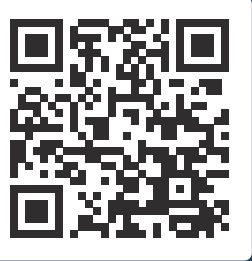


FRAME-RA

A Documentary Methodology for Evaluating the Institutional Implementation of Responsible Research Assessment

(methodology under development)



Article + methodology (Sept 2026)

A practical documentary tool for institutions implementing CoARA principles

PROVISIONAL PILOT LANDSCAPE · HUMAN VALIDATION ONGOING

From policy principles to documented implementation · CoARA National Chapter Slovenia pilot

INTRODUCTION - WHY FRAME-RA?

National legislation required renewed assessment rulebooks by 13 June 2026. The question now is not only legal conformity, but whether the renewed documents operationalise responsible assessment.

FRAME-RA evaluates the documented DESIGN of assessment systems - documents, not researchers and not actual daily practice.

Design audit, not performance audit: the instrument makes formal implementation visible and comparable - across institutions and over time.

A transferable audit instrument for the CoARA community.

ONE CODING PASS - THREE NON-SUMMED VIEWS

Every regulation is coded once, against 98 predefined coding items. Three views are derived - never combined into a single institutional score:

I. NATIONAL STATUTORY CONFORMITY

Alignment with applicable national statutory requirements: a 12-item statutory module, scored 0-3, applied within the scope of each provision.

II. DOCUMENTED IMPLEMENTATION MATURITY

86 items build 9 category profiles (0-3). Per item: function (informative / conditional / decisive), barrier flag + origin (national or institutional), exact evidence, coder confidence.

III. PREDEFINED POLICY LENSES

6 transparent subsets of the same evidence base - societal impact, open science, careers, assessment integrity, EDI, feasibility. Lens overlap is intentional: policy views, not independent scales.

WHAT FRAME-RA ANALYSES

- A** Commitments & governance
- B** Diversity of research outputs
- C** Diversity of activities & roles
- D** Open science & integrity in assessment
- E** Qualitative assessment & careers
- F** Responsible use of quantitative indicators
- G** System architecture
- H** Procedural quality & fairness
- I** Evidence architecture
- K** National conformity module

Per item: function, barrier flag + origin, exact evidence, coder confidence. Design audit, not performance audit.

THE FRAME-RA APPROACH - FROM DOCUMENT TO RESULTS

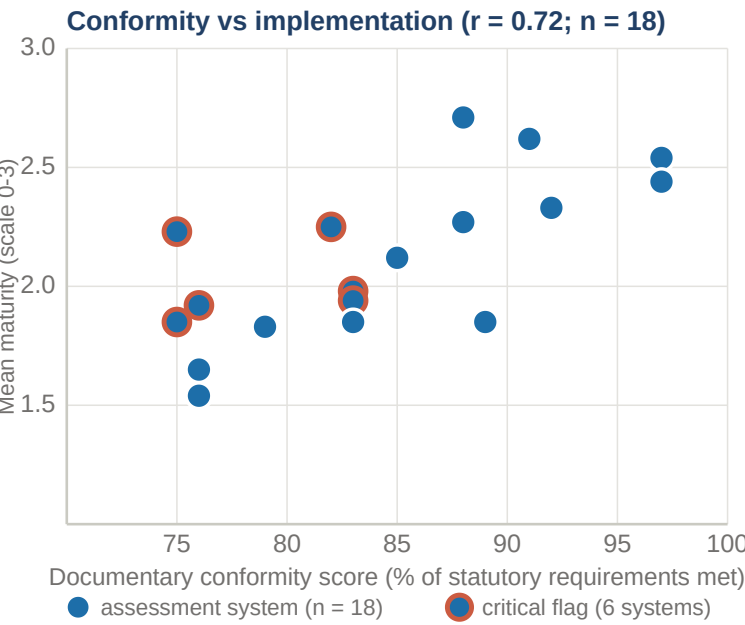


One source - one coding pass - separate answers. Lens overlap is intentional: policy views, not independent scales.

PILOT LANDSCAPE - 18 SYSTEMS

Coder-0 (AI) draft values, instrument v1.0; sealed randomised labels (S-01 ... S-18, ordered by mean maturity). The sample covers research organisations and higher-education institutions. Provisional values - human validation in progress.

AI-CODED · HUMAN VALIDATION IN PROGRESS



Shared gaps of all 18 systems: assessor training 0/18 · right to respond 1/18 · open peer review, early sharing and citizen science operational nowhere.

Neither axis alone adequately describes institutional assessment design: conformity is necessary, but it does not equal implementation.

Implementation profiles (maturity 0-3, instrument v1.0)

	Govern.	Outputs	Activit.	Careers	Qualit.	OpenSci	Metrics	Proced.	Evidence
S-01	2	3	3	3	3	3	3	3	3
S-02	2	3	3	3	3	2	3	3	3
S-03	2	3	3	3	3	2	3	3	3
S-04	2	3	2	2	2	2	3	2	3
S-05	2	2	3	3	3	1	2	2	3
S-06	2	2	2	2	3	2	2	2	2
S-07	2	3	3	3	3	1	3	2	2
S-08	2	3	3	3	3	0	2	2	2
S-09	2	2	2	2	3	1	3	2	2
S-10	2	2	2	2	2	0	2	2	2
S-11	2	3	3	2	2	1	1	2	2
S-12	2	2	2	3	2	1	2	2	2
S-13	2	2	3	2	2	0	2	1	2
S-14	2	2	3	2	2	1	1	2	2
S-15	2	3	3	2	2	2	1	2	2
S-16	2	2	3	2	2	1	1	2	2
S-17	2	2	1	2	2	1	2	2	2
S-18	2	1	2	2	2	1	2	1	1

0 absent 1 declarative 2 emerging 3 operational
Outputs and activities modernised fastest · governance remains mostly emerging · open science weakest in 17/18 systems (level 0 in three of them) · time-based rules are career gates alongside bibliometric criteria.

IMPLEMENTATION BARRIERS

An implementation barrier is a mandatory rule, omission or design feature that can prevent otherwise relevant contributions from supporting progression. The typed register holds 64 entries across the 18 systems; mitigations are always recorded.

	THRESHOLD mandatory minima: citation, publication-count, percentile and seniority thresholds	33
	EXCLUSION omission, non-recognition, affiliation gates; career breaks ignored	22
	CLASS venue or quartile classes replace expert judgement	6
	GRADIENT binding point systems shape behaviour over time	6

TIME IS ALSO A METRIC: double mandates, seniority years, recency windows and resets now gate careers - rarely with interruption compensation.

Counts represent category occurrences; one documented barrier may contribute to multiple categories.

RELIABILITY & AI TRANSPARENCY

73% calibration agreement vs human coder 1
84% calibration agreement vs human coder 2

Calibration, not final reliability

Human coders verified the calibration institution element by element. Reconciliation refined the item register and coding guide; final inter-rater reliability will be estimated in the blind round.

Verification works

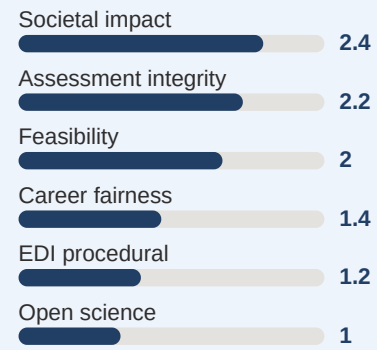
Human validation identified one systematic coder-0 mapping error BEFORE the blind round; the coding guide was refined before the reliability study.

Blind round in progress

Two human coders x 3 institutions; ordinal Krippendorff alpha on pre-consensus submissions (coder 0 excluded, compared separately).

LENS EXAMPLE (calibration institution)

Predefined lenses recombine the same items into policy views - reconciled values (0-3):



Same data, different policy views - no single index.
The open-science lens DEEPENS category D; the other lenses cut across categories.

CURRENT STATUS & METHOD RULES

- ✓ 98-item register + 6 predefined lenses, unified 0-3 scales (versioned, decision register)
- ✓ 18 provisional coder-0 codings
- ✓ Calibration institution reconciled (3 coders)
- ✓ Blind human validation under way
- METHOD RULES TO MAKE CLAIMS SAFE:
 - Profiles follow fixed rules; NA only for items outside scope or unused design elements - never convenience.
 - Lens overlap is intentional: policy views, not independent scales.
 - Documented design only; institutional practice requires separate validation.

KEY MESSAGES & OBJECTIVES

- **National conformity is necessary but not sufficient: it does not equal implementation.**
- **Responsible-assessment reform is visible in outputs and activities, but open science and career fairness still lag.**
- **Time-based rules are becoming a new generation of career metrics.**
- **FRAME-RA offers a transferable, openly documented audit instrument for the CoARA community - the statutory module regenerates per jurisdiction.**

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Article + method: QR above