Roadmap for Open Research – Self-Assessment 2023/24

The following table contains a self-assessment on Queen's University Belfast's readiness for Open Research, based on the 37 criteria set out in the [LERU Open Science Roadmap](#).

	Topic	Question	Assessment of progress	Proposed next steps	RAG Status
			Cultural change		
1.	Leadership	Has your university appointed a senior manager to lead Open Research (OR) approaches across all eight pillars of the Open Science debate identified by the European Commission?	• [OR Group](#) was established • [Open Science Guidelines](#) were produced by the School of Psychology • [ReproducibiliTea](#) network was established for Queen's researchers interested in OR • Library Services joined the [Digital Preservation Coalition (DPC)](#), implemented a [Digital Preservation Policy](#), subscribed to a digital preservation platform (Preservica) and appointed a Digital Preservation Officer	• OR Group will consider ways to engage with academic staff in other schools about Psychology's Open Science Guidelines • Appointment of an institutional UKRN lead is being investigated by Research and Enterprise (R&E) • Queen's will be participating in UKRN's Open and Responsible Researcher Reward and Recognition project (OR4) as a case study institution • Library Services will act as a champion for digital preservation within the University	
2.	HR	Has your university developed a programme of cultural change, which is necessary to support the changes in principle and practice which OR brings?	• University has a Research Culture Action Plan in place, with one of five strategic priorities committed to "Incentivise a culture of creativity and innovation in which researchers have the freedom and	• R&E will consider including OR-specific questions in future research culture survey • Work is being undertaken on embedding conversations around OR into PDR process for	

			flexibility required to explore ambitious and novel research ideas in the spirit of openness, transparency and integrity" • School of Psychology has included OR in recruitment documentation • OR team is coordinating efforts on elements of OR: open access (OA), e-theses, research data management (RDM) and ORCID	researchers	
3.	Advocacy	Does your university have advocacy programmes to identify the benefits of OR approaches, whilst being realistic about the challenges?	• ReproducibiliTea network at Queen's meets regularly • OR team has OA, e-theses and RDM outreach programmes • Open and Responsible Research Symposium was held	• OR Group will consider running an Open and Responsible Research Symposium annually • Open Science Workgroup in the School of Psychology is advocating (through the Open Science Guidelines and discussions with staff) Open Science within the School	
4.	Communication	Does your university have communication strategies which enable the whole university body to become familiar with OR practices?	• OR team produced OR webpages • Representative from OR team attends Faculty Research Committee meetings when required	• OR team will continue to encourage the use of the more inclusive term "Open Research" over "Open Science"	
			The future of scholarly publishing		
5.	Compliance	Does your university have institutional mandates to support the move to full OA and does it monitor implementation of these mandates?	• Research Publications and Copyright Policy, which will supersede the University's OA Policy, aligns with Research Excellence Framework (REF) OA Policy	• Research Publications and Copyright Policy will be implemented on 1 November 2023. Preparations for this will involve informing publishers about the policy, introducing new	

			• Initial compliance rate with the new UKRI OA Policy was investigated by the OR team • An institutional OA journal fund is available to researchers who are not sponsored by a research funder	Pure workflows, implementing an opt out procedure and an arranging an advocacy and training programme • OR team will review the REF support they provide to researchers once the REF 2028 OA policy is announced	
6.	Planning	Can relevant stakeholders work together to deliver a roadmap for how they, or specific groupings, can develop agreed plans for the future of scholarly publishing in their institution?	• OA for journal articles and conference papers is well established at the University • Subject Librarians emailed all schools about the forthcoming monograph requirement in the UKRI OA Policy; members of the OR team spoke at school board meetings; webpages were created; a new Pure validation workflow for books and book chapters was introduced; Pure training was provided for researchers	• Library Services will be piloting an institutional OA monographs fund	
7.	Advocacy	Does your university advocate the use of author identifier systems such as ORCID across the institution?	• ORCID is integrated with Pure, the University's Current Research Information System (CRIS) • There are over 1000 staff and postgraduate research students in Pure with ORCID iDs • ORCID is incorporated into OR team outreach and training and ORCID webpages have been produced • Research Publications and		

			Copyright Policy, which will supersede the University's OA Policy, encourages researchers to make use of ORCID		🟩
8.	Innovation	Has your university considered supporting new forms of scholarly publishing from third parties, such as OpenEdition and Knowledge Unlatched, which are dedicated to OA approaches?	• Library Services supports number of OA publishing initiatives. E.g., Modern Languages Open (OA publishing platform) and Open Book Publishers	• Library Services will continue to support new publishing initiatives where possible	🟧
9	Innovation	Where appropriate, has your university established new mechanisms for scholarly publishing based on the good practice identified in this chapter?	• Queen's does not have a university press and Digital and Information Services does not host OA journals • Library Services arranged a demo of the Octopus publishing platform	• Library Services is a partner institution in National Open Research Fund (NORF) 2022 Open Research Fund projects • OR team will consider developments in Diamond OA to determine if Queen's should implement local support services for researchers, such as journal hosting or monograph publishing	🟧
			FAIR data		
10.	Institutional policy	Has your institution a research data policy or strategy?	• University's RDM Policy was introduced in 2015 and updated in February 2022 • Research Data Management Subgroup (comprised of RDM support stakeholders) of the OR Group was established		🟩

11.	Institutional policy	Does your institution research data policy or strategy include FAIR principles?	• University's RDM Policy predates the FAIR Principles	• OR team will update the University's RDM Policy to include the FAIR Principles	
12.	Institutional support	Has your institution established a dedicated service to provide data stewardship to its researchers?	• Research Data Librarian post was created within the OR team to provide RDM support, advocacy, and training • Library Services subscribes to [DMPonline](#), which helps academic staff create data management plans (DMPs) • University-specific guidance was added to DMPonline to make it easier for researchers to complete DMPs • OR team mints DOIs for datasets in Pure		
13	Infrastructure	Does your institution provide access to an infrastructure storage and publication of research data? If it does not, does your institution inform its researchers of available infrastructures that follow the FAIR principles?	• Academic staff can access to 5 TB of cloud-based storage via Microsoft OneDrive • New and enhanced Research Data Storage platform has been deployed to support the secure storage of large datasets for the duration of research projects • A subscription to Preservica was purchased so that Special Collections and Archives digital assets and the University's e-theses can be preserved	• A business case is being developed for a new repository for datasets and e-theses. This is so functionality such as creating DOIs for e-theses, DOI versioning for datasets and controlled access for datasets can be introduced	
14	Data	Does your institution gather information about the data	• Regular reports on data held in the Research Data Storage	• OR team are monitoring whether Data Access Statements are	

		archived and published by its research community?	platform and Pure are provided to the Open Research Group • Information is not gathered about data that is deposited externally by researchers	being included in UKRI funded research papers	
15.	Metadata	Does your institution publish all metadata about research data generated or obtained within its research community?	• Pure is used as the University's data catalogue • An extra OR Assistant post was introduced to assist with metadata enrichment and validation • Metadata records in Pure are not routinely created for data that is deposited externally by researchers	• OR team will encourage academic staff to create metadata records in Pure that describe and link to externally deposited datasets	
16.	Assessment	Does your institution include research data as a valuable output in research assessments?	• OR team's outreach and training stresses the importance of data deposit in a data repository to increase citations, improve visibility, fulfil funder mandates, decrease research reproduction and increase collaboration		
The European Open Science Cloud					
17.	Infrastructure development	Has your university established a data repository, or does it have access to a 3rd party repository/repositories which can interact with the EOSC?	• Pure is used as the University's data repository		
18.	Infrastructure development	Does your university have a search and discovery service, enabling users to	• Research Portal is the University's search and discovery service		

		find what research data is available, and where it is located?				🟩
19.	Policy development	Has your university signed the EOSC Declaration as a statement of commitment at a local level?	• University did not sign the EOSC Declaration • Can join EOSC Association but Jisc is already an Observer Member			🟥
20.	Co-operation and collaboration	Will your university develop their research data management offering so that it is aligned with the principles of engagement with the EOSC, once the latter are agreed and available?	• EOSC is still under development and Jisc will advise UK HE community when to begin engaging directly with EOSC	• OR Group will keep engagement with EOSC under review		🟧
			Education and skills			
21.	Training	Does your institution offer skills training specifically in OR (in all or certain of the eight areas, or other OR aspects)?	• OR team offers courses (through Staff Learning and Development Programme, Postdoctoral Development Centre and Graduate School) aimed at academic staff and research postgraduates. OR team also offers ad hoc training sessions to schools and research groups	• Joint RDM training involving staff from the Information Compliance Unit, Open Research Team and Governance, Ethics and Integrity will be piloted		🟧
22.	Audience	Is any OR skills training mandatory, and for which categories of staff/researchers/students?	• OR training is not mandatory although an online course on the REF OA Policy was created in Queen's Online			🟥
23.	Assessment	Does your institution monitor or assess the	• OR team provides training attendance figures for the Open			🟧

		provision, uptake and impact of OR skills training?	Research Group, Library Services Annual Report and the SCONUL annual statistical return		🟧
Recognition and rewards					
24.	HR policy	Does your institution integrate OR in its HR and career frameworks as an explicit element in recruitment, performance evaluation and career advancement policies?	• Queen's is a signatory to the San Francisco Declaration on Research Assessment (DORA) and has associated institutional recommendations in place	• Work is being undertaken on embedding conversations around OR into PDR process for researchers. Inclusion of OR in academic profiles should also be considered	🟧
25.	Assessment	Does your institution assess the extent to which individuals, teams or units integrate OR in their daily practice? And does it recognize and/or rewards them for this?	• OR team produced monthly REF OA Policy compliance reports for the REF Champions. These are now available on request • OA KPI has been set as part of the Research and Innovation Strategy 2030 and is shared with the Research and Innovation (R&I) Committee three times a year		🟧
26.	Communication	Does your institution make information about its policies on researcher evaluation open and easily accessible?	• All details on academic progression are available on the University website. Academic 'profiles' for different grades and contract types are made available internally via Queen's Online • REF process not used to assess individuals		🟩

	Next generation metrics			
27.	Policy development	Will your university develop a bibliometrics policy grounded in the principles outlined in this paper, with the aim of changing the culture in the academic community about research assessment?	• Queen's is a signatory to the [San Francisco Declaration on Research Assessment (DORA)](#) and has associated institutional recommendations in place • A new institutional Publication Quality and Dissemination Action Plan (PQDAP) has been developed to support efforts enhance the overall academic reputation and impact of the University through research publishing, to improve awareness and understanding of publication-level and journal-level data amongst the academic community, and to ensure that these metrics are used in a responsible and supportive manner, in line with our commitments under e.g. DORA. • Paper on responsible research assessment presented to R&I Committee in May 2023, with broad agreement to explore developing an institutional policy statement. This would encompass RRA and the responsible use of metrics. R&E is developing a draft policy for consultation, and approval the by R&I Committee later in the academic year. R&I	• Development of proposed Responsible Research Assessment (RRA) policy statement currently in progress and will be brought to the OR Group for discussion prior to submission to R&I Committee. OR Group will consider ways to engage with academic staff in other schools about Psychology's Open Science Guidelines	

			Committee agreed that UKRN membership should be pursued but indicated that CoARA signatory status should be considered after the institutional policy is developed.		
28.	HR		Will your university embed the new forms of research evaluation in its internal processes for promotion/reward and research evaluation?	• Queen's invited to join UKRN's OR4 project as one of 14 'case study' institutions. Queen's will be part of a community of practice through this project which aims to support the institutional implementation of responsible researcher assessment policies and procedures that recognise and reward OR. Full engagement with case study institutions begins autumn 2023. • An internal R&E project has been delivered to manage the adoption of narrative CVs at Queen's as part of our broader commitment to responsible research assessment. R&E staff have joined the UKRI Alternative Uses Group to take part in a sector-wide discussion on this, and it is intended we will have clear proposals for broader adoption of the narrative CV in place for the start of the next academic year. • Institutional review of academic profiles currently underway and	• UKRN OR4 project engagement to begin in autumn 2023, involving R&E and OR team • Process to revise academic profiles ongoing, with final versions expected in Semester 1 2023/24 • Narrative CV training actively being delivered

			R&E colleagues feeding back to People and Culture, which includes embedding references to open and responsible research, and working to tailor the structure of profiles to the Narrative CV.		🟧
29.	Best practice guidance	Will your university, via appropriate internal bodies, construct guidance for research administrators and academics on good and bad practice in the use of traditional bibliometrics and in the development of new metrics, working with the scientific community in this endeavour?	• Paper on responsible research assessment presented to Research and Committee May 2023, with broad agreement to explore developing an institutional policy statement. This would encompass RRA and the responsible use of metrics. R&E developing a draft policy for consultation, and approval by Research and Committee later in the academic year. Research and Committee agreed that UKRN membership should be pursued but indicated that CoARA signatory status should be considered after the institutional policy is developed	• Paper submitted to Research and Committee in May 2023 and work underway to define proposed policy statement by early 2024 • As part of the new R&E Intranet site, a new online resource has launched entitled 'Publishing Your Research'. This includes information and guidance on the responsible use of metrics, ensuring that academics, researchers, and professional support staff are fully aware of the range of metrics used in research publishing, and the tools and approaches that can be used to responsibly utilise them	🟩
30.	Training for early career researchers	Will your university give particular focus to early career researchers, particularly those embarking on a course of doctoral study, providing training to enable them to embrace the change of culture and practice which	• OR team deliver training sessions aimed at research postgraduates and postdocs. Information about OA, ORCID and RDM also included on the Postdoctoral Development Centre website	• As part of PQDAP, R&E have partnered with Elsevier on various projects to improve awareness, understanding and responsible use of a range of metrics. This includes in-person training for all interested staff to take place in November 2023. Staff are also routinely invited to	🟧

		the responsible use of metrics brings?		join Elsevier's 'SciVal' accreditation course, an option which a number of colleagues have taken up	🟧

Research integrity					
31.	Communication	Does your institution promote awareness amongst the research community of how OR can ensure the highest standards of research?	• OR team outreach and advocacy includes the promotion of the benefits of openness • Through various training and induction programmes OR is promoted to staff and PGR students		🟧
32.	Policy	Does your university have a research integrity code which embraces the principles of OR? If not, does your institution abide by the European Code for Research Integrity (ALLEA Code) and the Open Science provisions it contains?	• The University has a [Code of Conduct and Integrity in Research](#), section 4 of the Code promotes openness and transparency		🟩

Citizen science					
33.	Policy	Does your university recognise citizen science as an evolving set of research methods, as well as its societal and educational benefits?	• Yes, see commitments to [Engaged Research activities and Engaged Research Action Plan](#). Also, one of the four priorities within [Strategy 2030](#) is Social and Civic Responsibility, and Economic Prosperity	Following successful Engaged Research Action Plan implementation, work is underway to evolve approach to Engaged Research, particularly in light of the new Civic Engagement and Social Responsibility Directorate being introduced this year.	🟩

34.	Communication	Is there a single point for citizen science within your institution?	• Yes, Impact and Engagement team within R&E. Additionally, several engagement hubs existing and further planned including around patient and public involvement (PPI), heritage and sustainable development		■
35.	Communication	Does your university raise awareness amongst researchers of criteria for successful citizen science?	• Yes, see commitments to [Engaged Research activities and Engaged Research Action Plan](#)		■
36.	Assessment	Are citizen science contributions assessed and research evaluation and reputation systems adapted accordingly?		• As part of current review of academic progression and profiles, a more holistic view of contributions will be adopted, including citizen science and engaged research.	■
37.	Policy	Do proposals for granting bodies for citizen science projects include long-term commitment for infrastructures and data repositories?			■