



OPEN RESEARCH CHECKLIST

For an introduction to Open Research, visit the [Open Research webpages](#).

The purpose of this list is to highlight a suite of Open Research practices to you, including ones required by funders, by providing an easy-to-follow checklist. It is addressed to all researchers, including PGRs. It is not meant to be prescriptive, but it does highlight areas where funder and/or University requirements apply.

- **Required actions** are aligned to funder and University policies. *Requirements allow for reasonable exceptions*, for example because of confidentiality in consultancy work.
- **Key actions** complement the required actions and support best practice.
- **Further actions** help make your research even more open, transparent and discoverable.

All actions can be applied flexibly to your research area.

You can use a copy of the checklist for each project, to meet required actions and apply any additional ones relevant to your research.

AT A GLANCE

REQUIRED ACTIONS ¹	KEY ACTIONS	FURTHER ACTIONS
<input type="checkbox"/> Create an ORCID or connect your existing one in the Open Research repository. [one-off action]	Key actions support the required actions. They are built around three areas: <ul style="list-style-type: none"> • What factors (e.g. ethical, commercial) could affect how you manage and share your research and how can you address them? • What can you do to make your research more discoverable? • What can you do to learn more about Open Research? 	There is much more you can do to: <ul style="list-style-type: none"> • Make your research even more open, visible, transparent and reusable • Evidence and evaluate research • Share your Open Research knowledge and experience with others.
<input type="checkbox"/> Make your research articles and conference proceedings Open Access .		
<input type="checkbox"/> Create records of your older publications (at least since the last REF period) in the University's repository.		
<input type="checkbox"/> PGR students: make your final thesis Open Access .		
<input type="checkbox"/> Create a Data Management Plan (DMP) for all data that will underpin publications and doctoral work.		
<input type="checkbox"/> Make your data as open as possible , as early as possible.		
<input type="checkbox"/> Create a record for your research data in the University's repository.		
<input type="checkbox"/> Include a data access statement in all your research articles.		
<div style="border: 2px solid red; padding: 10px;"> <p>! Check your funder's requirements for Open Access, research data and other outputs. Meet any funder-specific requirements beyond the required actions here (e.g., to share software, make monographs open or use specific repositories or licences).</p> </div>		

¹Exceptions may include commercial, contractual, ethical, practical and security-related factors that call for some outputs to be temporarily or permanently restricted. Where necessary [please contact the Open Research team](#) to discuss.

REQUIRED ACTIONS

ORCID and Open Access

Create an ORCID or connect your existing one to the Open Research repository.

[one-off action]

WHY: Using your [ORCID](#) ensures your research outputs and activities are correctly attributed to you.

HOW: Visit the [Open Research Repository](#). In the top right corner, select *Surrey researchers sign in* (use your University username and password). Select *Edit Profile* (top left corner). Scroll down. Under Global IDs, select *Register or Connect your ORCID iD*.

Make your research articles and conference proceedings Open Access.

WHY: Open Access (OA) - free, unrestricted online availability of research literature - helps you reach readers beyond those who can subscribe to the content, increasing your research visibility and impact while supporting the sharing of knowledge with society. Open Access is required by many funders, and for REF eligibility.

HOW: [Add your papers to the Open Research repository](#) on acceptance. In many cases, you can also [publish your papers Open Access](#). Look up [current processes](#) to find out your options.

Create records of your older publications (at least since the last REF period) in the University's repository.

WHY: You will have a comprehensive record of your publications visible online. This will also feed into your staff profile page and your appraisal sheets.

HOW: [Create records in the Open Research repository](#).

PGR students: make your thesis Open Access.

WHY: Open Access makes your thesis more visible and helps increase its impact. The University and some funders require this.

HOW: Read [the guidelines](#) early on. Use the deposit form to deposit the final version (post-viva and approval).

! Check your funder's requirements for Open Access, research data, and other outputs. Meet any funder-specific requirements beyond the required actions here (e.g., to share software, make monographs open or use specific repositories or licences).

Research data

Do you have research data (i.e., evidence that underpins research)? See a [definition and examples](#) of what may constitute research data.

Create a Data Management Plan (DMP) for all data that will underpin publications and doctoral research.

WHY: A DMP helps you plan how you will manage, store and, where possible, openly disseminate your research data. It also helps you address ethical and commercial issues. DMPs are required by many funders as part of grant applications.

HOW: Use [DMPOnline](#) to create your plan. See [how to write a DMP](#). You can also [contact the Library](#) for bespoke support.

Make your data as open as possible, as early as possible.

WHY: [See benefits of open data](#).

Many funders and the University have research data policies.

HOW: [See guidance on sharing your data](#).

Use a discipline-specific data repository where required by your funder or recommended by your research community or publisher. You can also use Surrey's [Open Research repository](#).

Create a record for your research data in the University's repository.

WHY: Creating a record for your data in the University repository ensures it is discoverable, even when the datasets are restricted or hosted elsewhere.

HOW: See how to create an official record of your data at [Sharing your research data](#).

Include a data access statement in all your research articles.

WHY: A data access/availability statement tells the reader whether there are datasets associated with a paper and whether and how they can be accessed. Many funders and journals require this statement, even if it is simply to state you have no data.

HOW: See [guidance on access statements](#).

KEY ACTIONS

To address factors (commercial, security, ethical) that may affect openness to research:

- Discuss any issues at the pre-award stage with the relevant team as appropriate: [innovation](#), [ethics](#), [trusted research](#), [data protection](#).
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Research should be 'as open as possible, as closed as necessary'. To avoid 'closed' research:

- When publishing an article, try to [retain your rights](#): this will enable you to reuse your own work in research and teaching, and to make it Open Access immediately on publication.
 - Get permission as early as possible to [use copyrighted content](#) in your thesis and other outputs. Where possible, include [open resources](#).
 - Address research data sharing plans in your ethics applications and in any [consent forms](#). See [relevant guidance](#).
 - Address ownership of IP and research data sharing plans in your collaboration agreements and any other research contracts. See the [University's inventor guide](#) and [relevant scenarios](#).
 - [Include costs to support open data/data sharing practices](#) (e.g., research time for preparing data for sharing, data storage) in research grant applications.
 - [Anonymise your data](#) to preserve the privacy of your participants, or aggregate data so it can be shared but retain commercial/IP protection.
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To make your research discoverable:

- Keep your [ORCID profile](#) up to date, linking to your outputs, grants, Open Research badge and other research activities. Identify, claim and verify your profile on the main external databases ([Scopus](#) and [Web of Science](#)); these can also be linked back to ORCID.
 - Document your research data, code and other outputs to enable discovery, verification and re-use. This includes describing your project and related data according to metadata standards, including a README file with relevant information and applying good practice in file naming and organisation. See [relevant guidance](#).
 - Follow the [guidance on using keywords](#) to make your research more discoverable. Also [follow advice on title, abstract and keywords for search engine optimisation](#).
 - Add the correct affiliation, in the recommended format, to your research outputs. The correct format is as follows:
Name | Department | Faculty | Institution | City | Country
Example: *Professor Max Lu, Department of Chemical and Process Engineering, Faculty of Engineering & Physical Sciences, University of Surrey, Guildford, United Kingdom.*
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To learn more and keep up to date about Open Research:

- Complete the [Open Research online module](#). Download your Open Research badge and add it to your website, social media, signatures and ORCID profile.
- Attend [training](#) on a range of topics. [Contact us](#) to arrange a bespoke session for your School.
- Refer to the [Open Research website](#) for detailed guidance and links to key resources. Bookmark the handbook that contains all the links you need.
- Visit the [Research support hub](#) for news, upcoming training and other information.
- Join the [Surrey Open Researcher Community](#) on Teams for updates and discussion.

FURTHER ACTIONS

To make even more of your research Open Access:

- Consider making your monographs, book chapters and edited collections Open Access. Explore [current options](#) and [read how to choose an OA publisher for your book](#).
- Consider making other research outputs Open Access if possible. These may include reports, resources developed for practitioners and the public and artistic works such as designs and music compositions. The Library can help you upload them in the Open Research repository, assign a DOI for discoverability, advise on copyright and apply a suitable open licence. Contact openresearch@surrey.ac.uk for more information.

To make your research even more visible:

- Use social media (including [academic social media](#)) to promote your research. Consider [Mastodon](#) as a platform to interact with your research community (see a [discussion of the pros and cons](#)).
- [Write blogs](#), lay abstracts or articles for the public. For example, consider contributing to [The Conversation](#).
- Contact the University's [Public Engagement](#) team for more ideas on how to make your research reach a wide range of audiences.

To link research and teaching

- Explore options for using and creating [open educational resources](#).
- Use research publications and [open data in your teaching](#).
- [Embed open practices into your teaching](#).

To make your research even more transparent and reproducible:

- [Preregister your study or submit a Registered Report](#).
- Explore ways to [make your qualitative research more transparent](#).
- Share pre-publication versions ([preprints](#)) of your articles for timely dissemination of results.
- Support [open peer review](#) models for publications and preprints.

To make your research collaborative and reusable:

- [Address authorship, contributions](#) and responsibilities from the start of your collaborative projects.
- Share your [data, software and code, lab notebooks](#) and other outputs in open formats and under an open licence. [Software Sustainability Institute guidance](#) gives you an overview of software repositories. The recommended licence for research data is the Creative Commons Attribution Licence (CC BY); but [choose the licence most suitable for your research](#). Consider [open licence options for software and code](#). Subject to commercial considerations, you may also decide to [waive copyright](#) altogether.
- In addition to software and code, consider [open source options](#) for your [data analysis, hardware](#) and [humanities research](#).
- Follow [community standards](#) to facilitate interoperability of datasets.
- Explore [Citizen Science](#) ideas that could enhance your research and engage the public.

To evidence and evaluate research

- Familiarise yourself with the University's commitment to [DORA](#) and to the [responsible use of research & innovation metrics](#). Consider signing DORA as a researcher to pledge your support for the use of best practice in researcher assessment.
- Publication and citation metrics are in the public domain; identify, claim and verify your profile on the main external databases ([Scopus](#) and [Web of Science](#)); these can also be linked back to [ORCID](#).
- Engage both with [qualitative assessment](#) and with a broad range of qualitative indicators.
- Value all forms of research outputs including datasets and software packages and, when referenced, cite these directly (i.e., as separate entities to the main article).
- Adopt the [Résumé for Researchers and Innovation \(R4RI\) narrative CV approach](#) to capture the quality, significance and impact of a broad set of your research contributions.

Get inspired further... and inspire others

- Not sure which open practices you can use in your discipline? Get inspired by [examples of open practice in different disciplines](#) and [Surrey case studies](#).
- Already practising Open Research? We would like to hear from you. You may want to share tips on open practice (e.g., around methods, analysis, platforms and tools used in your discipline); develop and share your expertise by taking part in the UKRN train-the-trainer scheme; simply discuss Open Research with others. Please contact openresearch@surrey.ac.uk or post on the [Open Researcher Community channel](#).

If you have any questions on Open Research, please contact openresearch@surrey.ac.uk. Depending on your query, you will be directed to the appropriate expert. Please also have a look at the [Teams that support Open Research at Surrey](#).

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