPOs and funders.	Policy influence is collaborative and evidence-based. Active exchange of policy best practice.

Dimension	Non-existing	Exploring	Emerging	Embedded	Established
[8] Responsible use and dissemination of assessment criteria	Criteria are undisclosed or unclear to applicants.	Criteria shared but inconsistently applied.	Criteria published and shared prior to evaluations, aligned with how the assessment is performed.	Transparent criteria are used and discussed during assessment and adapted based on feedback.	Criteria are co-developed with communities, regularly reviewed, and organisations exchange best practice.
[9] Responsible assessment of research contributions	Sole focus on quantity and prestige of publications.	The value of broader contributions is recognised but not explicitly considered within assessment processes.	Non-conventional forms of contributions are considered occasionally in evaluation processes. Diverse understanding of quality research emerges, supported by discipline-sensitive guidance.	Assessment interventions and application designs, such as narrative CVs, enable diverse forms of contributions to be assessed explicitly.	Evaluation processes and guidelines actively ensure that diverse contributions are responsibly recognised across the funding portfolio, in accordance with contextual needs and global best practices.
[10] Responsible approaches to impact assessment	The impact of research beyond academia is not considered.	The impact of research beyond academia is considered, but its application as an assessment criterion is limited.	Non-academic impact is broadly defined and uniformly treated in assessment criteria, where appropriate. However it remains ineffectively applied in assessment (eg due to insufficiently broad definitions or to unaddressed contextual factors across different fields of research).	Non-academic impacts of research are roundly defined and uniformly treated in assessment criteria, where appropriate.	Non-academic impacts of research are roundly co-defined, uniformly treated and routinely achieved with relevant communities. Co-development entails structured consultation processes, such as engagement through standing committees or advisory boards.
[11] Responsible approaches to reviewer and panel recruitment	Selection is opaque and based on a limited set of factors that do not represent the diversity of possible expertise.	Diversity of reviewers is considered but is not prioritised across all aspects.	Reviewers are recruited with partial consideration for diversity across multiple aspects, including gender, geography and expertise.	Transparent, inclusive recruitment processes that encourage diverse panels in multiple aspects (eg gender, geography, seniority).	Continuous improvement guided by data and community input. Co-development entails structured consultation processes, such as engagement through standing committees or advisory boards.

Table 1: RRA implementation stages

A self-assessment questionnaire

The GRC RRA self-assessment questionnaire is designed as a practical tool to help funders analyse their structures, policies and practices, and monitoring techniques to identify areas of good practice and opportunities for adopting better RRA practices.

In this section, readers will gain an overview of the tool, how it is intended to be used and what to expect when completing the self-assessment.

Scope

The questionnaire is designed to help funders diagnose their current progress towards each dimension of RRA and to inform future actions that would enable further progress towards the next RRA implementation stage in a way that best suits the strategic direction of their organisation.

It is a self-guided instrument that organisations can engage with at their own pace to support meaningful and context-specific progress on RRA.

Ease of use

The self-assessment tool has been intentionally developed to be simple, adaptable and low-burden.

To reduce administrative effort, most questions rely on straightforward 'yes or no' responses. Questions also include a 'why' prompt, in order to capture more nuances and context-specific considerations.

Users can choose to focus only on the dimensions most relevant to their organisation's RRA priorities. This design acknowledges the diversity of funders' mandates, structures and RRA implementation journeys. As a result, the tool can equitably support organisations in early exploratory phases as well as those advancing more complex reforms.

Scoring

The tool is meant to guide internal reflection and planning, not to generate comparisons, rankings or external reporting.

Importantly, the GRC does not intend to collect, store or analyse any information from the questionnaire; funders may use their responses as they choose, including sharing them with communities they consider relevant.

Users are encouraged to record their responses to the self-assessment questionnaire for the purpose of initiating more in-depth conversations internally and with relevant external parties when planning for their further RRA implementation actions.

Deeper reflection

The self-assessment questionnaire is accompanied by a set of high-level, open-ended and optional questions added to support funders who wish to assess their RRA journey more broadly and more in-depth.

Continued engagement with international RRA efforts remains essential and funders are encouraged to share case studies, lessons learned and examples of effective implementation to strengthen collective understanding and progress.

The questionnaire is one of many supports available to guide this work and its value is maximised when funders use it as part of a broader, ongoing commitment to RRA.

Implementation stage characteristics

Before delving into the questionnaire, we describe how each stage of RRA implementation (see table 2) is defined and how these definitions relate to the three pillars of the dimensions.

Every stage provides a colour-coded and abbreviated indication of how funders may position themselves on **GOS**, **CBE** and **EM**. The questionnaire builds on this structure by describing how each stage relates to the 11 dimensions (See Table 1). By structuring the tool in this manner, we intend to enable users to focus only on the dimensions they are most interested in, by conducting their self-assessment following the appropriate pages below.



Non-existing	Exploring	Emerging	Embedded	Established
GOS This dimension is not familiar to the organisation or has not been identified as a priority area for the organisation. Internal or external factors mean that it is not possible to address this dimension at this time. CBE No capacity-building or engagement activities identified to address the dimension. EM No evaluation or monitoring of the specific dimension is undertaken.	GOS Activity to address this dimension has been discussed within the organisation. Policies, strategies or action plans have been developed to address this dimension at the level of individuals, but have not yet been implemented widely or consistently. CBE Efforts to build capacity and capability have begun but not yet widely rolled out. Internal actors involved are establishing relationships on the topic. System actors are being informed and invited to provide input into the future development of this dimension. EM Frameworks to evaluate the effectiveness of interventions are not in place or have not yet gathered data.	GOS Impact and evidence of change are becoming visible, but organisational approaches to addressing the dimension have not yet met their full potential. The organisation has centralised management of RRA principles, and the implementation is consistent across the structure. CBE Organisational capacity and capability have been developed to address the dimension. There is a shared understanding of the issues and objectives across the organisation. The internal relationships needed to deliver on this dimension are being developed and there is increasing clarity on shared responsibilities and ownership. System actors are actively involved into developing of this Dimension. EM Monitoring frameworks are in place and have started to gather data.	GOS Organisational and culture change efforts have met their intended objectives and this dimension is embedded within organisational practice, policies and strategies. There is a shared commitment across the organisation and at all levels of seniority. Existence of policies, practices or exchanges are consistent with organisation's objectives and effective in practice. CBE There is sufficient capacity/capability in the organisation to address the dimension. The internal and system-level relationships needed to deliver on this dimension are in place, and the responsibilities and ownership are clear. EM There are frameworks in place to regularly monitor effectiveness against their intended objectives and accountability where this is not the case.	GOS There is organisational commitment and culture to continuously improve in this area. There are formalised review cycles, accumulated institutional memory and evidence-based recalibration of policies There are active discussions about this dimension throughout the organisation and everyone feels that the dimension is reflected in their values of research evaluation. CBE The organisation is engaged in wider RRA communities to share practices and learn from others. Efforts are made to ensure that organisational practices are resilient against changing funding landscapes. EM Evaluation outcomes are used to review the organisation's objectives and ambitions in relation to this dimension.

Table 2: characteristics of each RRA implementation stage

Dimension 1 responsible commitment to and promotion of research integrity and the responsible conduct of research

RRA implementation stages for dimension 1

Non-existing	Exploring	Emerging	Embedded	Established
Integrity is assumed, but there is no explicit recommendation, policies or monitoring structure. GOS This dimension is not familiar to the organisation or has not been identified as a priority area for the organisation. Internal or external factors mean that it is not possible to address this dimension at this time. CBE No capacity-building or engagement activities identified to address the dimension. EM No evaluation or monitoring of the specific dimension is undertaken.	Basic awareness. Codes of conduct exist but are not promoted. GOS Activity to address this dimension has been discussed within the organisation. Policies, strategies or action plans have been developed to address this dimension at the level of individuals, but have not yet been implemented widely or consistently. CBE Efforts to build capacity and capability have begun but not yet widely rolled out. Internal actors involved are establishing relationships on the topic. System actors are being informed and invited to provide input into the future development of this dimension. EM Frameworks to evaluate the effectiveness of interventions are not in place or have not yet gathered data.	Integrity policies are present and training has been introduced for researchers. GOS Impact and evidence of change are becoming visible, but organisational approaches to addressing the dimension have not yet met their full potential. The organisation has centralised management of RRA principles and the implementation is consistent across the structure. CBE Organisational capacity and capability have been developed to address the dimension. There is a shared understanding of the issues and objectives across the organisation. The internal relationships needed to deliver on this dimension are being developed and there is increasing clarity on shared responsibilities and ownership. System actors are actively involved into developing of this Dimension. EM Monitoring frameworks are in place and have started to gather data.	Integrity policies are embedded into all relevant processes. GOS Organisational and culture change efforts have met their intended objectives and this dimension is embedded within organisational practice, policies and strategies. There is a shared commitment across the organisation and at all levels of seniority. Existence of policies, practices or exchanges are consistent with organisation's objectives and effective in practice. CBE There is sufficient capacity/capability in the organisation to address the dimension. The internal and system-level relationships needed to deliver on this dimension are in place, and the responsibilities and ownership are clear. EM There are frameworks in place to regularly monitor effectiveness against their intended objectives and accountability where this is not the case.	Integrity is embedded in evaluation systems and adapted over time, following evolving best practices. Co-development entails structured consultation processes such as engagement through standing committees or advisory boards. GOS There is organisational commitment and culture to continuously improve in this area. There are formalised review cycles, accumulated institutional memory and evidence-based recalibration of policies. There are active discussions about this dimension throughout the organisation and everyone feels that the dimension is reflected in their values of research evaluation. CBE The organisation is engaged in wider RRA communities to share practices and learn from other. Efforts are made to ensure that organisational practices are resilient against changing funding landscapes. EM Evaluation outcomes are used to review the organisation's objectives and ambitions in relation to this dimension.

Self-assessment questions

Governance and organisational structure

Yes / no / why?

Is fostering research integrity important for your organisation?

Are you applying practices that foster research integrity as a result of your funding mechanisms?

Are there policies on research integrity present in your organisation?

Are there research integrity or related policies openly available to the research community?

Are there incentives for research integrity practices, either in evaluation or in other ways?

Are you co-developing research integrity policies with key and relevant stakeholders from your research community?

Do research integrity considerations inform research assessment outcomes?

Does your organisation have any strategies for addressing external barriers to the promotion of research integrity?[1]

Capacity building and engagement

Yes / no / why?

Do key decision-makers in your organisation recognise the value of fostering research integrity in your funding practices?

Is there internal guidance or training for staff on how to enable research integrity practices?

Is there awareness raising activities, outreach and training possibilities for the research community around research integrity?

Does your organisation exchange with others on research integrity practices such as participating in relevant (inter)national networks?

Does your organisation co-develop structured consultation processes with the community through engagements such as standing committees or advisory boards?

Evaluation and monitoring

Yes / no / why?

Does your organisation monitor compliance with your research integrity policies?

Does your organisation evaluate the effectiveness of its research integrity policies?

Do the evaluation outcomes inform change to your policies?

Are you sharing the findings of your evaluation activities with other funders?

Dimension 2 responsible approaches to incentivising open research

RRA Implementation stages for dimension 2

Non-existing	Exploring	Emerging	Embedded	Established
No support or recognition for open access/data. GOS This dimension is not familiar to the organisation or has not been identified as a priority area for the organisation. Internal or external factors mean that it is not possible to address this dimension at this time. CBE No capacity-building or engagement activities identified to address the dimension. EM No evaluation or monitoring of the specific dimension is undertaken.	Some policies encourage open access and/or data management. GOS Activity to address this dimension has been discussed within the organisation. Policies, strategies or action plans have been developed to address this dimension at the level of individuals, but have not yet been implemented widely or consistently. CBE Efforts to build capacity and capability have begun but are not yet widely rolled out. Internal actors involved are establishing relationships on the topic. System actors are being informed and invited to provide input into the future development of this dimension. EM Frameworks to evaluate the effectiveness of interventions are not in place or have not yet gathered data.	Clear policies and incentives for open publishing and FAIR data are in place. Other open research activities are identified as important. GOS Impact and evidence of change are becoming visible, but organisational approaches to addressing the dimension have not yet met their full potential. The organisation has centralised management of RRA principles and the implementation is consistent across the structure. CBE Organisational capacity and capability have been developed to address the dimension. There is a shared understanding of the issues and objectives across the organisation. The internal relationships needed to deliver on this dimension are being developed and there is increasing clarity on shared responsibilities and ownership. System actors are actively involved into developing of this Dimension. EM Monitoring frameworks are in place and have started to gather data.	Open research practices are rewarded in evaluations. GOS Organisational and culture change efforts have met their intended objectives and this dimension is embedded within organisational practice, policies and strategies. There is a shared commitment across the organisation and at all levels of seniority. Existence of policies, practices or exchanges are consistent with organisation's objectives and effective in practice. CBE There is sufficient capacity/capability in the organisation to address the dimension. The internal and system-level relationships needed to deliver on this dimension are in place, and the responsibilities and ownership are clear. EM There are frameworks in place to regularly monitor effectiveness against their intended objectives and accountability where this is not the case.	Open research practices and policies are continuously co-developed and adapted according to community needs and global trends. Co-development entails structured consultation processes such as engagement through standing committees or advisory boards. GOS There is organisational commitment and culture to continuously improve in this area. There are formalised review cycles, accumulated institutional memory and evidence-based recalibration of policies. There are active discussions about this dimension throughout the organisation and everyone feels that the dimension is reflected in their values of research evaluation. CBE The organisation is engaged in wider RRA communities to share practices and learn from other. Efforts are made to ensure that organisational practices are resilient against changing funding landscapes. EM Evaluation outcomes are used to review the organisation's objectives and ambitions in relation to this dimension.

Self-assessment questions

Governance and organisational structure

Yes / no / why?

Is fostering open research important for your organisation?

Are you applying practices that foster open research as a result of your funding mechanisms?

Are there policies for open research (eg open access policies, FAIR data policies, data management plan requirements) in your organisation?

Are there open research or related policies openly available to the research community?

Are there incentives for open research practices in evaluation or in other ways?

Are you co-developing open research policies with key and relevant stakeholders from your research community?

Do open research considerations inform research assessment outcomes?

Does your organisation have any strategies for addressing external barriers to open research?

Capacity building and engagement

Yes / no / why?

Do key decision-makers in your organisation recognise the value of fostering open research in your funding practices?

Is there internal guidance or training on how to enable open research practices?

Are there awareness raising activities, outreach, and training possibilities for the research community around open research?

Does your organisation exchange with others on open research practices such as participating in relevant (inter)national networks?

Does your organisation co-develop structured consultation processes with the community through engagements such as standing committees or advisory boards?

Evaluation and monitoring

Yes / no / why?

Does your organisation monitor compliance with your open research policies?

Does your organisation evaluate the effectiveness of its open research policies?

Do the evaluation outcomes inform change to your policies?

Dimension 3 responsible commitment to equity, diversity and inclusion (EDI) in research

RRA implementation stages for dimension 3

Non-existing	Exploring	Emerging	Embedded	Established
No recognition of equity, diversity or inclusion in evaluation processes and policies. GOS This dimension is not familiar to the organisation or has not been identified as a priority area for the organisation. Internal or external factors mean that it is not possible to address this dimension at this time. CBE No capacity-building or engagement activities identified to address the dimension. EM No evaluation or monitoring of the specific dimension is undertaken.	EDI aspects are considered and mentioned in policy documents. GOS Activity to address this dimension has been discussed within the organisation. Policies, strategies or action plans have been developed to address this dimension at the level of individuals, but have not yet been implemented widely or consistently. CBE Efforts to build capacity and capability have begun but are not yet widely rolled out. Internal actors involved are establishing relationships on the topic. System actors are being informed and invited to provide input into the future development of this dimension. EM Frameworks to evaluate the effectiveness of interventions are not in place or have not yet gathered data.	Resources are in place to build capacity for EDI analyses within the funding organisation and among the institutions being funded. GOS Impact and evidence of change are becoming visible, but organisational approaches to addressing the dimension have not yet met their full potential. The organisation has centralised management of RRA principles and the implementation is consistent across the structure. CBE Organisational capacity and capability have been developed to address the dimension. There is a shared understanding of the issues and objectives across the organisation. The internal relationships needed to deliver on this dimension are being developed and there is increasing clarity on shared responsibilities and ownership. System actors are actively involved into developing of this dimension. EM Monitoring frameworks are in place and have started to gather data.	EDI principles are integral to evaluation and monitoring, where appropriate. They are standardly monitored and integrated across policies and funding opportunities. GOS Organisational and culture change efforts have met their intended objectives, and this dimension is embedded within organisational practice, policies and strategies. There is a shared commitment across the organisation and at all levels of seniority. Existence of policies, practices or exchanges are consistent with organisation's objectives and effective in practice. CBE There is sufficient capacity/capability in the organisation to address the dimension. The internal and system-level relationships needed to deliver on this dimension are in place, and the responsibilities and ownership are clear. EM There are frameworks in place to regularly monitor effectiveness against their intended objectives and accountability where this is not the case.	EDI ambitions continuously co-developed with underrepresented groups. Co-development entails structured consultation processes such as engagement through standing committees or advisory boards. GOS There is organisational commitment and culture to continuously improve in this area. There are formalised review cycles, accumulated institutional memory and evidence-based recalibration of policies. There are active discussions about this dimension throughout the organisation and everyone feels that the dimension is reflected in their values of research evaluation. CBE The organisation is engaged in wider RRA communities to share practices and learn from other. Efforts are made to ensure that organisational practices are resilient against changing funding landscapes. EM Evaluation outcomes are used to review the organisation's objectives and ambitions in relation to this dimension.

Self-assessment questions

Governance and organisational structure

Yes / no / why?

Is integrating EDI principles important for your organisation?

Are you applying RRA practices that foster equitable, diverse and inclusive research and research communities?

Are there policies on EDI present in your organisation?

Are there EDI or related policies openly available to the research community?

Are there incentives for open research practices, in evaluation or in other ways?

Are you co-developing EDI policies with key and relevant stakeholders including members of underrepresented groups/those with lived experience from your research community?

Do EDI considerations inform research assessment outcomes such as in the peer review recruitment process?

Does your organisation have any strategies for addressing external barriers to EDI?

Capacity building and engagement

Yes / no / why?

Do key decision-makers in your organisation recognise the value of integrating EDI principles in your funding practices?

Is there internal guidance, resources or training on how to implement EDI practices?

Are there awareness raising activities, outreach and training possibilities for the research community around EDI?

Does your organisation exchange with others on EDI practices, such as participating in relevant (inter)national networks (eg GRC EDI group)?

Does your organisation co-develop structured consultation processes with the community through engagements such as standing committees or advisory boards?

Evaluation and monitoring

Yes / no / why?

Does your organisation monitor compliance with your EDI policies??

Does your organisation evaluate the effectiveness of its EDI policies?

Do the evaluation outcomes inform change to your policies or practices?

Are you sharing the findings of your evaluation activities with other funders?

Dimension 4 responsible responses to the effects of global challenges and emergencies on research.

RRA implementation stages for dimension 4

Non-existing	Exploring	Emerging	Embedded	Established
Research priorities do not consider global trends and emergency needs. GOS This dimension is not familiar to the organisation or has not been identified as a priority area for the organisation. Internal or external factors mean that it is not possible to address this dimension at this time. CBE No capacity-building or engagement activities identified to address the dimension. EM No evaluation or monitoring of the specific dimension is undertaken.	Occasional references and responses to societal needs and emerging issues in research priorities and policies. Affected communities' perspectives are reflected. GOS Activity to address this dimension has been discussed within the organisation. Policies, strategies or action plans have been developed to address this dimension at the level of individuals, but have not yet been implemented widely or consistently. CBE Efforts to build capacity and capability have begun but are not yet widely rolled out. Internal actors involved are establishing relationships on the topic. System actors are being informed and invited to provide input into the future development of this dimension. EM Frameworks to evaluate the effectiveness of interventions are not in place or have not yet gathered data.	Challenge and crisis-driven research is funded reactively, co-designed with affected communities and policy adaptations and support are provided in a timely manner. GOS Impact and evidence of change are becoming visible but organisational approaches to addressing the dimension have not yet met their full potential. The organisation has centralised management of RRA principles and the implementation is consistent across the structure. CBE Organisational capacity and capability have been developed to address the dimension. There is a shared understanding of the issues and objectives across the organisation. The internal relationships needed to deliver on this dimension are being developed and there is increasing clarity on shared responsibilities and ownership. System actors are actively involved into developing of this dimension. EM Monitoring frameworks are in place and have started to gather data.	Agile funding and evaluation mechanisms are in place, or existing funding policies can be adapted in response to emergency needs. GOS Organisational and culture change efforts have met their intended objectives and this dimension is embedded within organisational practice, policies and strategies. There is a shared commitment across the organisation and at all levels of seniority. Existence of policies, practices or exchanges are consistent with organisation's objectives and effective in practice. CBE There is sufficient capacity/capability in the organisation to address the dimension. The internal and system-level relationships needed to deliver on this dimension are in place, and the responsibilities and ownership are clear. EM There are frameworks in place to regularly monitor effectiveness against their intended objectives and accountability where this is not the case.	Anticipatory frameworks for future crises developed collaboratively. Co-development entails structured consultation processes, such as engagement through standing committees or advisory boards. GOS There is organisational commitment and culture to continuously improve in this area. There are formalised review cycles, accumulated institutional memory and evidence-based recalibration of policies There are active discussions about this dimension throughout the organisation and everyone feels that the dimension is reflected in their values of research evaluation. CBE The organisation is engaged in wider RRA communities to share practices and learn from other. Efforts are made to ensure that organisational practices are resilient against changing funding landscapes. EM Evaluation outcomes are used to review the organisation's objectives and ambitions in relation to this dimension.

Self-assessment questions

Governance and organisational structure

Yes / no / why?

Does your organisation have research priorities related to global trends?

Are you applying practices that foster societal impact mission-oriented objectives as a result of your funding mechanisms?

Does your organisation have policies in place regarding societal issues/ mission-driven research?

Has your organisation adapted any funding policies due to global challenges and emergencies?

Are there funding mechanisms in place (or preparations for adapting existing mechanisms) to respond to future challenges and emergencies?

Are policies and frameworks around responding to global challenges co-developed collaboratively with other stakeholders in research and other sectors?

Does your organisation have any strategies for addressing external barriers that would impede responses to emerging global challenges and emergencies?

Capacity building and engagement

Yes / no / why?

Is there internal guidance or training on how to enable organisational change in response to global challenges and emergencies?

Is there internal guidance or training on how to develop new funding opportunities to address global challenges and emergencies?

Are there awareness raising activities, outreach, and training possibilities for the research community on societal issues and mission-driven research?

Are there active exchanges between your organisation and others around global challenges and emergencies?

Are joint or co-funding mechanisms explored to address global challenges and emergencies?

Are you engaging with those communities affected by global challenges and emergencies?

Does your organisation co-develop structured consultation processes with the community through engagements such as standing committees or advisory boards?

Evaluation and monitoring

Yes / no / why?

Are you monitoring the projects you fund to respond to global challenges and emergencies?

Are you evaluating the effectiveness of your policy and funding interventions?

Do the evaluation outcomes inform change to your policies?

Are you sharing the findings of your evaluation activities with other funders?

Dimension 5 responsible administration and monitoring of research assessment processes

RRA Implementation stages for dimension 5

Non-existing	Exploring	Emerging	Embedded	Established
No formal oversight. Ad-hoc decisions dominate. GOS This dimension is not familiar to the organisation or has not been identified as a priority area for the organisation. Internal or external factors mean that it is not possible to address this dimension at this time. CBE No capacity-building or engagement activities identified to address the dimension. EM No evaluation or monitoring of the specific dimension is undertaken.	Plans to review assessment practices in place. GOS Activity to address this dimension has been discussed within the organisation. Policies, strategies or action plans have been developed to address this dimension at the level of individuals, but have not yet been implemented widely or consistently. CBE Efforts to build capacity and capability have begun but are not yet widely rolled out. Internal actors involved are establishing relationships on the topic. System actors are being informed and invited to provide input into the future development of this dimension. EM Frameworks to evaluate the effectiveness of interventions are not in place or have not yet gathered data.	Assessment processes are structured and monitored across the portfolio and there is consistent data collection. GOS Impact and evidence of change are becoming visible, but organisational approaches to addressing the dimension have not yet met their full potential. The organisation has centralised management of RRA principles and the implementation is consistent across the structure. CBE Organisational capacity and capability have been developed to address the dimension. There is a shared understanding of the issues and objectives across the organisation. The internal relationships needed to deliver on this dimension are being developed and there is increasing clarity on shared responsibilities and ownership. System actors are actively involved into developing of this dimension. EM Monitoring frameworks are in place and have started to gather data.	Monitoring is systematic, transparent and inclusive, supported by effective data-driven insights. GOS Organisational and culture change efforts have met their intended objectives and this dimension is embedded within organisational practice, policies and strategies. There is a shared commitment across the organisation and at all levels of seniority. Existence of policies, practices or exchanges are consistent with organisation's objectives and effective in practice. CBE There is sufficient capacity/capability in the organisation to address the dimension. The internal and system-level relationships needed to deliver on this dimension are in place, and the responsibilities and ownership are clear. EM There are frameworks in place to regularly monitor effectiveness against their intended objectives and accountability where this is not the case.	Comprehensive, transparent assessment processes are continuously refined using evaluation, evidence and feedback. GOS There is organisational commitment and culture to continuously improve in this area. There are formalised review cycles, accumulated institutional memory and evidence-based recalibration of policies. There are active discussions about this dimension throughout the organisation and everyone feels that the dimension is reflected in their values of research evaluation. CBE The organisation is engaged in wider RRA communities to share practices and learn from other. Efforts are made to ensure that organisational practices are resilient against changing funding landscapes. EM Evaluation outcomes are used to review the organisation's objectives and ambitions in relation to this dimension.

Self-assessment questions

Governance and organisational structure

Yes / no / why?

Does your organisation have a coherent set of evaluation processes between different departments and programmes?

Has your organisation expressed its commitment to improving your evaluation processes?

Does your organisation collect data on responsible assessment processes and outcomes?

Does your organisation have a strategy to guide data collection, access, analysis and reporting?

Capacity building and engagement

Yes / no / why?

Is your organisation equipped with the appropriate tools to comply with your internal data collection, access, analysis and reporting strategy?

Are staff members who are responsible for adhering to your internal data collection, access, analysis and reporting standards prepared to do so effectively?

Is there internal guidance or training on how to run an assessment?

Are staff members who are responsible for designing and deploying funding opportunities aware of the objectives and indicators that the funding opportunity will be evaluated against?

Evaluation and monitoring

Yes / no / why?

Do you review your administration and monitoring research assessment practices?

Is there a central group of evaluation processes and guidelines that serve as the foundation for the organisation's activities?

How often are assessment processes monitored in your organisation (yearly, every 2-3 years, every 4-5 years, less often, never)?

Do feedback and monitoring lead to updates and modification of research assessment processes and/or criteria?

Dimension 6 responsible approaches to research assessment reform

RRA Implementation stages for dimension 6

Non-existing	Exploring	Emerging	Embedded	Established
No plans to reform assessment practices. GOS This dimension is not familiar to the organisation or has not been identified as a priority area for the organisation. Internal or external factors mean that it is not possible to address this dimension at this time. CBE No capacity-building or engagement activities identified to address the dimension. EM No evaluation or monitoring of the specific dimension is undertaken.	Informal conversations about reform, potentially including early stages of intervention development, supported by a general awareness of global assessment reform initiatives. GOS Activity to address this dimension has been discussed within the organisation. Policies, strategies or action plans have been developed to address this dimension at the level of individuals, but have not yet been implemented widely or consistently. CBE Efforts to build capacity and capability have begun but not yet widely rolled out. Internal actors involved are establishing relationships on the topic. System actors are being informed and invited to provide input into the future development of this dimension. EM Frameworks to evaluate the effectiveness of interventions are not in place or have not yet gathered data.	Pilot projects underway to test potential research assessment reforms, through one or more types of interventions. This may include direct involvement with global assessment reform movements. GOS Impact and evidence of change are becoming visible, but organisational approaches to addressing the dimension have not yet met their full potential. The organisation has centralised management of RRA principles, and the implementation is consistent across the structure. CBE Organisational capacity and capability have been developed to address the dimension. There is a shared understanding of the issues and objectives across the organisation. The internal relationships needed to deliver on this dimension are being developed and there is increasing clarity on shared responsibilities and ownership. System actors are actively involved into developing of this dimension. EM Monitoring frameworks are in place and have started to gather data.	Reform of research assessment is embedded institutionally with clear timelines. This may include active engagement and information sharing with global assessment reform movements. GOS Organisational and culture change efforts have met their intended objectives, and this dimension is embedded within organisational practice, policies and strategies. There is a shared commitment across the organisation and at all levels of seniority. Existence of policies, practices or exchanges are consistent with organisation's objectives and effective in practice. CBE There is sufficient capacity/capability in the organisation to address the dimension. The internal and system-level relationships needed to deliver on this dimension are in place, and the responsibilities and ownership are clear. EM There are frameworks in place to regularly monitor effectiveness against their intended objectives and accountability where this is not the case.	Reform process is co-created with internal and external stakeholders. Structured approach allows evolutions that are responsive to evaluation and to emerging RRA best practices. GOS There is organisational commitment and culture to continuously improve in this area. There are formalised review cycles, accumulated institutional memory and evidence-based recalibration of policies. There are active discussions about this dimension throughout the organisation and everyone feels that the dimension is reflected in their values of research evaluation. CBE The organisation is engaged in wider RRA communities to share practices and learn from other. Efforts are made to ensure that organisational practices are resilient against changing funding landscapes. EM Evaluation outcomes are used to review the organisation's objectives and ambitions in relation to this dimension.

Self-assessment questions

Governance and organisational structure

Yes / no / why?

Is your organisation interested in reforming your assessment practices?

Are there initiatives within your organisation to adopt more responsible research assessment processes?

Are there pilot assessment reforms being tested in any of your organisation's funding portfolio?

Does your organisation take a systematic approach to research assessment reform (eg using the SCOPE framework)?

Are you co-developing research assessment reform with key and relevant stakeholders from your research community?

Are you considering the impact of research assessment reform on joint and co-funding opportunities.

Capacity building and engagement

Yes / no / why?

Do key decision-makers in your organisation recognise the value of reforming your research assessment processes?

Is there internal guidance or training on how to enable more responsible research assessments?

Has your organisation recently adopted reforms from internal testing or external best practice systematically across funding schemes?

Are there awareness raising activities, outreach and training opportunities for the research community around RRA reform?

Does your organisation exchange with others on responsible research assessment practices such as participating in (inter)national networks about RRA like DORA, CoARA, or others?

Does your organisation co-develop structured consultation processes with the community through engagements such as standing committees or advisory boards?

Evaluation and monitoring

Yes / no / why?

Does your organisation evaluate the effectiveness of its research assessment reforms?

Does this evaluation shape future reforms?

Are you sharing the outcomes of your evaluation activities with other funders?

Dimension 7 responsible use of influence on institutional policies and practices

RRA Implementation stages for dimension 7

Non-existing	Exploring	Emerging	Embedded	Established
No influence on institutional assessment policies. GOS This dimension is not familiar to the research performing organisation (RPO) or has not been identified as a priority area for the organisation. Internal or external factors mean that it is not possible to address this dimension at this time. CBE No capacity-building or engagement activities identified to address the dimension. EM No evaluation or monitoring of the specific dimension is undertaken.	Funders' responsible influence on RPOs result in RRA-related issues being raised informally by institutional leadership. GOS Activity to address this dimension has been discussed within the RPO. Policies, strategies or action plans have been developed to address this dimension at the level of individuals, but have not yet been implemented widely or consistently. CBE Efforts to build capacity and capability have begun but are not yet widely rolled out. Internal actors involved are establishing relationships on the topic. System actors are being informed and invited to provide input into the future development of this dimension. EM Frameworks to evaluate the effectiveness of interventions are not in place or have not yet gathered data.	Funders' responsible influence on RPOs result in institutional leadership setting expectations for change and/or research offices advocating for change. GOS Impact and evidence of change are becoming visible, but RPOs' approaches to addressing the dimension have not yet met their full potential. The RPO has centralised management of RRA principles and the implementation is consistent across the structure. CBE Capacity and capability at RPOs and funders have been developed to address the dimension. There is a shared understanding of the issues and objectives across the organisations. The internal relationships needed to deliver on this dimension are being developed and there is increasing clarity on shared responsibilities and ownership. System actors are actively involved into developing of this dimension. EM Monitoring frameworks are in place and have started to gather data.	Funders co-create RRA guidance and frameworks with RPOs that enable cohesive alignment between RPOs and funders. GOS Organisational and culture change efforts have met their intended objectives, and this dimension is embedded within RPOs' practice, policies and strategies. There is a shared commitment across the organisation and at all levels of seniority. Existence of policies, practices or exchanges are consistent with RPO's objectives and effective in practice. CBE There is sufficient capacity/capability in the RPO to address the dimension. The internal and system-level relationships needed to deliver on this dimension are in place, and the responsibilities and ownership are clear. EM There are frameworks in place to regularly monitor effectiveness against their intended objectives and accountability where this is not the case.	Policy influence is collaborative and evidence-based. Active exchange of policy best practice. GOS There is organisational commitment and culture to continuously improve in this area. There are active discussions about this dimension throughout the RPO and everyone feels that the dimension is reflected in their values of research evaluation. There are formalised review cycles, accumulated institutional memory and evidence-based recalibration of policies. CBE The funder and RPO are engaged in wider RRA communities to share practices and learn from other. Efforts are made to ensure that the RPO's practices are resilient against changing funding landscapes. EM Evaluation outcomes are used to review the RPO's objectives and ambitions in relation to this dimension.

Self-assessment questions

Governance and organisational structure

Yes / no / why?

Do you have an agreed set of principles governing your relationships with research performing organisations?

Are you co-developing research assessment reform with relevant research performing organisations?

Capacity building and engagement

Yes / no / why?

Are relevant staff aware of the limits of your organisation's authority in influencing research performing organisations' practices?

Are staff at research performing organisations exploring more responsible research assessment processes?

Do you engage regularly with relevant RPOs to understand how your policies affect them?

Do you provide long-term support to RPOs to adopt more responsible research assessment practices?

Evaluation and monitoring

Yes / no / why?

Do you build their feedback into your policy decisions?

Do you monitor the impact of your policies on institutional behaviours?

Dimension 8 responsible use and dissemination of assessment criteria

RRA implementation stages for dimension 8

Non-existing	Exploring	Emerging	Embedded	Established
Criteria are undisclosed or unclear to applicants. GOS This dimension is not familiar to the organisation or has not been identified as a priority area for the organisation. Internal or external factors mean that it is not possible to address this dimension at this time. CBE No capacity-building or engagement activities identified to address the dimension. EM No evaluation or monitoring of the specific dimension is undertaken.	Criteria shared but inconsistently applied. GOS Activity to address this dimension has been discussed within the organisation. Policies, strategies or action plans have been developed to address this dimension at the level of individuals, but have not yet been implemented widely or consistently. CBE Efforts to build capacity and capability have begun but are not yet widely rolled out. Internal actors involved are establishing relationships on the topic. System actors are being informed and invited to provide input into the future development of this dimension. EM Frameworks to evaluate the effectiveness of interventions are not in place or have not yet gathered data.	Criteria published and shared prior to evaluations, aligned with how the assessment is performed. GOS Impact and evidence of change are becoming visible, but organisational approaches to addressing the dimension have not yet met their full potential. The organisation has centralised management of RRA principles, and the implementation is consistent across the structure. CBE Organisational capacity and capability have been developed to address the dimension. There is a shared understanding of the issues and objectives across the organisation. The internal relationships needed to deliver on this dimension are being developed and there is increasing clarity on shared responsibilities and ownership. System actors are actively involved into developing of this dimension. EM Monitoring frameworks are in place and have started to gather data.	Transparent criteria are used and discussed during assessment and adapted based on feedback. GOS Organisational and culture change efforts have met their intended objectives and this dimension is embedded within organisational practice, policies and strategies. There is a shared commitment across the organisation and at all levels of seniority. Existence of policies, practices or exchanges are consistent with organisation's objectives and effective in practice. CBE There is sufficient capacity/capability in the organisation to address the dimension. The internal and system-level relationships needed to deliver on this dimension are in place, and the responsibilities and ownership are clear. EM There are frameworks in place to regularly monitor effectiveness against their intended objectives and accountability where this is not the case.	Criteria are co-developed with communities, regularly reviewed and organisations exchange best practice. GOS There is organisational commitment and culture to continuously improve in this area. There are formalised review cycles, accumulated institutional memory and evidence-based recalibration of policies. There are active discussions about this dimension throughout the organisation and everyone feels that the dimension is reflected in their values of research evaluation. CBE The organisation is engaged in wider RRA communities to share practices and learn from other. Efforts are made to ensure that organisational practices are resilient against changing funding landscapes. EM Evaluation outcomes are used to review the organisation's objectives and ambitions in relation to this dimension.

Self-assessment questions

Governance and organisational structure

Yes / no / why?

Are evaluation criteria available to applicants for funding?

Are there research assessment guidelines for evaluators?

Capacity building and engagement

Yes / no / why?

Is there internal guidance or training for staff on how to raise awareness of research assessment criteria?

Does your organisation exchange with others on how to use and disseminate research assessment criteria?

Are you engaging with joint and co-funders to use more responsible research assessment criteria?

Evaluation and monitoring

Yes / no / why?

Are the same research assessment criteria shared with applicants used by the evaluators?

Are evaluation criteria used in your organisation regularly reviewed and updated?

Does your organisation seek feedback on evaluation criteria from the evaluators? From applicants?

Does your organisation exchange with other international organisations on evaluation criteria best practices?

Dimension 9 responsible assessment of research contributions

RRA implementation stages for dimension 9

Non-existing	Exploring	Emerging	Embedded	Established
Sole focus on quantity and prestige of publications. GOS This dimension is not familiar to the organisation or has not been identified as a priority area for the organisation. Internal or external factors mean that it is not possible to address this dimension at this time. CBE No capacity-building or engagement activities identified to address the dimension. EM No evaluation or monitoring of the specific dimension is undertaken.	The value of broader contributions is recognised but not explicitly considered within assessment processes. GOS Activity to address this dimension has been discussed within the organisation. Policies, strategies or action plans have been developed to address this dimension at the level of individuals, but have not yet been implemented widely or consistently. CBE Efforts to build capacity and capability have begun but are not yet widely rolled out. Internal actors involved are establishing relationships on the topic. System actors are being informed and invited to provide input into the future development of this dimension. EM Frameworks to evaluate the effectiveness of interventions are not in place or have not yet gathered data.	Non-conventional forms of contributions are considered occasionally in evaluation processes. Diverse understanding of quality research emerges, supported by discipline-sensitive guidance. GOS Impact and evidence of change are becoming visible, but organisational approaches to addressing the dimension have not yet met their full potential. The organisation has centralised management of RRA principles and the implementation is consistent across the structure. CBE Organisational capacity and capability have been developed to address the dimension. There is a shared understanding of the issues and objectives across the organisation. The internal relationships needed to deliver on this dimension are being developed and there is increasing clarity on shared responsibilities and ownership. System actors are actively involved into developing of this dimension. EM Monitoring frameworks are in place and have started to gather data.	Assessment interventions and application designs (such as narrative CVs) enable diverse forms of contributions to be assessed explicitly. GOS Organisational and culture change efforts have met their intended objectives and this dimension is embedded within organisational practice, policies and strategies. There is a shared commitment across the organisation and at all levels of seniority. Existence of policies, practices or exchanges are consistent with organisation's objectives and effective in practice. CBE There is sufficient capacity/capability in the organisation to address the dimension. The internal and system-level relationships needed to deliver on this dimension are in place, and the responsibilities and ownership are clear. EM There are frameworks in place to regularly monitor effectiveness against their intended objectives and accountability where this is not the case.	Evaluation processes and guidelines actively ensure that diverse contributions are responsibly recognised across the funding portfolio, in accordance with contextual needs and global best practices. GOS There is organisational commitment and culture to continuously improve in this area. There are formalised review cycles, accumulated institutional memory and evidence-based recalibration of policies. There are active discussions about this dimension throughout the organisation and everyone feels that the dimension is reflected in their values of research evaluation. CBE The organisation is engaged in wider RRA communities to share practices and learn from other. Efforts are made to ensure that organisational practices are resilient against changing funding landscapes. EM Evaluation outcomes are used to review the organisation's objectives and ambitions in relation to this dimension.

Self-assessment questions

Governance and organisational structure

Yes / no / why?

Does your organisation discourage the assessment research quality based on the quantity and/or prestige of publications and their venues?

Does your organisation allow for applicants to describe a broader range of research outputs and achievements beyond publications and grants acquired (eg through a narrative CV)?

Capacity building and engagement

Yes / no / why?

Is there internal guidance or training on how to enable a broader range of outputs and achievements in assessment?

Does your organisation guide evaluators to look at a broad range of outputs and achievements during assessment?

Does your organisation endorse or adhere to existing frameworks related to responsible research assessment, such as DORA, CoARA, the GRC statement of principles on peer/merit review (2018)?

Evaluation and monitoring

Yes / no / why?

Does your organisation evaluate whether the broader range of research contributions inform evaluators' assessments?

Do the evaluation outcomes inform change to your policies?

Does your organisation exchange with other international organisations on evaluation methods and results to determine whether broad forms of research contributions are being used in research assessment processes?

Dimension 10 responsible approaches to impact assessment

RRA implementation stages for dimension 10

Non-existing	Exploring	Emerging	Embedded	Established
The impact of research beyond academia is not considered. GOS This dimension is not familiar to the organisation or has not been identified as a priority area for the organisation. Internal or external factors mean that it is not possible to address this dimension at this time. CBE No capacity-building or engagement activities identified to address the dimension. EM No evaluation or monitoring of the specific dimension is undertaken.	The impact of research beyond academia is considered but its application as an assessment criterion is limited. GOS Activity to address this dimension has been discussed within the organisation. Policies, strategies or action plans have been developed to address this dimension at the level of individuals, but have not yet been implemented widely or consistently. CBE Efforts to build capacity and capability have begun but are not yet widely rolled out. EM Frameworks to evaluate the effectiveness of interventions are not in place or have not yet gathered data.	Non-academic impact is broadly defined and uniformly treated in assessment criteria, where appropriate, however it remains ineffectively applied by reviewers (eg due to insufficiently broad definitions or to unaddressed contextual factors across different fields of research). GOS Impact and evidence of change are becoming visible, but organisational approaches to addressing the dimension have not yet met their full potential. The organisation has centralised management of RRA principles and the implementation is consistent across the structure. CBE Organisational capacity and capability have been developed to address the dimension. There is a shared understanding of the issues and objectives across the organisation. The internal relationships needed to deliver on this dimension are being developed and there is increasing clarity on shared responsibilities and ownership. System actors are actively involved into developing of this dimension. EM Monitoring frameworks are in place and have started to gather data.	Reviewers are recruited with partial consideration for diversity across multiple aspects including gender, geography and expertise. GOS Organisational and culture change efforts have met their intended objectives and this dimension is embedded within organisational practice, policies and strategies. There is a shared commitment across the organisation and at all levels of seniority. Existence of policies, practices or exchanges are consistent with organisation's objectives and effective in practice. CBE There is sufficient capacity/capability in the organisation to address the dimension. The internal and system-level relationships needed to deliver on this dimension are in place, and the responsibilities and ownership are clear. EM There are frameworks in place to regularly monitor effectiveness against their intended objectives and accountability where this is not the case.	Non-academic impacts of research are roundly co-defined, uniformly treated and routinely achieved with relevant communities. Co-development entails structured consultation processes such as engagement through standing committees or advisory boards. GOS There is organisational commitment and culture to continuously improve in this area. There are formalised review cycles, accumulated institutional memory and evidence-based recalibration of policies. There are active discussions about this dimension throughout the organisation, and everyone feels that the dimension is reflected in their values of research evaluation. CBE The organisation is engaged in wider RRA communities to share practices and learn from others. Efforts are made to ensure that organisational practices are resilient against changing funding landscapes. EM Evaluation outcomes are used to review the organisation's objectives and ambitions in relation to this dimension.

Self-assessment questions

Governance and organisational structure

Yes / no / why?

Does your organisation take non-academic impact into account in its evaluation of research?

Does your organisation require applicants to undertake risk assessments when engaging with non-academic partners?

Does your organisation require applicants to undertake equality impact assessments when engaging with non-academic partners?

Does your organisation recognise the full spectrum of research contributions in research assessment, from basic to applied research, where appropriate?

Capacity building and engagement

Yes / no / why?

Does your organisation involve non-academic research users in the development of its policies and funding calls?

Does your organisation offer training to researchers engaging with non-academic partners?

Does your organisation offer training to researchers on evaluating their own impact?

Does your organisation exchange with other international organisations on methods to evaluate the impact of your research funding opportunities?

Evaluation and monitoring

Yes / no / why?

Does your organisation monitor and evaluate the non-academic impact of its funding?

Do these evaluation processes encompass the full range of non-academic impacts, including those that cannot easily be captured by quantitative metrics?

Are you sharing the findings of your evaluation activities with other funders?

Dimension 11 responsible approaches to impact assessment

RRA implementation stages for dimension 10

Non-existing	Exploring	Emerging	Embedded	Established
Selection is opaque and based on a limited set of factors that do not represent the diversity of possible expertise. GOS This dimension is not familiar to the organisation or has not been identified as a priority area for the organisation. Internal or external factors mean that it is not possible to address this dimension at this time. CBE No capacity-building or engagement activities identified to address the dimension. EM No evaluation or monitoring of the specific dimension is undertaken.	Diversity of reviewers is considered but is not prioritised across all aspects. GOS Activity to address this dimension has been discussed within the organisation. Policies, strategies or action plans have been developed to address this dimension at the level of individuals, but have not yet been implemented widely or consistently. CBE Efforts to build capacity and capability have begun but are not yet widely rolled out. Internal actors involved are establishing relationships on the topic. System actors are being informed and invited to provide input into the future development of this dimension. EM Frameworks to evaluate the effectiveness of interventions are not in place or have not yet gathered data.	Reviewers are recruited with partial consideration for diversity across multiple aspects including gender, geography and expertise. GOS Impact and evidence of change are becoming visible but organisational approaches to addressing the dimension have not yet met their full potential. The organisation has centralised management of RRA principles and the implementation is consistent across the structure. CBE Organisational capacity and capability have been developed to address the dimension. There is a shared understanding of the issues and objectives across the organisation. The internal relationships needed to deliver on this dimension are being developed and there is increasing clarity on shared responsibilities and ownership. System actors are actively involved into developing of this dimension. EM Monitoring frameworks are in place and have started to gather data.	Transparent, inclusive recruitment processes that encourage diverse panels in multiple aspects (eg gender, geography, seniority). GOS Organisational and culture change efforts have met their intended objectives and this dimension is embedded within organisational practice, policies and strategies. There is a shared commitment across the organisation and at all levels of seniority. Existence of policies, practices or exchanges are consistent with organisation's objectives and effective in practice. CBE There is sufficient capacity/capability in the organisation to address the dimension. The internal and system-level relationships needed to deliver on this dimension are in place, and the responsibilities and ownership are clear. EM There are frameworks in place to regularly monitor effectiveness against their intended objectives and accountability where this is not the case.	Continuous improvement guided by data and community input. Co-development entails structured consultation processes, such as engagement through standing committees or advisory boards. GOS There is organisational commitment and culture to continuously improve in this area. There are formalised review cycles, accumulated institutional memory and evidence-based recalibration of policies. There are active discussions about this dimension throughout the organisation and everyone feels that the dimension is reflected in their values of research evaluation. CBE The organisation is engaged in wider RRA communities to share practices and learn from others. Efforts are made to ensure that organisational practices are resilient against changing funding landscapes. EM Evaluation outcomes are used to review the organisation's objectives and ambitions in relation to this dimension.

Self-assessment questions

Governance and organisational structure

Yes / no / why?

Does your organisation consider a broad range of contributions when recruiting reviewers, going beyond seniority, research outputs metrics, and surrogate measures of quality like journal prestige?

Are there guidelines for diversity in reviewer recruitment for assessment (eg for remote review groups or assessment panels)?

Does your organisation have policies in place to ensure diversity of representation among reviewers from an EDI lens inclusive of different career stages and backgrounds, and to ensure appropriate diversity of expertise across disciplines and sectors?

Does your organisation implement term durations for panel membership?

Are you co-developing reviewer recruitment guidelines with key and relevant stakeholders from your research community?

Capacity building and engagement

Yes / no / why?

Do key decision-makers in your organisation recognise the value of recruiting a diverse range of reviewers?

Is there internal guidance or training on how to enable the responsible recruitment of reviewers?

Does your organisation offer training to reviewers to enable them to adhere to RRA principles in their evaluations?

Does your organisation offer EDI training to those involved in panel recruitment?

Does your organisation exchange with others on responsible reviewer recruitment practices, such as participating in relevant (inter)national networks?

Does your organisation co-develop structured consultation processes with the community through engagements such as standing committees or advisory boards?

Evaluation and monitoring

Yes / no / why?

Does your organisation monitor the effectiveness of your reviewer recruitment processes, such as by monitoring the composition of evaluators across the funding portfolio?

Do the evaluation outcomes inform change to your policies?

Going beyond the questionnaire: open-ended questions for deeper reflection

The self-assessment questionnaire is intentionally designed to focus on core 'yes or no' reflections that are within the scope of this tool. Some funders, however, may wish to explore RRA more broadly and in greater depth, extending beyond the diagnostic purpose of the questionnaire.

For organisations whose strategic direction supports a more comprehensive review of their assessment practices and instruments, there are additional areas to consider that will help ensure long-term institutional support for RRA. These higher-level considerations are outlined here for funders who are ready to push their RRA work further and reflect on how their practices might evolve over time.

Governance and organisational structure

- How are RRA related policies and criteria applied consistently across all funding instruments, unless a justified and documented exception exists?
- How does your organisation maintain documentation explaining why specific instruments deviate from standard RRA practices (eg due to programme objectives, legislative constraints, pilot status)?
- How are RRA practices reviewed for coherence when new instruments or calls are designed or updated?
- How is RRA implementation overseen across the organisation to ensure alignment?
- How do you balance RRA related objectives (eg openness, risk management, equity, excellence) when they come into tension?
- How informed are decision-makers on RRA implementation progress, challenges and compliance across the agency?
- How are RRA principles integrated into joint calls, co-funded programmes or multilateral assessment processes?
- How are RRA practices documented in a way that is resilient to organisational changes?

Capacity building and engagement

- How does your organisation negotiate or align assessment criteria, scoring scales and peer review practices with international partners?
- How do joint or co-funding opportunities describe how RRA principles will be applied?
- How are RRA practices documented in a way that is resilient to organisational changes?
- How do you maintain institutional memory related to RRA through accessible documentation, data repositories or evaluation archives?
- What resources (eg budget, staff expertise, data systems) are available to sustain RRA practices beyond short-term initiatives or pilot efforts?

Evaluation and monitoring

- How are evaluation findings used to update funding instruments, selection criteria or reviewer guidance?
- What formal mechanisms (eg annual review, retroactive, post-call evaluation) are available for incorporating lessons learned into future RRA practices?
- How does your organisation track the impact of RRA related changes in improving processes, fairness, transparency or outcomes over time?
- How are your RRA evaluations frameworks consistent with your organisational objectives and key performance indicators?



Resources to support implementation

Funders are encouraged to consult the following resources to identify opportunities for improving research assessment processes:

- Allen, L., Barbour, V., Borrell-Damián, L., Cobey, K., Dube, N., Firth, C., Lawrence, R., Lima, G., McGuirk, S., Morris, J. P., Trinh, A.-K., & Uwineza, J. (2026). A practical guide to implementing responsible research assessment at research funding organisations. Declaration on Research Assessment (DORA). <https://doi.org/10.5281/zenodo.18402271>
- Fors, Y et al. WG Improving Practices in the Assessment of Research Proposals – Discussing Ways to Implement ARRA Commitments 1, 2 and 3 in Research Funding Criteria, Procedures and Culture. Zenodo, Dec. 2025, <https://doi.org/10.5281/zenodo.17988266>.

Funders are also encouraged to consult libraries of case studies and the following resources to learn of other responsible research assessment practices and reforms:

- The GRC RRA Working Group's [Case Study Digital Library](#)
- DORA's [Resource Library](#)
- CoARA [publications](#)
- Science Europe [resources](#)

Staff at funding organisations are encouraged to seek additional resources (eg OECD, UNESCO) to support their implementation of RRA including resources on complementary topics such as change

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- | | | |
|--------------|----------------|-------------------------------|
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