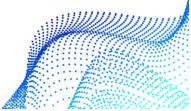


CoARA Governance Document

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The role of this Governance Document is to describe the guiding principles of the Coalition for Advancing Research Assessment (<u>CoARA</u>), its structures, their powers, authority and responsibilities, and their relationships. The Governance Document is the responsibility of the CoARA General Assembly. It can be amended, based on suggestions from CoARA member organisations or the Steering Board, to be reviewed by the Steering Board, and approved by the General Assembly.

1. Introduction and Guiding Principles

The goal of the CoARA is to enable systemic reform of research assessment on the basis of common principles and commitments within an agreed timeframe, as set in the <u>Agreement</u> <u>on Reforming Research Assessment</u>. This is achieved through exchange of information and mutual learning between all those willing to improve research assessment practices.

To effectively facilitate the achievement of this goal, member organisations of the CoARA subscribe to the following Guiding Principles that underlie and steer the conduct and evolution of the initiative.

1.1. Guiding Principles

- **Openness**. Membership is open to eligible organisations (see 'Membership' section) from across the world that have signed the Agreement on Reforming Research Assessment, and thereby have agreed with reform on the basis of common principles and commitments within an agreed timeframe. Member organisations may leave the CoARA. The outputs of the work of CoARA are publicly disseminated. Openness is also expected within the CoARA as a way to have fruitful discussions and create valuable results.
- **Responsibility**. The CoARA is composed of its member organisations. Decision-making relies on the General Assembly of member organisations, as well as on structures such as a Steering Board, with support from a Secretariat. The General Assembly decides the detailed organisation of the Coalition and the rules and procedures for its operation. The General Assembly also approves the annual work plan and budget of the CoARA as prepared by the Coalition Secretariat and reviewed by the Steering Board.
- Collaboration and mutual support. While very significant work outside this Coalition will be carried out by the member organisations to implement their commitments, the Coalition offers a space for mutual learning and collaboration between its member organisations, and a supportive environment. The CoARA seeks collaboration, complementarities and synergies with other existing initiatives and organisations, as appropriate. Mechanisms for periodic interactions with, and involvement of international,

national and regional authorities seek to ensure that policies and frameworks are conducive to the work of the CoARA.

- **Inspiration.** The sharing of information and collaboration is expected to inspire the Coalition member organisations in their reform journeys, as well as organisations outside the Coalition, and the broader scientific community.
- **Commitment and autonomy**. The CoARA supports and facilitates the implementation of the commitments by the member organisations, while respecting their autonomy.
- Voluntary and community-driven. The CoARA is a public, community-driven coalition constituted of member organisations willing to work together. As one of the means to support implementation, Working Groups are established and work as 'communities of practice' on specific topics. Working Groups are proposed at the initiative of member organisations, and participation from other member organisations is voluntary. In some limited cases, Working Groups may be proposed by the Steering Board. Other means such as workshops, webinars, (annual) conferences, seminars, trainings, etc. could also be used by the CoARA.
- **Dialogue**. The Coalition strives to create a broad dialogue in research and academic communities and beyond, and to involve representatives from the research community in its activities and bodies, including representatives of early career researchers.
- Inclusiveness. The CoARA is global in scope and seeks to promote broad, balanced and inclusive representation of its membership and stakeholder communities. The Coalition brings together research organisations at different levels of progress in reforms of research assessment and seeks to advance according to best practices. Inclusiveness is also expected within the CoARA bodies with respect to gender, ethnicity, age, disciplinary background, etc.
- **Trust**. Communicating the progress made by each member organisation towards implementation of the commitments set in the Agreement on Reforming Research Assessment is primarily based on self-assessment shared publicly. Such a trust-based approach facilitates exchange of information and collaboration, including joint experimentation and sharing of tools as appropriate.
- **Funding**. Support to the operation of the CoARA consists primarily of voluntary in-kind contributions from its member organisations, as well as funding obtained from research funding organisations and/or cash contributions from members.
- Non-profit. The CoARA does not promote, endorse, or sell commercial products, technologies, or services, but instead develops open and re-usable outputs.

Member organisations, as well as CoARA governing and supporting bodies are required to abide by the CoARA Code of Conduct.

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2. Participation and involvement

2.1. Membership

Membership is open to organisations only. Members are organisations from across the world that have signed the Agreement on Reforming Research Assessment, thereby agreeing with reform on the basis of common principles and commitments within an agreed timeframe, that subscribe to the CoARA Guiding Principles and Code of Conduct, and that are:

- Universities, and their associations;
- Research centres, research infrastructures, and their associations;
- Academies, learned societies, and their associations, and associations of researchers;
- Public or private research funding organisations and their associations;
- National/regional authorities or agencies that implement some form of research assessment and their associations; and
- Other relevant not-for-profit organisations involved with research assessment, and their associations.

Membership of the CoARA shall be approved by the Steering Board *[by the Interim Chairs until Steering Board members are elected]*, based on a verification that the concerned organisations have signed the Agreement through an authorised representative, and belong to one of the above categories.

A member organisation may leave the CoARA by transmitting its resignation to the Chair before 31st December in any year which becomes the date of effect of the resignation. Membership may be terminated by the Steering Board if the member organisation is found not to be operating in line with the aims of the CoARA or not to be adhering to its Code of Conduct. Termination is decided by the Steering Board with a two-thirds majority of the Steering Board members present. The member organisation whose termination is proposed shall be entitled to present its defence to the Steering Board.

2.2. Contribution to the work of the CoARA

Member organisations are actively involved in the work of the CoARA. The Coalition offers a space of collaboration and mutual support to activities such as for example:

- Collect, define and share good practices and challenges faced;
- Exchange information on changes piloted and implemented by the members within the CoARA, and also beyond;
- Define joint pilots and initiatives as appropriate;
- Establish guidelines that can be considered by all or part of the Coalition members and beyond;
- Exchange information on the impacts benefits and costs of the changes implemented for further evidence-informed changes;

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- Develop and share toolkits, games and interactive tools;
- Collaborate and seek synergies with like-minded initiatives.

The CoARA makes use of Working Groups, which operate as 'communities of practice' and are an important component of the Coalition. Working Groups are identified and proposed bottom-up by members. Working Groups are led by two or more member organisations, and other member organisations contribute on a voluntary basis. Individuals and experts external to the CoARA may contribute to the Working Groups when nominated by the organisations involved in these groups. Their contributions are expected to be provided in kind. Working Groups enable work across different types of research organisations, disciplines and countries and strive for broad international membership.

Working Groups are established and operate according to common procedures and criteria such as common rules of procedure, minimal number of participants, expected scope, clear need and value added, expected timelines, etc., while respecting the autonomy of the members.

Besides Working Groups, the CoARA will also use other means to support mutual learning and collaboration. These consist in: workshops, webinars, (annual) conferences, seminars, trainings, etc. Such means could also be used by the Coalition Secretariat or by the individual Working Groups to discuss a specific topic or to ensure coordination across horizontal topics relevant for several Working Groups.

The Secretariat will periodically consult members to understand, based on evolving needs, which additional means could be used to support collaboration.

2.3. Communication about the implementation of the commitments

Member organisations share information with each other through the Working Groups (as well as other potential means like workshops, conferences, etc.) for the purpose of mutual learning and collaboration. Member organisations also share information on their progress in implementing the commitments specified in the Agreement on Reforming Research Assessment, through light self-assessment communicated publicly, e.g. by sharing information via a public web-page under their responsibility presenting the policies and practices put in place to implement the commitments. This public information is updated in accordance with the timeframe established in the Agreement. The Coalition Secretariat will support in providing visibility and disseminating this information through the CoARA website and other relevant communication channels. For member organisations that leave the Coalition or whose membership is terminated, it is their responsibility whether or not to continue communicating about the implementation of the commitments.

The CoARA also communicates on the progress made by the Coalition as a whole, based on the information made available by its individual members. THE COALITION FOR ADVANCING RESEARCH ASSESSMENT (COARA) Governance Document v1.0

3. Evaluation and collaboration with other stakeholders

3.1. Evaluation of the CoARA

Progress made by the CoARA as a whole, as well as effectiveness and efficiency of the Coalition organisation and operation, and success of the Coalition in promoting collaboration, connecting initiatives, and inspiring changes to research assessment, are reviewed periodically, as soon as possible after the touch points in the timeframe foreseen in the Agreement. This is under the responsibility of the Steering Board, with support from the Coalition Secretariat, and is based on the public information provided by the members, plus further analysis of feedback on the organisation and operation of the CoARA. Mechanisms of evaluation of the CoARA as a whole are developed by the Coalition. They should include inputs from researchers, including early-career researchers, and may involve independent experts. Results are used to identify lessons learned and potential bottlenecks, and to improve the functioning of the CoARA accordingly.

3.2. Collaboration with other initiatives

The CoARA seeks for complementarities, collaborations and synergies with like-minded initiatives, organisations and frameworks, that identify and discuss challenges and good practices in research assessment, such as: the San Francisco Declaration on Research Assessment (DORA); the Dutch initiative "Room for everyone's talent"; the Norwegian toolbox for recognition and rewards in academic careers (NOR-CAM); the Finnish good practice in researcher evaluation; work by some European Universities Alliances; and other relevant international initiatives, organisations and frameworks, as appropriate.

3.3. Link with international/national/regional authorities

Periodic interactions with representatives from international, national and regional authorities (e.g. with ERA Forum members and observers as concerns organisations from EU countries and Associated countries) seek to ensure that the work of the CoARA link with developments by international, national and regional authorities. Mechanisms of interactions are developed by the Coalition.

In addition, signature of the Agreement by, and subsequent participation in the CoARA of international/national/regional evaluation and funding agencies, is encouraged. Potential 'national communities' of practice can also contribute to linking with international, national and regional authorities.

4. Governing and supporting bodies of the CoARA

The governing and supporting bodies of the CoARA provide the environment to support the participation of the individual members, and the work of the Working Groups and General Assembly of Members. They ensure that the organisational perspective remains focused on

the longer term aims of the CoARA.

The CoARA Governing Bodies are:

- The General Assembly of Members: All member organisations are entitled to participate in a General Assembly. The General Assembly is the representative organ of the Coalition. It elects a Chair and elects Steering Board members. It approves the overall strategy guiding the operations and activities of the Coalition as a whole, approves the annual work plan and budget, and decides on the Coalition Secretariat.
- The Steering Board: The CoARA Steering Board is made of a total of maximum 11 members, including a Chair and up to two Vice-Chairs (see dedicated Rules of Procedure). The Steering Board is a collegial body, that aims to take its decisions by consensus, otherwise the Chair may organise votes. The Steering Board is responsible for the overall oversight, strategy, work plan and sustainability of the CoARA. The Steering Board is acting and deciding on input from the CoARA members and other Coalition bodies. Members of the Steering Board originate from a diverse set of organisation types¹.

The CoARA Supporting Body is:

• The **Coalition Secretariat**: The Coalition Secretariat supports the administrative, managerial, logistical, communication, engagement, networking, outreach, leadership and other activities of the CoARA, with corresponding competencies. The Coalition Secretariat is hosted by one or more existing legal entities willing to do so. This allows the CoARA to receive and manage funds for its operation. Based on the needs, evolution and demonstrated value of the CoARA, it may acquire legal capacity at a later stage.

¹ Universities, and their associations; Research centres, research infrastructures, and their associations; Academies, learned societies, and their associations, and associations of researchers; Public or private research funding organisations and their associations; National/regional authorities or agencies that implement some form of research assessment and their associations; Other relevant not-for-profit organisations involved with research assessment, and their associations.

Annex: CoARA in detail

This section provides more detail about the CoARA Member organisations, Working Groups, governing and supporting bodies outlined above, and Chair and Vice-Chair(s). All CoARA governing and supporting bodies and their member organisations are expected to uphold the CoARA Guiding Principles and follow the CoARA Code of Conduct.

Member organisations

Function	Active involvement in the work of the CoARA.
Membership	 Membership is open to organisations from across the world that have signed the Agreement on Reforming Research Assessment, that subscribe to the CoARA Guiding Principles and Code of Conduct, and that are: Universities, and their associations; Research centres, research infrastructures, and their associations; Academies, learned societies, and their associations, and associations of researchers; Public or private research funding organisations and their associations; National/regional authorities or agencies that implement some form of research assessment and their associations; and Other relevant not-for-profit organisations involved with research assessment, and their associations.
Joining	 An organisation that has signed the Agreement may join by contacting the Coalition Secretariat, pending the approval of the Steering Board [or the Interim Chairs]. Each member organisation should appoint a representative that will act as a contact point for all communications.
Leaving	 Member organisations may leave the CoARA by transmitting their resignation to the Coalition Secretariat in writing. Membership can be revoked in respect of any member organisation who is found not to be operating in line with the aims of the CoARA or adhering to its Code of Conduct.
Duration	There is no term limit on membership.
Rights	• Member organisations may participate in all CoARA General Assembly meetings (with one vote assigned to each organisation) and activities, Working Groups and other activities.

	 Member organisations have the right to propose the establishment of new Working Groups. Member organisations can nominate different representatives from their organisation to participate in CoARA work. Member organisations receive regular updates on the work of the CoARA.
Responsibilities	 Member organisations and their representatives are expected to subscribe to the Guiding Principles and goals of the CoARA. Member organisations and their representatives are required to abide by the Code of Conduct of the CoARA. Member organisations and their representatives are encouraged to be active members, i.e., to participate in CoARA discussions, Working Groups, General Assembly meetings, etc., and to comment on CoARA outputs, plans and documents. Member organisations and their representatives are encouraged to involve those being the subject of research assessment in the
	 discussions, whenever relevant. Member organisations and their representatives are encouraged to contribute to the sustainability of the Coalition and to liaise with the Secretariat to facilitate the operations of the Coalition. Member organisations and their representatives are encouraged to promote the CoARA and its outputs to the broader community to contribute to the effectiveness and the impact of the organisation.

General Assembly

Function	• The General Assembly represents all the member organisations of
	the CoARA. It is the highest-level decision-making body, that meets
	at least once a year.
	• It is foreseen that the General Assembly meets at least three times
	during the first year of operation of the CoARA.
	• Decisions of the General Assembly are taken with a simple majority
	vote, with the exception of the following decisions, which are taken
	with a two-thirds majority vote:
	 Approving the Governance of the CoARA;
	 Approving the Rules of Procedure;
	 Approving the Code of Conduct;
	 Approving the annual work plan and budget of the CoARA;

	 Matters related to the high-level strategy.
	• Decisions by the General Assembly require a quorum, where the
	number of CoARA Member organisations present in person or by
	proxy is at least half (or the whole upper number nearest one half)
	of the CoARA Member organisations. For General Assembly
	meetings where the quorum is not reached, then the decisions will
	be postponed to a next/new meeting. In this next/new meeting, the
	quorum will not need to be reached for these postponed decisions.
Membership	All member organisations of the CoARA.
	• The main contact point indicated when signing the Agreement will
	be the representative with voting right invited to the General
	Assembly. Should this representative wish to delegate the vote to
	another representative within the same organisation, this should be
	notified to the Secretariat at least one week in advance of the
	meeting. A member organisation can also delegate the vote to
	another organisation (proxy vote). This should also be notified to the
	Secretariat at least one week in advance.
Responsibilities	The General Assembly is responsible for:
	Approving the Governance of the CoARA.
	Approving the Rules of Procedure.
	Approving the Code of Conduct.
	Electing a Chair and Vice-Chair(s).
	Electing Steering Board members.
	Approving the annual work plan and budget of the CoARA.
	• Approving the procedures and criteria for the establishment of the
	Working Groups.
	 Appointing the organisation(s) that host the Coalition Secretariat by simple majority vote.
	 Approving the strategy guiding the operations and activities of the
	Coalition as a whole.
	• Approving the strategy for the outreach of the CoARA (including at
	global level).
	 Approving the processes for follow-up and coordination of the
	Working Groups.
	 Approving the endorsement process and publication policy for
	Working Groups' outputs/deliverables.

Steering Board

Function	The Steering Board is responsible for the overall oversight, strategy, work plan and sustainability of the CoARA.	
Membership	 The Steering Board is made of a maximum of 11 members: One of the members is the Chair who is elected through a dedicated Chair's election. The ten other members are elected through a dedicated Steering Board's election. Up to two of the Steering Board members are elected Vice-Chair(s). One Vice-Chair is nominated Treasurer. Only representatives from the Member organisations of the CoARA are 	
	entitled to deposit candidacy to become Steering Board member.	
Election	Following candidacies, Steering Board members will be elected by a majority vote of General Assembly members. The number of Steering Board members to be elected is defined in procedures for the election of Steering Board members, to be approved by the General Assembly, taking due consideration to the balance between the types of organisations represented, geographic coverage, gender, and diversity of disciplines and expertise.	
Term	The Steering Board members normally serve for a term of two years. The term can be renewed twice, by one-year consecutive periods. The total term of a Steering Board member cannot be more than four years. The first election of the Steering Board will however foresee staggered terms for the ten members of the Steering Board other than the Chair. Five Steering Board members will be elected for a one-year term while five Steering Board members will be elected for a two-year term.	
Responsibilities	 The Steering Board is responsible for: Approving membership of the CoARA. Appointing the Coalition Secretariat based on decision by the General Assembly. Reviewing the annual work plan and budget of the CoARA as prepared by the Coalition Secretariat and to be approved by the General Assembly. Overseeing the management of the financial affairs of the CoARA, with support from the Secretariat (Treasurer, supported by the Secretariat). 	

•	Guiding the development of a strategy for the outreach of the
	CoARA (including at global level).
•	Acting as ambassadors of the CoARA and supporting the Chair and
	Vice-Chair(s) in representing the Coalition in international fora and
	outreach activities.
•	Monitoring the progress made by the Coalition as a whole (based
	on the self-assessment provided by the member organisations),
	and evaluating the effectiveness and efficiency of the Coalition,
	and its success in promoting collaboration, connecting initiatives,
	and inspiring changes to research assessment, with support from
	the Coalition Secretariat.
•	Defining the procedures and criteria for the establishment of the
	Working Groups, to be approved by the General Assembly.
•	Approving candidate Working Groups aligned with the objectives of
	the CoARA, and with the procedures and criteria for the
	establishment and operation of the Working Groups.
•	Defining the processes for follow-up and coordination of the
	Working Groups, to be approved by the General Assembly.
•	Preparing an endorsement process and publication policy for
	Working Groups' outputs/deliverables and other CoARA
	documents, to be approved by the General Assembly.
•	Ensuring that the guiding principles and Code of Conduct of the
	organisation are respected.
•	Elaborating additional Rules of Procedure or amending/detailing
	existing ones, with support from the Coalition Secretariat, to be
	approved by the General Assembly.

Chair and Vice-Chair(s)

Function	The Chair is responsible for chairing the meetings of the General Assembly and of the Steering Board, and for representing the Coalition. Up to two Vice-Chairs support the Chair's work. A Vice-Chair fills the Chair's position for the remaining term, should this position get vacated.	
Election	• Following candidacies, the Chair will be elected by a simple majority vote of General Assembly member organisations. Only representatives from the Member organisations of the CoARA are entitled to deposit candidacy to become Chair.	

Term	 At the occasion of elections to the Steering Board, the candidate(s) who receive most votes and who had also declared candidacy for a Vice-Chair position, is (are) nominated Vice-Chair(s). The Chair serves for a term of two years, non-renewable. The Vice-
	Chairs(s) serve(s) for a term of two years. The term of Vice-Chair(s) can be renewed once, by one-year consecutive period.
Rights	 The Chair becomes member and Chair of the Steering Board. The Chair and Vice-Chair(s) are provided with support from the Coalition Secretariat.
Responsibilities	 The Chair is responsible for: Chairing all General Assembly meetings. Chairing all Steering Board meetings. Representing the Coalition in international fora and outreach activities. The Vice-Chair(s) is (are) responsible for: Helping the Chair to represent the Coalition in international fora and outreach activities. Specific Tasks identified by the Steering Board, such as the function of Treasurer. Replacing the Chair in case of unavailability or in case the Chair's position gets vacated.

Coalition Secretariat

Function	ne Coalition Secretariat supports the administrative, managerial, gistical, communication, engagement, networking, outreach, adership and other activities of the CoARA. The Coalition Secretariat a team responsible for all matters related to the operations of the DARA.	
Staffing	The staff of the Coalition Secretariat is expected to have expertise with administration, change management, logistics, communication, engaging with stakeholders internationally, networking a large and diverse set of stakeholder organisations, outreach, and leadership.	
Responsibilities	 The Coalition Secretariat is responsible for: Preparing and implementing the Coalition work plan and budget; seeking for funding opportunities; regularly monitoring the budget and report to the Steering Board and the General Assembly. 	

	•	Managing and supporting the daily operations of the Coalition for
		the implementation of the Coalition work plan, in line with the CoARA
		rules.
	•	Supporting the activities of the General Assembly and its Chair, the
		Steering Board, and CoARA activities including Working Groups.
	•	Organising the periodic meetings of the General Assembly and
		Steering Board, and providing support for the meetings of the
		Working Groups and other CoARA activities.
	•	Engaging with stakeholders and communication activities,
		including the establishment and maintenance of a website, and the
		preparation and implementation of the strategy for the outreach of
		the CoARA (including at global level).
	•	Organising the work of the CoARA and reporting on it.
	•	Promoting the work and outputs of the CoARA, including its Working
		Groups, and disseminating outputs and documents.
	•	Supporting the establishment of synergies and dialogue between
		the Coalition and relevant initiatives and communities of practices.
	•	Providing and organising support for the periodic evaluation of the
		progress made by the Coalition as a whole, its effectiveness and
		efficiency, and its success in promoting collaboration, connecting
		initiatives, and inspiring changes to research assessment.

Working Groups

Function	The purpose of Working Groups is to exchange knowledge, learn
	mutually, discuss and develop any outputs to advance research
	assessment and help with the implementation of the Members
	commitments (horizontal topics; discipline or inter-disciplinary topics;
	topics specific to a given type of organisation, or to organisations from
	a given country or group of countries). They contribute to the overall
	work of the CoARA and operate as 'communities of practice'.
Membership	Working Groups are open to participation from individual
	representatives and experts of all CoARA member organisations.
	• Member organisations can join an existing Working Group at any
	time.
	• Experts external to the CoARA may contribute to the Working Groups
	when nominated by the member organisations involved in these
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	groups.

Creation	 Working Groups are identified and proposed bottom-up by member organisations. A limited number of Working Groups can be proposed top-down by the Steering Board, if the need arises. Working Groups are led by at least two member organisations, and others contribute on a voluntary basis. The procedures and criteria for their establishment and operation are developed by the Steering Board, with approval by the General Assembly.
Duration	The maximum duration of a Working Group is two years. Each established Working Group will submit to the Secretariat a yearly progress report of its activities.
Termination	 A Working Group may be terminated: If the Chairs request it and at least two-thirds of the member organisations of this group agree; If the Working Group is not following the principles outlined in the CoARA Code of Conduct and in its Governance Document. Any decision in this regard will be made by the General Assembly on hearing evidence; If the Working Group is considered inactive by the Steering Board, following the information received from the Working Group in its annual progress report; If the Working Group has achieved its proposed objectives.
Rights	 Working Groups have access to support from the Coalition Secretariat (for the applications, the setting-up, the meetings and work, and the communication and dissemination of outputs). Working Groups may be provided with guidance from the Steering Board. Working Groups are informed about the processes for follow-up and coordination of the Working Groups, as approved by the General Assembly. Working Groups are informed about the endorsement process and publication policy for Working Groups' outputs/deliverables, as approved by the General Assembly. Working Groups are provided with support by the Secretariat for the publication and dissemination of their outputs/deliverables.
Responsibilities	• The Working Groups work according to their agreed mission and work plan, work according to the Code of Conduct, strive to meet

	the agreed deadlines, finalise their outputs, and report to the
	Steering Board and General Assembly according to the established
	procedures.
•	• The Working Groups ensure with the Coalition Secretariat that their
	mission statement and work plan are made public via the CoARA
	website.
•	The Working Groups in principle openly disseminate the results from
	their work.
•	Some Working Groups may however not share some results, when
	such results have a confidential nature or when the Working Group
	is meant to share information that are particularly sensitive to
	member organisations.