

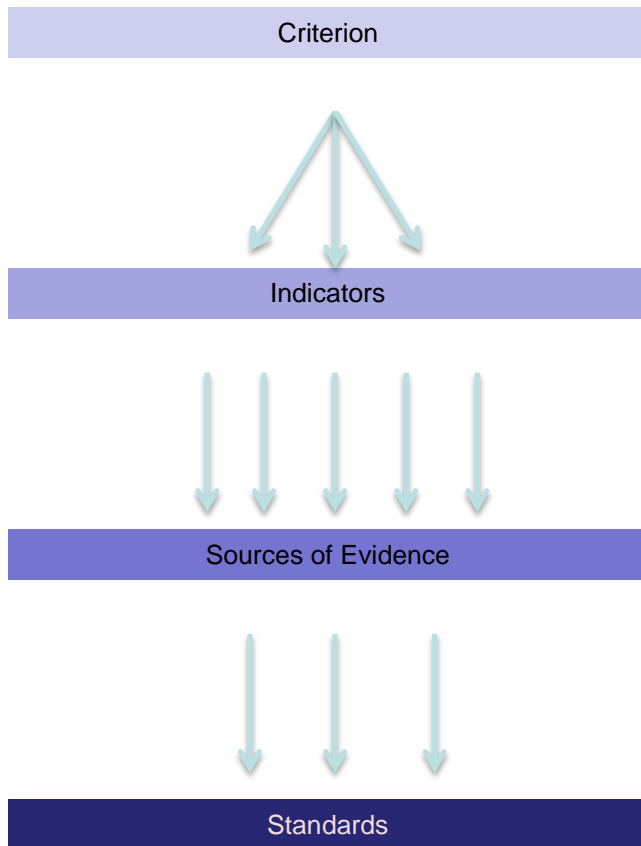
Working Session on Developing Promotion
and Tenure Criteria
for Research

November 23, 2016

Working Documents

University of Windsor Evaluation Frameworks: Overview

The Frameworks provide a model for identifying criteria, indicators, sources of evidence for the development of standards.



For each **critterion**, the Framework provides indicators (elements of practice) and sources of evidence that can be used to demonstrate that an individual academic meets that criterion. This approach can help both proponents and committees organize their discussions and decision making more systematically.

Generally speaking, **indicators** are intended to be illustrative – instructors can demonstrate their effectiveness through different combinations of those indicators, using different types of **evidence**. Departments can make some indicators mandatory or optional. The research indicators also include disciplinary variations gathered from UWindsor promotion and tenure documents, which you may wish to consider.

The Framework¹ proposes six research criteria and seven teaching criteria derived from faculty work at other universities, review of what is in our existing criteria, and a review of approaches at a variety of Canadian, American, and Australian universities. They are intended for dialogue, adaptation and revision.

Each criterion also requires **standards** – a minimum performance threshold for a given level of appointment. Typically these are descriptors, sometimes but not invariably including quantitative determinants (e.g. a minimum mean SET score for a given set of items). The intention is that standards should NOT rely solely on SET data, but should be assessed using a range of evidence. Some departments prefer to use a more rubric like approach indicating for example competent, good, and excellent levels of performance and then identifying performance standards for each stage of the RPT process.

¹ The Teaching Framework's criteria were developed through faculty collaboration at numerous Australian universities, across numerous disciplines (Chalmers, 2015) and were adapted for use by departments at the University of Windsor. If you would like to see how other universities and instructors have used their versions of these materials, please visit <http://uniteachingcriteria.edu.au/framework/about/use/>. The

Research Criteria

- **Criterion 1:** Expertise in research or creative area, relevant methodologies and effective and ethical project management
- **Criterion 2:** A record of high quality refereed publications, juried creative activity or other demonstrated scholarly outputs
- **Criterion 3:** Evidence of independent and original contributions to research or creative activity which have an impact on the field of expertise.
- **Criterion 4:** Capacity building through income generation, collaboration development and infrastructure development strategies
- **Criterion 5:** Demonstrated ability to attract and successfully mentor and train students in research
- **Criterion 6:** Influence on and contributions to the academic and broader national/international community

Teaching Criteria

- **Criterion 1:** Design and planning of learning activities
- **Criterion 2:** Instructional methods
- **Criterion 3:** Assessment and feedback to students
- **Criterion 4:** Developing effective environments, student support, and guidance
- **Criterion 5:** Integration of scholarship, research and professional activities in support of learning
- **Criterion 6:** Improvement-oriented self-assessment and continuing professional development
- **Criterion 7:** Professional and personal effectiveness

Research Framework was developed through consultation with Denise Chalmers and through further review of Canadian and American examples.

University of Windsor Teaching and Research Evaluation Frameworks

<http://www1.uwindsor.ca/provost/renewal-promotion-and-tenure-rpt-research-and-teaching-evaluation-frameworks>

Criterion 2: A record of high quality refereed publications, juried creative activity or other demonstrated scholarly outputs			
Indicators	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 contributions must be substantial, and the contribution must be described in the</p>	<p>II.a,II.d, II.e, II.f, II.i, II,j</p>

		<p>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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University of Windsor Research Evaluation Framework Working Document

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	
Indicators	
<p>An active and well-constructed research or creative activity plan, and a history of successful plans or programs¹</p> <p>Conformity with all relevant institutional, disciplinary and funding agency ethical and research guidelines</p>	

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

Indicators

Publishes in journals or with publishing houses with a strong academic reputation

Performances, exhibitions, dramatic efforts meet the standard of peer review established by the department

Research dissemination or creative activity is at the national and international level

Pace and quantity of publications or creative activity is consistent with disciplinary standards for strong scholarly performance

Peer review indicates that publications or creative activity is of high quality

Criterion 3: Evidence of independent and original contributions to research or creative activity which have an impact on the field of expertise.	
Indicators	
<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>	

Criterion 4: Capacity building through income generation, collaboration development or infrastructure development strategies ²	
Indicators	
<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>	

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	
Indicators	
Successful graduate student recruitment, supervision and mentorship	
Graduate student access to external funds and HQP opportunities	
Evidence of collaboration with and support for graduate students publication, research or creative activity,	

Criterion 6: Influence on and contributions to the academic and broader national/international community	
Indicators	
Evidence of capacity to build productive research collaborations	
Publically engaged academic work	
Leadership contributions to national disciplinary academic associations or to the disciplinary community	

Some sample language from your peers....

Assessing Publication Records

The criterion of Research and Scholarly Activities assesses the candidate's performance in this area from the date of appointment in terms of productivity, quality, and reputation.

Productivity is a quantitative measure and calculated based upon the scale below. Quality is a measure of the publication's content which is typically assessed by the external reviewers and the PTR Committee. Reputation is a measure that reflects the quality of the journals, publishers, and national and international dissemination. The quality of the publications is held to be more important than the quantity of publications. The Department will ask referees to comment specifically on the quality of the candidate's work.

What counts?

Research and Scholarly activities may include traditional research with traditional dissemination venues and publically engaged academic work that creates knowledge about, for, and with diverse publics and communities with traditional and non-traditional dissemination venues. Community engagement entails an active partnership between scholars and a community for the creation and application of knowledge through teaching and scholarship.

Scholarly products and publications include 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, and successful external grant awards. The Department acknowledges the value of interdisciplinary research and publications. Therefore, interdisciplinary works published in interdisciplinary outlets will be given the same weight as discipline-specific publications.

Multiple Authorship Contributions

In case of multiple authorship the candidate's contribution must be substantial. The candidate must describe their contribution in her/his tenure materials. A substantial contribution means contributions to the conceptualization (theoretical framework and methodology) and execution (analysis and writing or other creative activity).

*

The candidate will also be asked to provide evidence of the distribution of contribution in group publications.

*

In case of multi-authored work, at least one of the peer reviewed publications must be sole authored.

Assessing Publication Quality

The Department acknowledges that journals and books vary in quality. At the same time, the Department recognizes that it is difficult to measure journals' or books' worth by using impact factors or other similar indicators. Generally, books published by university presses and

journals linked to scholarly associations or published by well-recognized publishers (e.g. Taylor and Francis, Routledge, Sage, etc.) will be assigned greater value than other publications. Candidates will be encouraged to submit a statement that explains the importance of their publications.

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1.1 Publications and contribution are in well reputed and appropriate venues with significant impact in her research area. This may include community, local, national and international venues that are highly regarded and of significance to the field. It may include both contributions in traditional and non-traditional venues and both publicly engaged and peer reviewed contributions.

The extent to which the publications influence the field based on number of citations, citation rate, impact factor, confidential reviews, invitation as keynote speaker or peer reviewer.

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A Point Count System

Research and Scholarly Activities and Products Evaluation Points

Research and Scholarly Activities	Criterion	Points
Publications (published, in press, or forthcoming)	Refereed journal article	1
	Refereed book chapter	1
	Refereed book	
	sole or first co-author	4
	Refereed book	
	second or third author	3
	Refereed book editor or co-editor	1
	Refereed journal special issue guest editor	1
Research Grants	External grant Principal Investigator	2
	External grant Principal Co-Investigator	2
	Competitive internal research grant	0.5
	External (ie. Trillium, etc.) and Tri-council application (unsuccessful)	1
Presentation and other non-refereed activities	Peer-reviewed conference presentation	
	or proceeding	0.5
	Invited paper, presentation	0.1
	Invited keynote address	0.5
	Research, technical, or community report	0.5

	Non-academic publication	0.1
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Successful research performance requires the completion of the following during the tenure review period:

5 peer reviewed journal articles (average length 5,000 - 10,000 words)

OR

1 single authored book and 2 peer-reviewed journal articles (distinct in content from the book)

OR

1 textbook and 3 peer reviewed journal articles (distinct in content from the book)

OR

1 edited volume and 3 peer reviewed journal articles (distinct in content from the book)

Equivalencies:

Peer reviewed refereed book chapters are considered the equivalent of 1/2 peer reviewed journal article.

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Productivity “Notwithstanding” Clause....

While quantity of publication is an important element of the Committee’s decision making, the numbers above should be considered as guidelines: factors such as unusually difficult conditions under which research is undertaken, unusual degree of impact, exceptional quality, and high degree of complexity may be considered as mitigating factors in determining whether a candidate’s research productivity meets the disciplinary standard.

Example of Rubric Use to Create a Single-Level Threshold (for Criteria 1 and 2).

This hypothetical committee used the rubric to identify the threshold standard for tenure and promotion to associate professor, adding notes about things that would need to be added (in blue). They used this to create the summary document that follows.

Criterion 1 Standard for (level): X out of y criteria at the x level? Mandatory indicators?

Criterion 1: Expertise in research or creative area, relevant methodologies and effective and ethical project management	N/A	Poor (1-3)	Competent (4)	Good/Superior (5-6)	Excellent (7)
a) An active or well-constructed research or creative activity plan, and a history of successful plans or programs ¹		Weak record of organized research activity. Research activities do not demonstrate a clearly focused research program, or the program may consist of goals with minimal evidence of implementation or completion. What evidence of progress there is does not suggest regular effort and progress towards established goals.	Evidence of organized research activity and an emerging research focus. The candidate provides evidence that research goals are being met, including articles and grant applications submitted for review, on a regular basis. Clear research statement.	The candidate demonstrates an ongoing, clearly focused, and highly active research program, with a continued pattern of quality articles under review. Strong evidence of an established research program with a promising trajectory and evidence of sustained evidence and success. Clearly focused research plan articulated in a research statement	Well-articulated and successful research agenda. Evidence that research goals are being met and exceeded, of ongoing re-evaluation and planning reflecting the development of new directions and expanding reach or depth. Evidence of leadership in meeting research agenda, and strong evidence of continuing productivity (e.g. pending publications, under review, grants submitted).
b) Conformity with all relevant institutional, disciplinary and funding agency ethical and research guidelines		There is evidence of lack of conformity with relevant institutional, disciplinary, and funding agency ethical and research guidelines USE IN THE NEGATIVE	There is no evidence of lack of conformity with relevant institutional, disciplinary, and funding agency ethical research guidelines	The candidate demonstrates a high degree of attention to institutional, disciplinary and funding agency ethical research guidelines, and actively ensures that all members of his or her team uphold those standards.	The candidate demonstrates a high degree of attention to institutional, disciplinary and funding agency ethical research guidelines, and leadership in actively developing and enhancing the ethical principles of research as the field evolves.

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 Standard for (level): X out of y criteria at the x level? Mandatory indicators?

	N/A	Poor (1-3)	Competent (4)	Good/Superior (5-6)	Excellent (7)
<p>Criterion 2: A record of high quality refereed publications, juried creative activity or other demonstrated scholarly outputs</p> <p>a) Publications in journals or with publishing houses with a strong academic reputation²</p> <p>Creative activity occurs in significant venues, institutions based on peer review³</p>		<p>Publications, if they occur, have not been peer-reviewed, or in journals, or with publishers limited academic reputations, or been self-published</p> <p>Performance, installation, and exhibition, if it occurs, is generally not based on peer review consistent with the standard of peer review established by the department, and occurs in venues,</p>	<p>Publications have been peer reviewed, and are generally published in well-respected journals or through publishing houses with high quality academic reputations.</p> <p>Performance, installation, and exhibition sometimes occurs in venues, institutions, and series that reach the degree of reputation and significance established by the department, based on peer review consistent with the</p>	<p>Publications are published in journals or with publishing houses with strong national or international reputations.</p> <p>INCLUDE FURTHER LANGUAGE RE REPUTATION STANDARD DECISION MAKING.</p> <p>Performance, installation, and exhibition occurs in venues, institutions, and series that reach the degree of reputation and significance established by the department, based on peer review consistent standard of peer review established by the department.</p>	<p>Many publications are published in journals or with publishing houses of elite national or international reputations.</p> <p>Performance, installation, and exhibition occurs in venues, institutions, and series that regularly exceed the degree of reputation and significance established by the department, based on peer review consistent standard of peer review established by the department</p>

² Departments may wish to provide quantitative metrics such as journal impact factors as an element of their standards. Factors such as low acceptance rates, high levels of readership, importance to the field are also suggestive indicators in assessing quality and reputation. Some departments have used an illustrative model to articulate publications that are at acceptable levels. Departments may also wish to identify the range of publications or other products that should be taken into account.

³ Factors such as location, the institution or series' influence and reputation, the jury's reputation, and reach and impact of events, and documentary evidence (inclusion in catalogues, exhibit books or professionally produced videos, for example) might be taken into account in establishing departmental standards for assessing the significance or reputation of sites of creative activity.

	institutions, and series that do not reach the degree of reputation and significance established by the department.	standard of peer-review established by the department.		
b) Research dissemination or creative activity is at the national and/or international level	Research dissemination or creative activity is not at the national or international level	Research dissemination or creative activity is often at the national or international level.	Research dissemination or creative activity is consistently at the national or international level – move to (a)	Research dissemination or creative activity is consistently recognized widely and nationally and/or internationally.
c) Pace and quantity of publications or creative activity is consistent with disciplinary standards for strong scholarly performance ⁴	Very limited or no publications	Has typically met the departmental productivity standard	Has consistently met and in some areas exceeded the departmental productivity standard. SEE TABLE	Consistently exceeds the productivity standard
d) Peer review ⁵ indicates that publications or creative activity is of high quality	Peer review indicates that publications or creative activity are of uneven quality.	Peer review indicates that publications are of satisfactory quality.	Peer review indicates that publications are of good quality and published in journals considered to be high quality within the sub-discipline, if applicable.	Peer review indicates that publications are of excellent quality.

⁴ As publication pace varies considerably among disciplines, departments are asked either to provide quantitative standards in the rubric, or in an appendix if a more detailed explanation of possible variations is required. Factors such as individual vs. collaborative work and degree of significance in collaborations should be taken into account.

⁵ This may include both internal and external peer review of publications or documented creative activity. Departments considering creative activity should provide clarity regarding how creative activity should be documented for peer review.

Example of a single-level threshold for Criteria 1 and 2.

The hypothetical committee from the previous example, then used the language from the rubric, with additions from the sample language sheet, to create a single level threshold of performance for tenure and promotion to associate professor. Although in THESE cases the departments felt all indicators should be mandatory, in other sections they chose to opt for “two out of three” or “either of” standards. These are the first two criteria:

Criterion 1: Expertise in research and relevant methodologies and effective and ethical project management

- Clear research statement.
- Evidence of organized research activity and an emerging research focus. The candidate provides evidence that research goals are being met, including articles and grant applications submitted for review, on a regular basis.
- There is no documented evidence of lack of conformity with relevant institutional, disciplinary, and funding agency ethical and research guidelines.

Criterion 2: A strong and consistent record of high quality refereed publications or other demonstrated scholarly outputs.

- Research dissemination is consistently at the national or international level
- Publications are published in journals or with publishing houses with strong national or international reputations.
 - Scholarly products and publications include 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, and successful external grant awards. The Department acknowledges the value of interdisciplinary research and publications. Therefore, interdisciplinary works published in interdisciplinary outlets will be given the same weight as discipline-specific publications.
 - The Department acknowledges that journals and books vary in quality. At the same time, the Department recognizes that it is difficult to measure journals’ or books’ worth by using impact factors or other similar indicators. Generally, books published by university presses and journals linked to scholarly associations or published by well-recognized publishers (e.g. Taylor and Francis, Routledge, Sage, etc.) will be assigned greater value than other publications. Candidates will be encouraged to submit a statement that explains the importance of their publications, which may include factors such as journal impact factors, citation rates, publication in journals with low acceptance rates, high levels of readership, demonstrated importance to their field.
- Has consistently met and in some areas exceeded the departmental productivity standard, which requires the completion of the following during the tenure review period:¹
 - 5 peer reviewed journal articles (average length 5,000 - 10,000 words)
 - OR
 - 1 single authored book and 2 peer-reviewed journal articles (distinct in content from the book)
 - OR
 - 1 textbook and 3 peer reviewed journal articles (distinct in content from the book)
 - OR
 - 1 edited volume and 3 peer reviewed journal articles (distinct in content from the book)
 - Peer reviewed refereed book chapters are considered the equivalent of 1/2 peer reviewed journal article.
 - While quantity of publication is an important element of the Committee’s decision making, the numbers above should be considered as guidelines: factors such as unusually difficult conditions

¹ Please note that this is a hypothetical committee – we’ve drawn on language from existing RPT criteria here, but you are under no obligation whatsoever to adopt this approach or adopt these numbers for your own discipline. This is only intended to be illustrative of how a department might proceed.

under which research is undertaken, unusual degree of impact, exceptional quality, and high degree of complexity may be considered as mitigating factors in determining whether a candidate's research productivity meets the disciplinary standard.

- Peer review indicates that publications are of good quality and published in journals considered to be high quality within the sub-discipline, if applicable.

Standards: Example of multiple minimum thresholds in one document.

This hypothetical department used the existing research rubric to identify standards at the Associate and Full Professor Levels, then created this summary chart of the threshold requirements at each level. Departments can identify both specific, mandatory standards (**bolded** here), other factors that might be additive or mitigating, and also more flexible lists from which proponents can choose, to demonstrate a specific number.

	Associate Professor (Level A)	Professor (Level B)
<p>Criterion 1: Expertise in research or creative area, relevant methodologies and effective and ethical project management</p> <p>Conformity with all relevant institutional, disciplinary and funding agency ethical and research guidelines</p>	<p>The candidate demonstrates an ongoing, clearly focused, and highly active research program, with a continued pattern of quality articles under review.</p> <p>Clearly focused research plan articulated in a research statement</p> <p>There is no evidence of lack of conformity with relevant institutional, disciplinary, and funding agency ethical research guidelines</p>	<p>Well-articulated and successful research agenda. History of research goals being met and exceeded, of ongoing re-evaluation and planning reflecting the development of new directions and expanding reach or depth. Evidence of leadership in meeting research agenda, and strong evidence of continuing productivity (e.g. pending publications, under review, grants submitted).</p> <p>There is no evidence of lack of conformity with relevant institutional, disciplinary, and funding agency ethical research guidelines</p>
<p>Criterion 2: A record of high quality refereed publications, juried creative activity or other demonstrated scholarly outputs</p>	<p>Publications have been peer reviewed, and are generally published in well-respected journals or through publishing houses with high quality academic reputations.</p> <p>Research dissemination is often at the national or international level.</p> <p>Has consistently met and in some areas exceeded the departmental productivity standard¹</p> <p>Peer review indicates that publications are of good quality.</p>	<p>Many publications are published in journals or with publishing houses of elite national or international reputations.</p> <p>Research dissemination is consistently widely recognized at national and/or international levels.</p> <p>Consistently exceeds the departmental productivity standard¹</p> <p>Peer review indicates that publications are of excellent quality.</p>

¹ Departmental criteria will need to provide a clearer definition of the productivity standard: some departments include an appendix outlining equivalencies among different kinds of publications, which is also an option. The original rubric also contains footnotes that may be of use in more clearly defining how terms like “well-respected journals.”

	Associate Professor (Level A)	Professor (Level B)
Criterion 3: Evidence of independent and original contributions to research or creative activity, which have an impact on the field of expertise.	Evidence of original contributions that are influencing the evolution of the field, practice, or thinking within the discipline or as practical applications. ² Strong evidence of recognition within the area of research, including invitation to give keynote addresses, offer master classes, fellowships, major residencies or exchanges.	Evidence of major original contributions with significant impact within the discipline or through practical applications. Strong evidence of international recognition in the area of research including keynotes, guest residencies, major and highly competitive research fellowship, residencies or exchanges.
Criterion 4: Capacity building through income generation, collaboration development and infrastructure development strategies <i>(b) and (c) may be considered as additional evidence in cases where (a) has not met the departmental standard.</i>	a) Funding of external research grants judged as significant by departmental peers and chairs/directors. ³ b) Strong degree of community, industry, or academic partnerships that contribute to research capacity materially, creatively, or intellectually. c) Strong evidence of grant or contract research resulting in publishable material that advances the field.	a) History of regular, repeated and evolving success in major granting competitions , including those considered being the most highly competitive within the discipline, given the career stage of the candidate. b) Exceptional degree of community, industry, or academic partnerships that contribute to research capacity materially, creatively, or intellectually. c) Exceptional evidence of grant or contract research resulting in publishable material that advances the field.
	Associate Professor (Level A)	Professor (Level B)
Criterion 5: Demonstrated ability to attract and successfully mentor	Evidence that graduate students were recruited based on the candidate's reputation or actions, or that students supervised or mentored regularly met	Clear and sustained evidence that the candidate attracts graduate students, and successfully supervises and mentors them to high achievement. Collaborative

² Some departments may wish to provide more specific quantifiers based on factors including impact factors of journals, citation counts, and elements of the candidate's research statement supported by evidence, or alternatively to include examples such as patents, policy contributions, etc. Some departments also combine impact and publication record, depending on the nature of the discipline.

³ Disciplines vary in their reliance on external funding for research success, the typical size of grants, and the frequency with which funding is typically received. This may result in significant variations in how grant success is treated in tenure and promotion decisions across departments. Departments should provide quantifiers for this criterion that are consistent with their disciplinary standards. This sample includes factors that would tend to indicate that the candidate is engaged in building opportunity for the expansion of research capital, socially, intellectually and/or materially, in ways that can benefit the research, the researcher, the research team, the discipline, and the various communities the research might impact. Departments may judge these as more, or less, relevant to their context, and create more, or less flexibility with regard to how this criterion might be met.

and train students in research ⁴	with solid success. Collaborative publications, presentations, and funding for graduate students will be considered further positive evidence.	publications, presentations, and funding for graduate students will be considered as further positive evidence.
Criterion 6: Influence on and contributions to the academic and broader national/international community.	X of: a) Evidence of involvement in research collaborations b) Evidence of public or industry engagement in academic work c) Evidence of contributions such as peer review or other engagement with national disciplinary or academic associations and intermittent or regional service to the disciplinary community.	X of: a) Evidence of leadership roles or strong demand for involvement in research collaborations, at a national or international level b) Evidence of leadership and significantly impactful public or industry engagement in academic work. c) Evidence of significant contributions to committees of national I or international disciplinary academic associations, as well as the disciplinary community, particularly with evidence of specific initiatives undertaken.

Notes:

It is possible to include statements that make Level A the base level even for professorship in cases of exceptional achievement in teaching.

It is possible to indicate that to reach the professor level, a proponent must meet the threshold in x out of 6 criteria or in, for example, (1) and (2) and 3 of the other 4 or some other pattern that provides more flexibility.

One department has created an “eminent” category that is beyond “professor” – faculty can then make a case for professorship with level A in research or teaching if they reach the “eminent” level in the other.

Bolding can be used to identify minimum required standards for a given criterion.

A similar example using the teaching evaluation rubric as a foundational planning document has been attached separately.

<http://www1.uwindsor.ca/provost/sites/uwindsor.ca.provost/files/Sample%20teaching%20standards%20summary%20multiple%20levels.pdf>

⁴ This criterion may be more suitable to some departments than to others, in particular with regard to the existence, size, and nature of graduate programs within departments. Some departments include specific numbers of graduate students who have been successfully supervised. Some departments consider student mentorship as a teaching criteria.

University of Windsor Research Evaluation Rubric Working Document

This is a blank version of the sample research evaluation rubric for use by departments wishing to develop their own language or adapt some language from the sample rubric while drafting other sections independently. Criterion language, and quality descriptors and number scale can be changed or deleted as desired.

Criterion 1 Standard for (level): *X out of y criteria at the x level? Mandatory indicators?*

Criterion 1: Expertise in research or creative area, relevant methodologies and effective and ethical project management	Poor (1-3)	Competent (4)	Good/Superior (5-6)	Excellent (7)

Criterion 2 Standard for (level): X out of y criteria at the x level? Mandatory indicators?

Criterion 2: A record of high quality refereed publications, juried creative activity or other demonstrated scholarly outputs	N/A	Poor (1-3)	Competent (4)	Good/Superior (5-6)	Excellent (7)

Criterion 3 Standard for (level): X out of y criteria at the x level? Mandatory indicators?

Criterion 3: Evidence of independent and original contributions to research or creative activity, which have an impact on the field of expertise.	N/A	Poor (1-3)	Competent (4)	Good/Superior (5-6)	Excellent (7)

Criterion 4 Standard for (level): X out of y criteria at the x level? Mandatory indicators?

Criterion 4: Effective research or commissioned income generation and infrastructure development strategies ¹	Poor (1-3)	Competent (4)	Good/Superior (5-6)	Excellent (7)

¹ Disciplines vary in their reliance on external funding for research success, the typical size of grants, and the frequency with which funding is typically received. This may result in significant variations in how grant success is treated in tenure and promotion decisions across departments. Departments should provide quantifiers for this criterion that are consistent with their disciplinary standards. Indicative standards outlined in this rubric include factors that would tend to indicate that the candidate is engaged in building opportunity for the expansion of research capital, socially, intellectually and/or materially, in ways that can benefit the research, the researcher, the research team, the discipline, and the various communities the research might impact.

Criterion 5 Standard for (level): X out of y criteria at the x level? Mandatory indicators?

Criterion 5: Demonstrated ability to attract and successfully mentor and train students in research ²	Poor (1-3)	Competent (4)	Good/Superior (5-6)	Excellent (7)

² This criterion may be more suitable to some departments than to others, in particular with regard to the existence, size, and nature of graduate programs within departments.

Criterion 6 Standard for (level): X out of y criteria at the x level? Mandatory indicators?

Criterion 6: Influence on and contributions to the academic and broader national/international community.	N/A	Poor (1-3)	Competent (4)	Good/Superior (5-6)	Excellent (7)

Rubric use:

Disciplinary variations may have significant impact on indicative standards that apply. In addition, researchers' profiles, even within a given discipline, may require committees to consider varied combinations of the indicators, or to add other indicators specific to their disciplines prior to approval of their evaluation template. In some cases it may be most appropriate to identify that researchers should provide evidence for a given number of indicators, or for specific require indicators, while others are encouraged.

Committees may find that it is impossible to evaluate candidates on all indicators, and that is to be expected, given the diversity of approaches to research even within a specific discipline. Departments may wish to identify mandatory minimum standards for specific indicators, while others are preferred or encouraged or assessed cumulatively or on something like a "3 out of 5 meeting a certain standard" basis. Alternatively, departments can identify specific indicators as "not applicable" for specific roles. The general intention is that instructors should be able to provide evidence of effective practice across these criteria: they may not be able to provide evidence for all indicators for any given criterion, and they may also be able to provide alternative evidence that meets the criteria. The specific profile and research agenda of specific researchers may also be taken into account in determining the critical determining factors

That said, committees should exercise caution to ensure that mitigating factors incorporated in decision making are based as much as possible on evidence rather than anecdote.

Departments are encouraged to offer preliminary readings of submitted documents to suggest areas which might benefit from more complete documentation.