

Responsible metrics & research assessment: progress, obstacles & the way ahead

Open Research Conversation, University of Sheffield, 18 January 2022 James Wilsdon. j.wilsdon@sheffield.ac.uk; ②@jameswilsdon http://www.researchonresearch.org/



### A Celebrates Five Years!







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Cecil H. Green Distinguished Professor in Cellular and Molecular Biology; Chair, Cell Biology ment. UT Southy

DORA Community

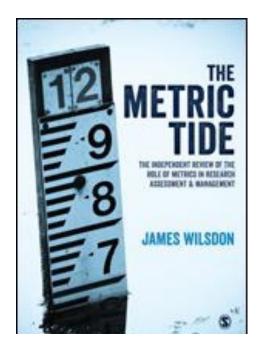
declaration was published in 2013, it has collected signature izations and 12,000 individuals. DORA has increased awarei the Journal Impact Factor and inspired change in the scient ions have started referencing the declaration in research ass nat guide hiring, promotion, and funding decisions.





for research metrics

Use these ten principles to guide research evaluation, urge Diana Hicks, Paul Wouters and colleagues.





### **Expert Group on Altmetrics**

#### **NEW: Final Report of the Expert Group on Altmetrics is** available

Publication date: 20 March 2017

The Expert Group on Altmetrics outlines in this report how to advance a next-generatic metrics in the context of Open Science and delivers an advice corresponding to the following policy lines of the Open Science Agenda: Fostering Open Science, Removing barriers to Open Science, Developing research infrastructures and Embed Open Science in society.

The report will be presented and discussed at the Open Science Policy Platform on 20 March 2017

The report can be downloaded here 🍌 796 KB

### From responsible metrics....



### **CASE STUDY REPORT**

### Reimagining Academic Career Assessment: Stories of innovation and change

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

January 2021



### 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

Produced in partnership with:





Global Research Council (GRC) Conference Report 2021

GLOBAL

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RESEARCH

A virtual conference from the Global Research Council **| held in November 2020** 

### ...to responsible research assessment



#### RoRI Working Paper No.3 The changing role of funders in responsible research assessment: progress, obstacles and the way ahead Mercher Curry, Srah de Rick, Anna Hetch, Dorsamy (Ganser) November 2020 November 2

### **Defining RRA**

**Responsible research assessment (RRA)** is 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.

RRA draws on broader frameworks for responsible research and innovation (RRI), and applies these to the development and application of evaluation, assessment and review processes.

While RRI is commonly used as a broad framework for the governance of research and innovation, and notions of 'responsible metrics' can be applied at a micro level to indicators themselves, the idea of RRA encourages funders, research institutions, publishers and others to focus attention on the methodologies, systems and cultures of research assessment.



### Fifteen movers and shapers





# CHEERFUL WHISTLING PERMITIED

### Global Research Council Survey methodology



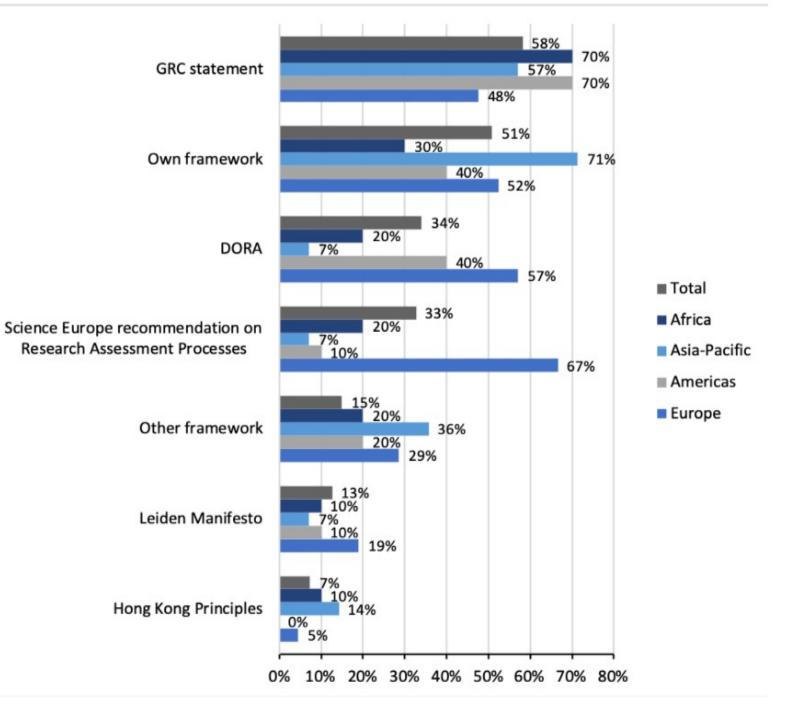
Online survey: 23 questions Open from September-October 2020

### Completed by 55 organisations / 46% response rate

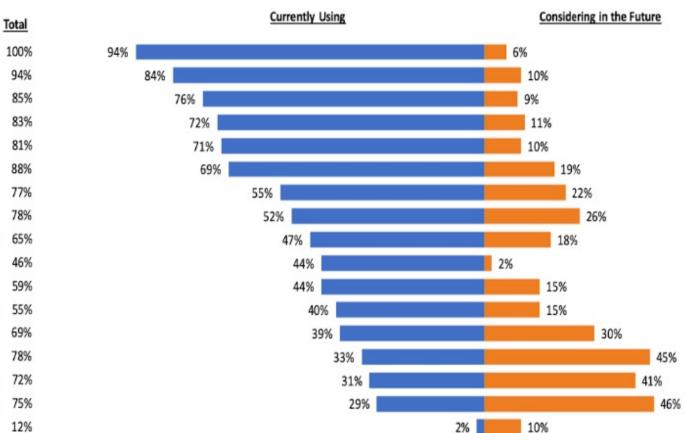
	N	%
Africa and Middle-East (Sub-Saharan Africa, North Africa & Middle East)	10	18.2
Asia-Pacific	14	25.5
Americas	10	18.2
Europe	21	38.2
Total	55	100

Table 1: Respondents by geographical region

### Endorsements of existing RRA Frameworks



### **Research Assessment Indicators**

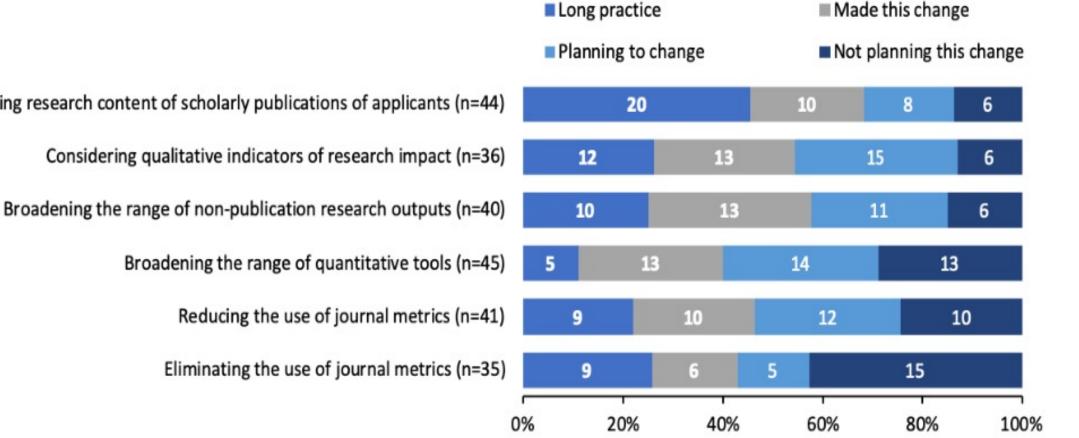


Publication Outputs 100% Previous funded research projects 94% Non-publication outputs 85% Participation in conferences 83% 81% Awards Participation in international research projects 88% Services for research community 77% International character of proposed team 78% Public engagement activities 65% Mentoring activities 46% Teaching activities 59% Internal responsibilities within research organisation 55% Promotion diversity & inclusion 69% Open access publications 78% Data curation conducted by applicant 72% Open research data 75% Knowledge transfer / commercialization 12%

Figure 3: Research assessment indicators (to be) used by GRC participating organisations who responded to the survey (n=50, missing n=5)



### Changes in the way research proposals are assessed



Considering research content of scholarly publications of applicants (n=44)



### Responsible Research Assessment

Global Research Council (GRC) Conference Report 2021

A virtual conference from the Global Research Council | held in November 2020

### Wellcome

GLOBAL

RESEARCH COUNCIL

### (f) 🕑 (in) 🖾

### ON THIS PAGE Overview

### Journal articles submitted from 1 January 2021

Monographs and book chapters

Responsible and fair research assessment

Compliance and sanctions

More information

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### Responsible and fair research assessment

We are committed to making sure that when we assess research outputs during funding decisions, we consider the intrinsic merit of the work, not the title of the journal or publisher.

Grant funding

Find a scheme

What we do

Guidance

Who we ar

Develop your research

All Wellcome-funded organisations must also publicly <u>commit to this principle</u>. For example, they can sign the <u>San Francisco Declaration on Research Assessment</u>, <u>Leiden Manifesto</u> or equivalent. We've produced <u>guidance for organisations on</u> <u>responsible and fair approaches for research assessment</u>, that sets out three highlevel requirements and other activities they could consider to support these.

We may ask organisations to show that they're complying with this as part of our organisation audits.

### Compliance and sanctions

Researchers and organisations who do not comply with this policy will be subject to appropriate sanctions. These may include Wellcome:



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Home > Policy and analysis > Research policy > Open science > The UK Forum for **Responsible Research Metrics** 

### The UK Forum for Responsible Research Metrics

A group of research funders, sector bodies, and infrastructure experts are working in partnershi the responsible use of research metrics.

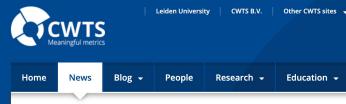
The Forum for Responsible Research Metrics, chaired by Professor Max Lu (Vice-Chancellor at the University of Surrey, su responsible use of research metrics in higher education institutions and across the research community in the UK. The Foru programme of activities, including:

- Advice to the higher education funding bodies on quantitative indicators in the Research Excellence Framework (REF
- Advice on, and work to improve, the data infrastructure that underpins metric use
- Advocacy and leadership on the use of research metrics responsibly
- International engagement on the use of metrics in research and researcher assessment

The group was established in 2016, on the recommendation of the independent review on the role of metrics in research as ant. The review name, chaired by Professor, James Wiledon, published their final report 'The Matric Tide' which id



Subject term search



News » Transforming Research Excellence: New Ideas from the Global South

### **Transforming Research Excellence: New** Ideas from the Global South

January 28th, 2020

#### Editors: Erika Kraemer-Mbula, Robert Tijssen, Matthew L. Wallace & Robert McLean

This recently released book takes a critical view of conceptual issues and practical problems that inevitably emerge when 'excellence' takes center stage in science systems in the Global South. What is 'excellent science'? And how to recognize and assess it? After decades of inquiry and debate there is still no satisfactory answer.

Confronting sticky problems and uncomfortable truths, it contains many insights and recommendations that point towards new solutions



### Priority 1: Continue to build national and international coalitions for responsible research assessment

Responsible Research

# Priority 2: Strengthen guidance & templates to translate principles into institutional policies & practices

DORA							About DORA 🗸	Meetings 🗸	Contact
The Declaration	Signers	Case Studies	Project TARA	Resources	Blog	¥		Sign DORA	Q

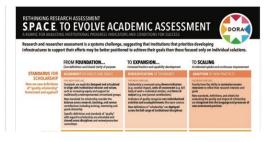
RESOURC

SPACE to evolve academic assessment: A rubric for analyzing institutional conditions and progress indicators

#### ADVOCACY RESOURCES TOOLS FOR: RESEARCH INSTITUTES

This is part of DORA's toolkit of resources to support academic institutions that are improving their policies and practices. Find the other resources in the toolkit **here**.

Improving research and scholarship assessment practices requires the ability to analyze the outcomes of efforts and interventions. However, when conducted only at the unit level of individual interventions, these evaluations and reflections miss opportunities to understand how institutional conditions themselves set the table for the success of new efforts, or how developing institutional capabilities might improve the effectiveness and impact of these new practices at greater scale. The SPACE rubric was developed to help institutions at any stage of academic assessment reform gauge their institutional ability to support interventions and set them up for success.



#### RETHINKING RESEARCH ASSESSMENT S.P.A.C.E. TO EVOLVE ACADEMIC ASSESSMENT A RUBRIC FOR ANALYZING INSTITUTIONAL PROGRESS INDICATORS AND CONDITIONS FOR SUCCESS

Research and researcher assessment is a systems challenge, suggesting that institutions that prioritize developing infrastructures to support their efforts may be better positioned to achieve their goals than those focused only on individual solutions

DORA

	FROM FOUNDATION Core definitions and shared clarity of purpose	TO EXPANSION Increased traction and capability development	TO SCALING Accelerated uptake and continuous improvement
STANDARDS FOR	ALIGNMENT ON VALUES AND GOALS	DIVERSIFICATION OF STANDARDS	ADOPTION OF NEW PRACTICES
SCHOLARSHIP How are new definitions of "quality scholarship" formulated and applied?	Destinations explicitly designed and articulated to align with institutional insiston and values, with a increasing explay and support traditionally underregresented, minoritized gouges have standards for scholarship consider the balance across research, teaching, and service contributions scholarship in an articulage and good citizenablp Specific definitions and standards of "anality" makeral scoss disciplines and residention abaved across disciplines and residention	The MANY LOCK UK. Scholarbip is accessed using diverse indicators (e.g. social impact), units at assessment (e.g. hu) boyd of work, valishoul and access, and forms of output (e.g. non-journal contributions) Indicators of quality recegnite non-individualized activities and accomplishments illus team science terutisties and accomplishments illus team science New definitions of "scholarship" are deployed across the full range of institutional disciplines	The supervisor set. Faculty have the Milly to customize success gation Here standards, definitions, and citeria for evaluating the quality and impact of schulenship are integrated in the language and processes of new successment practices
PROCESS	DEBIASING DELIBERATIVE JUDGMENTS	CAPACITY TO SUPPORT NEW ACTIVITIES	INTEGRATION INTO EXISTING SYSTEMS
MECHANICS AND POLICIES How are new practices incorporated into review structures, processes, and institutional policies?	hes subcritocials: Meaningful and appropriately rigorous qualitative structures for academic assessment, such as namite CVs, are given dae weight Structures and processes are applied consistently across assessment activities, taking into consideration allevitare paths and starting points Use of new assessment mechanics extend beyond traditional evaluative contexts into ensuring equilable opportunities, mentoring, and retention to increase research and researcher diversity	Training on the access and practices of assessment processes and practices are accessible and continually maintained Institutions design processes take into account the resource capacity of committee members to effectively adopting the assessment practices, such as additional burders on time Institutions have designated senior functions or offices to ensure faculty capacity for new assessment practices and principles	IN MARINE CONTROL (VIC). Assessment mechanics can be flexibly applied and adapted to accommodate diverse disciplines Mechanisms to support particles are collified and written initio institutional policies. New processes and postices are seamlersly integrated and widely adopted
ACCOUNTABILITY	TRANSPARENCY AND CLARITY OF GOALS	ADHERENCE THROUGH COMMITMENT	PROACTIVITY IN ENGAGEMENT
How are individuals and institutions held liable for executing on new assessment practices?	Instantiation accession of particles of academic assessment and review, promotion, and tenure (RPT) activities are transparent and clearly articulated, and agreed upon by all participants Institutions have clearly defined expectations for adherence to academic assessment practices Examples of what good looks like" an collected and shared to more concretely illustrate target outcomes and behaviors	INSTANCION CONCULT Research evaluators self-monitor adherence to accenic assessment principles and practices Senior leaders and committee members actively stipulate equilable assessment practices during both formal and informal career development contexts Institutions model ecosystem -level accountability, such as encuring that system-level incountability and a support agreed-upon principles and practices	Instantion control (VIL) Individual active on the protices and principles Departments prostively breaden and conduct outreach activities include new eminolized applicants Faculty serve as "ambassadors" for new academic assessment pactices, such as when serving as external committee members
<b>CULTURE WITHIN</b>	INCLUSION AND ACCESS	ADVOCACY AT INSTITUTIONAL LEVELS	REFLEXIVITY THROUGH REFLECTION
INSTITUTIONS How are assessment practices perceived and adopted both within and outside of formal evaluation activities?	INS MONTLOCKEL. More diverse types of individuals are involved in schol defining and participating in career advancement processes, such a induding early career resenctions of PC committee reserves equipy goals for both new here and researcher retention Career growth and mentoring systems are intentionally designed to provide ongoing support for underrepresented hires	Net MENTEDECUE. Adoption of new assessment mechanisms is supported and advocated for by departmental and institutional leaders All individuals actively contribute to building more equitable practices—not just minoritized ones New research assessment nerms are increasingly adopted as a defuelly faculty, administrators, and applicants	Her MONTLOCK NZ. "Positive fraction," on intentional pause points to reflect on assessment practices and slow down business-sexual processes in incorporated into business-sexual processes in incorporated businesses and into assessment activities feel processes active a balance of effectiveness and efficiency
EVALUATIVE AND ITERATIVE	ARTICULATION OF DIVERSE INDICATORS	SYSTEMATIZATION TO GAIN CONSISTENCY	IMPROVEMENT USING FEEDBACK LOOPS
AND ITERATIVE FEEDBACK How are intervention outcomes and progress toward institutional values captured and continually improved upon?	nes sour accurace. Goals and auxeese cliente for individual academic assessment interventions are well defined and shared Use of leading indicators (e.g. increased divestily of inquiries for oper positions) supportentiation logging indicators (e.g. increased divestily of hires) when gauging indicators (e.g. increased divestily of Minese diversities of the action of the action of our of the action of the action of the action of the action of the action of the action of the action of the action of the action of the action of the action of the action of the action of the action of the action of the action of the action action of the action of the action of the action of the action action of the action of the action of the action of the action action of the action of the action of the action of the action of the action action of the action of th	The description of the second	The sector correct of the sector of the sect



### PLOS BIOLOGY

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Figures

#### Assessing scientists for hiring, promotion, and tenure

David Moher 🔄, Florian Naudet, Ioana A. Cristea, Frank Miedema, John P. A. Ioannidis, Steven N. Goodman

Version 2 Published: March 29, 2018 • https://doi.org/10.1371/journal.pbio.2004089

Article	Authors	Metrics	Comments	Related Content
Abstract				
Introduction	Abstract			
Methods	Assessment of a	noncembero la noncence fe	or decisions of hiring, prom	ation and tonurs. A
Results			lieve the current system of	
Supporting information			ciety and disconnected from optimal quality of the scient	
Acknowledgments			cal and life sciences, we co	
References	funders, and scie	entists participated in the n	, in January 2017. Twenty-t neeting. As background for	the meeting, we
Reader Comments (2)			2 key documents critiquing d how the authors perceive	
Media Coverage (3)	assessing science	ce and scientists, the unint	ended consequences of m	aintaining the status quo

for assessing scientists, and details of their proposed solutions. The resulting table was used as

a seed for participant discussion. This resulted in six principles for assessing scientists and

DORA

The Declaration Signers Case Studies Resources Blog

### Reimagining academic assessment: stories of innovation and change

Case studies of universities and national consortia highlight key elements of institutional change to improve academic career assessment.

### What should we do with research 'excellence'?

30.09.2021 PROJECT UPDATES



Over the last 20 years, the notion of 'excellence' has permeated almost every inch of the research ecosystem - from research funding schemes, evaluation frameworks to publishing decisions. Once believed to be a way to measure the best of the best, 'excellence' is now more likely to be viewed as too ambiguous, the source of undesirable behaviours and a barrier to an inclusive research culture.

To dig into this, RoRI's <u>EXCELLENCE project</u> is exploring how the concept of 'excellence' is defined and used when it comes to research funding and evaluation. The project has two parts: the first is an <u>extensive literature review analysing how</u> 'excellence' has evolved and been understood; and the second is an empirical study looking at the use of 'excellence' by funders.

### Priority 3: Experiment, evaluate & amplify what works

#### The international journal of science/22 July 2021

### nature

### Responsible assessment faces the acid test

The University of Liverpool is planning lay-offs using controversial measures. How should the movement for responsible research respond?

A leading UK university has become mired in a public dispute over how it is assessing researchers' performance. The evolving around the world – and is raising questions about whether more needs to be done to ensure that universities assess their researchers equitably. At the end of last month, the leaders of some of the world's foremost responsible research initiatives – the Hong Kong Principles, the NOKMS Research Evaluation Group, the Leiden Manifesto and the Metric Tide – wrote a strongly worded letter arguing that the University of Liverpool's proposals remain with the

redundancy. In response to the threat of redundancies, researchers took industrial action during May, June and

One influential initiative is choosing to negotiate privately with the university. This is the organization behind the San Francisco Declaration on Research Assessment (DORA), an international voluntary agreement through which research organizations vow to conduct research assessment responsibly.

DORA's signatories pledge not to use metrics such as the Journal Impact Factor to evaluate researchers, and to be transparent in the criteria used to make decisions on matters such as hiring and promotion. Liverpool is one of some 2,200 organizations that have signed the declaration. DORA is in talks with the university, but choosing not to reveal further details. A statement on DORA's website says that it expects signatories to abide by their pledges, while also reiterating that it is not a regulatory body. DORA's approach – to resolve disputes constructively

DURA's approach - to resolve disputes constructively but without publicity - has had some effect. Liverpool initially included the field-weighted citation metric on its criteria for redundancies, but dropped that after consultation with DORA. However, there are conflicting views of Whether this puts Liverpool in the clear. The university told Nature its amended criteria are "In keeping with the principles of DORA'. In response, a DORA spokesperson said there are "ongoing concernes". Such mixed messages show

#### LEIDEN MANIFESTO FOR RESEARCH METRICS



Professor Dame Janet Beer, Vice-Chancellor of the University of Liverpool.

cc: Professor Anthony Hollander, Pro-VC for Research, University of Liverpool Professor Louise Kenny, Executive Pro-VC for Research, Faculty of Health and Life Sciences, University of Liverpool All members of the Senate of the University of Liverpool.

25th June, 2021.

Dear Professor Dame Janet Beer

We write as recognised experts in the responsible use of research metrics.

We note from the published document '<u>Managing Change: Project SHAPE Phase 2 Amended</u> <u>Proposals</u>', that the primary metric used by the University of Liverpool in the 'rounded assessment' used for redundancy selection is research grant income. We further note that a range of other qualitative metrics are used in the selection process, along with some broader categories such as 'evidence of significant non-research income.'

However, we remain highly concerned that those proposals remain very squarely out of line with accepted practice in the sector.

First, we do not see it as acceptable that a University can remove staff *en masse* primarily because of a failure to meet a specified research income threshold. We believe that any issue of research performance must be dealt with using established procedures that have broad support of academic staff, and that those procedures should take into account the full range of contributions to research. We note, in particular, that none of the published criteria recognise essential research taks like peer review, supervision and mentoring. This narrow view of research contribution does not address the need for humility and diversity, set out in *The Metric Tide*, and is in breach of principle 5 of the *Hong Kong Principles for Assessing Researchers* and principle 2 of the Leiden Manifesto.

### **\* Research**Professional News



#### Dispute over Liverpool's use of metrics is best resolved through dialogue, says Stephen Curry

This January, reports emerged that the University of Liverpool was using research metrics to identify academic staff at risk of redundancy in its restructuring of the Faculty of Health and Life Sciences. Such processes are always painful, but Liverpool's methods—notably its use of the field-weighted citation index (FWCI) and grant income targets—saw the issues spill beyond the normal boundaries of industrial disputes.

## <u>Priority 4:</u> Develop more sophisticated frameworks for compliance, accountability & enforcement

### AI is selecting reviewers in China

The tool is already saving time for the country's major grant funding agency.

#### BY DAVID CYRANOSKI

hina's largest funder of basic science is whether AI can improve the process. grant applications, in an attempt to make the and prone to bias. Several academic publish-

Natural Science Foundation of China (NSFC) funding agencies, including some in North is world-leading, but others are sceptical about America and Europe, have trialled simple AI systems, some of which match keywords in piloting an artificial intelligence (AI) tool that selects researchers to review proposals or publications is time-consuming tool that selects researchers to review proposals or publications is time-consuming The NSFC is building a more sophisticated process more efficient, faster and fairer. Some ers are experimenting with AI tools to select system that will crawl online scientific researchers say the approach by the National reviewers and carry out other tasks. And a few literature databases and scientists' personal

316 | NATURE | VOL 569 | 16 MAY 2019 © 2019 Springer Nature Limited. All rights reserver







### Al-assisted peer review

ARTICLE

https://doi.org/10.1057/c41599-020-4

Alessandro Checco<sup>®</sup> <sup>1</sup><sup>™</sup>, Lorenzo Bracciale<sup>2</sup><sup>™</sup>, Pierpaolo Loreti<sup>2</sup>, Stephen Pinfield<sup>1</sup><sup>™</sup> & Giuseppe Bianchi<sup>2</sup>

The scientific literature peer review workflow is under strain because of the constant growth of submission volume. One response to this is to make initial screening of submissions less time intensive. Reducing screening and review time would save millions of working hours and potentially boost academic productivity. Many platforms have already started to use automated screening tools, to prevent plagiarism and failure to respect format requirements. Some tools even attempt to flag the quality of a study or summarise its content, to reduce reviewers' load. The recent advances in artificial intelligence (AI) create the potential for (semi) automated peer review systems, where potentially low-quality or controversial studies could be flagged, and reviewer-document matching could be performed in an automated manner. However, there are ethical concerns, which arise from such approaches, particularly associated with bias and the extent to which AI systems may replicate bias. Our main goal in this study is to discuss the potential, pitfalls, and uncertainties of the use of AI to approximate or assist human decisions in the quality assurance and peer-review process associated with research outputs. We design an AI tool and train it with 3300 papers from three conferences. together with their reviews evaluations. We then test the ability of the AI in predicting the review score of a new, unobserved manuscript, only using its textual content. We show that such techniques can reveal correlations between the decision process and other quality proxy measures, uncovering potential biases of the review process. Finally, we discuss the opportunities, but also the potential unintended consequences of these techniques in terms of algorithmic bias and ethical concerns

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### The Responsible use of Technology-Assisted Research Assessment

UK SHARED BUSINESS SERVICES LIMITED Published date: 12 November 2021

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Open opportunity - This means that the contract is currently active, and the buying department is looking for potential suppliers to fulfil the contract.

Closing: 3 December 2021,

#### Contract summary

#### Industry

- Research and experimental development services 73100000
- Research and development consultancy services 73200000
- Design and execution of research and development 73300000

#### Location of contract

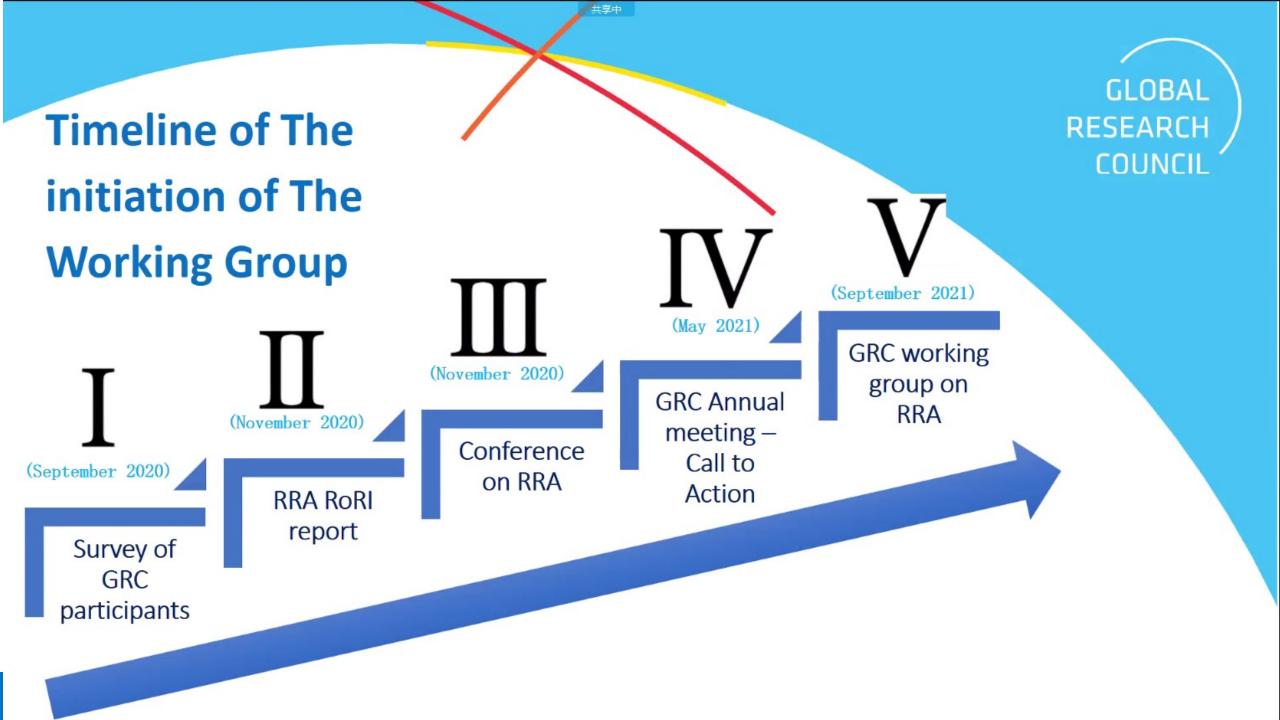
SN2 15Z

Value of contract

£0 to £150,000

Procurement reference

Priority 5: RRA needs to anticipate and keep pace with new tools and technologies of assessment and evaluation





## The RoRI pilot consortium

### **Founding Partners:**

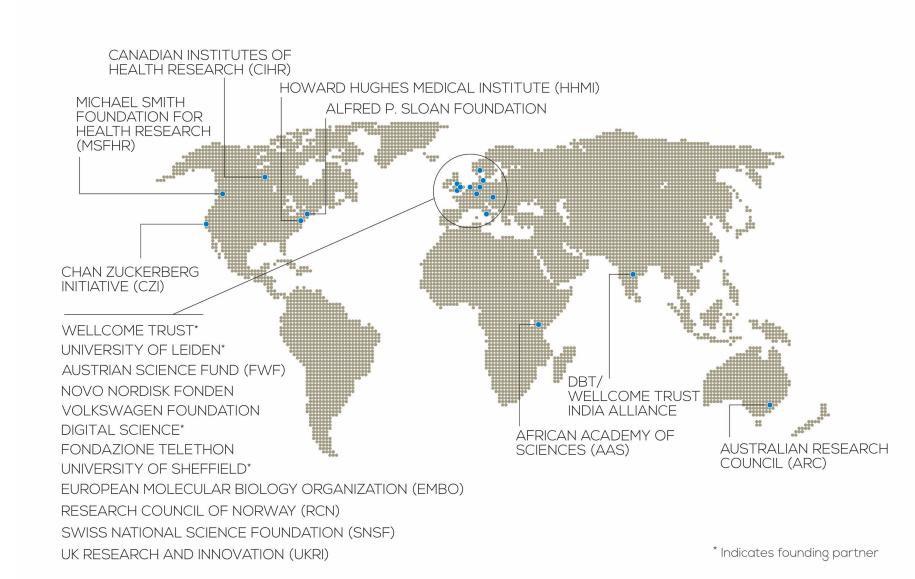
Wellcome Trust Digital Science University of Sheffield CWTS, Leiden University











Rosi Research Institute

### RoRI first-wave projects with funders (2020/21)

### CRITERIA

### Summary

Funders need their proposal selection processes to do one thing: select the proposals most likely to meet their objectives. Various inequalities in funding rates may exist, such as gender or field inequalities. The selection process a funder uses may mitigate or exacerbate these inequalities. The project will use data from many funders who each use different selection processes in different contexts. The outputs will help funders understand the potential drivers of inequalities in research funding and identify where mitigation is possible.

**Partners:** Australian Research Council; Canadian Institutes of Health Research; Chan Zuckerberg Initiative; EMBO; Austrian Science Fund (FWF); Michael Smith Foundation for Health Research; Novo Nordisk Fonden; Research Council Norway; W/DBT India Alliance; UKRI; Wellcome Trust

### RIA **[**

### Summary

Initiatives like the UK's **Research Excellence** Framework, Germany's Exzellenzinitiative and Switzerland's Eccellenza grants have put excellence at the centre of research policy and evaluation. This project will assess the ways in which the idea of excellence is currently used by key actors in the research ecosystem and the functions it serves in specific practices and processes in order to explore its possible futures. It will include detailed case studies of 10 funders.

EXCELLENCE

**Partners**: African Academy of Sciences; Australian Research Council; Canadian Institutes of Health Research; Austrian Science Fund (FWF); Michael Smith Foundation for Health Research; National Institute for Health Research (UK); Swiss National Science Foundation; Wellcome Trust.

### ۲۵۲۲ FAIRware

### Summary

This project aims to build open source software tool(s) to allow researchers, institutions and funders to assess and improve the 'FAIRness' of the research outputs they produce. Over recent years, the FAIR principles (Findability, Accessibility, Interoperability, Reusability) have gained considerable traction as a basis for describing how research data, and potentially other research outputs, should be documented and shared to ensure that they can be discovered, accessed and used effectively, such that their value is maximised.

**Partners:** Canadian Institutes of Health Research; National Institute for Health Research (UK); Swiss National Science Foundation; Wellcome Trust.



### Summary

The scope of this work is careers in research, broadly defined, with an empirical and policy focus on six countries: Austria, Canada, Denmark, Germany, UK and USA. The project will be designed and delivered by a team drawn from RoRI strategic partners in these countries, and a wider network of data, research and policy partners.

**Partners:** Canadian Institutes of Health Research; Chan Zuckerberg Initiative; Austrian Science Fund (FWF); Howard Hughes Medical Institute; Michael Smith Foundation for Health Research; National Institute of Health Research (UK); Novo Nordisk Fonden; Sloan; UKRI; Volkswagen Foundation; Wellcome.



### Summary

There is growing interest in the use of randomisation and lottery-type mechanisms in grant funding. By linking and supporting a series of linked and phased experiments with uses of focal, or targeted randomisation in funding processes (our preferred term to the sometimes misleading "lotteries"), and facilitating closer alignment and learning between these, the RoRI consortium could effectively undertake the largest multifunder, cross-country trial and analysis of these techniques.

**Partners:** Australian Research Council; Canadian Institutes of Health Research; Chan Zuckerberg Initiative; EMBO; Austrian Science Fund (FWF); Michael Smith Foundation for Health Research; National Institute of Health Research (UK); Novo Nordisk Fonden; Sloan; Swiss National Science Foundation; UKRI; Volkswagen Foundation; Wellcome.







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