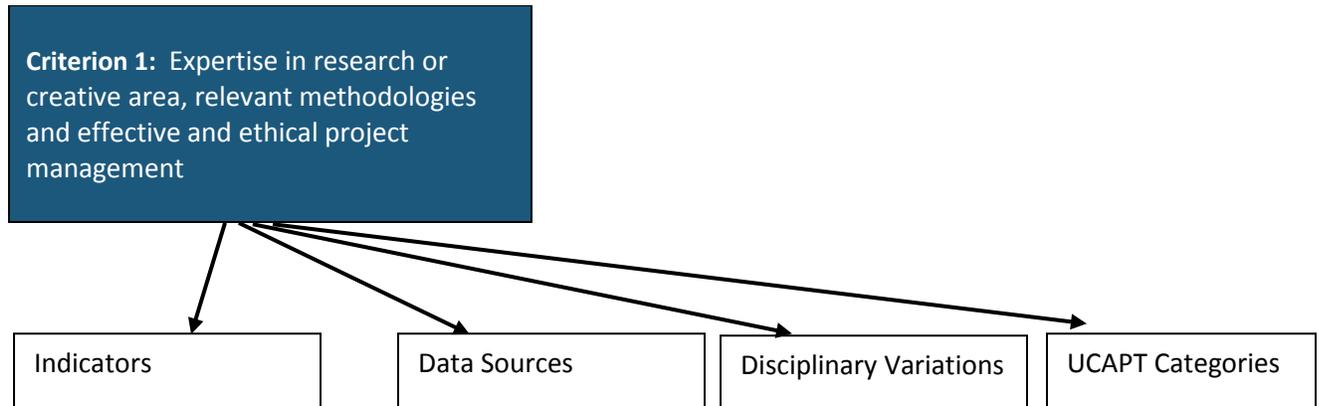


University of Windsor Research Evaluation Framework

For each criterion, the Framework provides:

A definition, possible indicators, potential sources of evidence, possible disciplinary variations (illustrative, not exhaustive) and associated **UCAPT report categories**



Research practices and standards vary widely across (and even within) disciplines and a key challenge is ensuring that criteria are broad or flexible enough to capture variation, while still specific enough to articulate how decisions are being made. The Framework provides some guidance with regard to variations already found in criteria – this will be updated as new criteria are developed.

Research Evaluation Criteria Framework

March 7, 2016

This document is an example of one approach to establishing research evaluation criteria, intended to facilitate discussion and guidance for those developing criteria for their own AAUs. The suggested criteria are not intended to be prescriptive or exhaustive: departments wishing to use them are invited to add, remove, or revise as needed to meet the needs and nature of their own disciplinary cultures and practices. As the nature of research and research productivity vary significantly across disciplines, quantitative measures must be generated within disciplines. The template also provides illustrative potential variations that disciplines may wish to consider.

Such a framework is typically intended to be used in conjunction with a benchmarking tool with descriptors indicating standards of performance. In other words, the criteria are quite general: an evaluative tool should be adopted that articulates levels of performance in relation to each criterion. This provides both committees and individuals with clarity regarding categories of practice that are significant to the department, and a framework to guide decision making. Several approaches to develop a standards document are illustrated on the website.

Institutions using this document do not typically require successful achievement of all the indicative standards in all of the criteria: they may bold certain ones that are identified as mandatory, while inviting proponents to document their successful achievement of others as possible. In a context where multiple roles are being evaluated using the same framework, this provides a consistency of practice across roles, while enabling departments to vary expectations, for example by increasing the number of mandatory criteria included.

Introduction:

This working document concerning the evaluation of faculty research and creative activity has been designed to reflect three important principles:

[1] Disciplinary expertise should be at the forefront of designing evaluation standards upon which faculty members are to have their research performance and creative activity evaluated. In this document, AAU's are the disciplinary experts and they are being asked to identify qualitative and quantitative criteria that are meaningful to their particular discipline or field.

[2] That it is a reasonable expectation for a faculty member to know at the commencement of their career the criteria and levels of performance expected of research or creative activity to gain renewal, tenure and promotion. This requires AAU's to bear in mind that the criteria created under [1] should achieve a high level of clarity and transparency.

[3] That the University has a legitimate expectation that criteria for faculty renewal, tenure and promotion conform to widely accepted standards and norms found in comparable academic programs at other public universities in Canada. It is the role of UCAPT to ensure that this expectation is fulfilled. All AAU criteria must be approved by UCAPT under Senate Bylaw 22.4.1.

Contextual Factors:

When reading the Framework, it is worth keeping in mind that contextual factors are critical to a clear understanding of the faculty member's practice and research profile. Faculty members are strongly advised to provide a research statement outlining their research agenda, progress on that agenda, methodological approaches, particulars of the nature of their individual research that may impact productivity or other indicative criteria, and so on.

For tenure decisions, RTP committees should consider research and creative competence demonstrated since appointment to the tenure-track appointment. The period for grant of tenure shall not exceed six years. The grant of tenure also carries with it promotion to associate professor. For promotion to full professor, RTP committees should consider research and creative activity since the granting of tenure, but taking into account the length of time involved. The rank of Associate Professor is regarded as a career rank. Promotion to full Professor must meet standards above that provided for tenure.

Date of AAU Council Approval:

Date of UCAPT Approval:

Criterion 1: Expertise in research or creative area, relevant methodologies and effective and ethical project management			
Indicative Standards	Data Sources	Disciplinary variations	UCAPT Categories
<ul style="list-style-type: none"> ▪ An active or well-constructed research or creative activity plan, and a history of successful plans or programs¹ ▪ Conformity with all relevant institutional, disciplinary and funding agency ethical and research guidelines 	Research statement Articles External review CV Grant applications documents Records of successful REB applications and completions	Departments wishing to acknowledge researchers' activities in grant development that did not result in funding may wish to consider factoring that into the assessment of the level of research activity.	II.a, II.d, II.g, II.h

¹ Departments may wish to request that proponents include in their research statements an explanation of why they selected the specific articles or exemplars chosen for review as part of the tenure and promotion package: this explanation can be used in conjunction with the summary of their research program and their CV to assess the progress and coherence of the program of research or creative activity.

Criterion 2: A record of high quality refereed publications, juried creative activity or other demonstrated scholarly outputs

Indicative Standards	Data Sources	Disciplinary variations	UCAPT Categories
<p>Publishes in journals or with publishing houses with a strong academic reputation</p> <p>Performances, exhibitions, dramatic efforts meet the standard of peer review established by the department</p> <p>Research dissemination or creative activity is at the national and international level</p> <p>Pace and quantity of publications or creative activity is consistent with disciplinary standards for strong scholarly performance</p> <p>Peer review indicates that publications or creative activity is of high quality</p>	<p>CV</p> <p>Selected publications</p> <p>External review</p> <p>Journal metrics</p>	<p>Generally speaking departments tend to consider three factors: quality of publications (content), quantity of publications, reputation of publication venues. The quality of publication is often held to be more important than the quantity of publications.</p> <p>Departments should provide clear indicators of publication productivity considered to be acceptable and superior in their disciplines, and may also factor in factors such as length, genre, etc.</p> <p>Relevant research activities may vary, and for example, may include:</p> <p>Traditional research with traditional dissemination venues</p> <p>Refereed articles, refereed chapters, reports, significant creative works connected to the faculty member's academic research, community reports and significant knowledge translation activities and publications</p> <p>Juried screenings</p> <p>Publically engaged academic work that creates knowledge about, for and with diverse publics and communities with traditional and non-traditional dissemination venues</p> <p>Interdisciplinary research and publications: accordingly interdisciplinary works published in interdisciplinary outlets the same weight as discipline specific publications.</p> <p>Expressions of knowledge that reflect particular and in particular ways of knowing that differ from mainstream methods and epistemologies</p> <p>Disciplines may also wish to address the issue of multiple authorship -- the candidate's</p>	<p>II.a,II.d, II.e, II.f, II.i, II,j</p>

		<p>contributions must be substantial, and the contribution must be described in the submitted tenure materials. Substantial contribution means contributions to the conceptualization (theoretical framework and methodology) and execution (analysis, writing, or creative activity).</p> <p>Alternate publications, reviews</p> <p>Editorial work</p> <p>Scholarship of teaching and learning</p> <p>Some disciplines accord core and ancillary status to various kinds of publications, or credit certain kinds of publications fractionally or in super-weighted ways (e.g. a review is .33 of an article, a book is 5x an article).</p> <p>Peer review of creative activity may include both direct and indirect review – direct review includes juried review, while indirect review could include work that takes place through organizations or institutions that are themselves subject to peer review for their funding.</p>	
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Criterion 3: Evidence of independent and original contributions to research or creative activity which have an impact on the field of expertise.			
Indicative Standards	Data Sources	Disciplinary variations	UCAPT Categories
<p>Original contributions to the field of study or creative practice that influenced thinking and/or practice in the field.</p> <p>Extent to which research or creative activity is considered, referred to, read; citation in documents; impact factors, citation counts, publication rates, confidential external reviews of impact</p> <p>National recognition/ leadership within the area of research specialty</p>	<p>CV</p> <p>External reviews</p> <p>Research statement</p> <p>Research or citation metrics and other publication indices</p> <p>Awards, invitations to give keynotes or other addresses performances, or fellowships</p>		<p>II.d, II.f; II.g; II.i, II.j</p>

Criterion 4: Capacity building through income generation, collaboration development or infrastructure development strategies ²			
Indicative Standards	Data Sources	Disciplinary variations	
<p>Ability to attract internal or external research or creative activity funding</p> <p>Ability to foster partnerships that directly contribute to research capacity or the development of research or creative activity infrastructure</p> <p>Engagement in grant or contract research resulting in publishable material that advances the field</p>	<p>CV</p> <p>Research statement</p> <p>Letters from partners or consultants</p> <p>Technical reports and consultations, as appropriate</p>	<p>Grants play a role of varied significance in different disciplines: this area requires significant disciplinary clarification and potentially quantification</p> <p>Departments are encouraged to factor the relative competitiveness of different granting schemes into their evaluation</p> <p>Departments may wish to consider both funded grants and grants that met the standard for funding but which did not receive funds.</p> <p>Departments may wish to consider grant development activity that did not result in successful external funding but met the standard for external funding, resulting in an internal grant (See also Criterion 1)</p> <p>Access to resources, archives, and other sources may be factored into this criterion.</p>	II.b, II.c

² Disciplines vary in their reliance on external funding for research success, and this may result in significant variations in how grantsmanship is treated in tenure and promotion decisions across departments. In fields where external grants are less commonly pre-requisite to research success, departments may wish to discuss treating grantsmanship as an indicative standard within another criterion, such as Criteria 1, 2, or 3 or considering alternative standards related to both material and non-material infrastructure development.

Criterion 5: Demonstrated ability to attract and successfully mentor and train students in research

Indicative Standards	Sources of Evidence	Disciplinary Variations	UCAPT Categories
<p>Successful graduate student recruitment, supervision and mentorship</p> <p>Graduate student access to external funds and HQP opportunities</p> <p>Evidence of collaboration with and support for graduate students publication, research or creative activity,</p>	<p>CV - Record of graduate student completion; evidence of graduate student success -- publication, awards, etc.</p> <p>Research statement</p>	<p>Undergraduate supervision and engagement in undergraduate research initiatives – particularly in departments without graduate programs</p> <p>This may also include supervision of industry placements with a research focus and the development of industry-based or professional opportunities for graduate students</p>	

Criterion 6: Influence on and contributions to the academic and broader national/international community			
Indicative Standards	Indicative Evidence	Disciplinary variations	UCAPT Criteria
<p>Evidence of capacity to build productive research collaborations</p> <p>Publically engaged academic work</p> <p>Leadership contributions to national disciplinary academic associations or to the disciplinary community</p>	<p>Research statement CV Letters from partners Successful granting and completion of collaborative grants with evidence of successful joint publication External review</p>	<p>Professional and technical contributions of an original nature based on expert knowledge Trade press, government documents, coverage in mass media, non-refereed screenings or significant mainstream publications, invited publication in significant non-refereed publications Interviews in any medium will be given consideration based on venue, publication, length, interviewee</p> <p>Public research presentations, debates, panel discussions Facilitation of community engagement events related to discipline</p> <p>A record of invitations to examine theses, assess competitive grant application, present papers, invitation to sit on creative activity juries and/or other peer esteem indicators</p> <p>Conference organization</p> <p>Engagement with mentorship or research capacity development activities at the University</p> <p>Participation on editorial boards, refereeing, peer review, consultations,</p>	<p>II.a., II.g, II.h, II.j</p>

