Indicators of research quality, quantity, openness and responsibility in institutional promotion, review and tenure policies across seven countries

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1 ABSTRACT

The need to reform research assessment processes related to career advancement at research institutions has become increasingly recognised in recent years, especially to better foster open and responsible research practices. Current assessment criteria are believed to focus too heavily on inappropriate criteria related to productivity and quantity as opposed to quality, collaborative open research practices, and the socio-economic impact of research. Evidence of the extent of these issues is urgently needed to inform actions for reform, however. We analyse current practices as revealed by documentation on institutional review, promotion and tenure processes in seven countries (Austria, Brazil, Germany, India, Portugal, United Kingdom and United States of America). Through systematic coding and analysis of 143 RPT policy documents from 107 institutions for the prevalence of 17 criteria (including those related to qualitative or quantitative assessment of research, service to the institution or profession, and open and responsible research practices), we compare assessment practices across a range of international institutions to significantly broaden this evidence-base. Although prevalence of indicators varies considerably between countries, overall we find that currently open and responsible research practices are minimally rewarded and problematic practices of quantification continue to dominate.

KEYWORDS

Open science, Responsible Research and Innovation, rewards and recognition, research assessment, indicators.

2 INTRODUCTION

The need to reform research assessment processes related to career advancement at research institutions has become increasingly recognised in recent years, especially to better foster open and responsible research practices². In particular, it is claimed that current practices focus too

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² We use this broad term in this paper to denote the confluence of two sometimes overlapping trends in research reform: (1) Open Science, “the movement to make scientific research, data and dissemination accessible to all levels of an inquiring

much on quantitative measures over qualitative measures (Malsch 2014; Colavizza et al. 2020), with misuse of quantitative research metrics, including the Journal Impact Factor, among the most pressing issues for equitable research assessment generally, and to foster open and responsible research in particular. Therefore, recent years have seen a focus on attempts to understand how principles and practices of openness and responsibility are currently valued in the reward and incentive structures of research performing organisations, especially by examining the review, promotion and tenure (henceforth RPT) policies of the former (Adler, Ewing, and Taylor 2009; Walker et al. 2010; McKiernan et al. 2016; Vinyard and Colvin 2018; Rice et al. 2020; Niles et al. 2020).

Such studies have heretofore focused on specific countries or disciplines. In order to further this understanding, we here investigate the prevalence of qualitative and quantitative indicators in RPT policies across seven countries: Austria, Brazil, Germany, India, Portugal, United Kingdom and United States of America. This involved manually collecting 143 RPT policy documents from 107 institutions. These documents were then systematically coded for the inclusion of language related to 17³ elements (including those related to qualitative or quantitative assessment of research, service to the institution or profession, and open and responsible research practices) using a predefined data-charting form. Directly comparing the

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society” including Open Access to publications, data-sharing and increased collaboration in research (Pontika et al. 2015). Responsible Research and Innovation is an umbrella concept, dominant in Europe, which denotes research which is made responsive to society through practices like public engagement, open access, gender equality, science education, ethics and governance (Owen, Macnaghten, and Stilgoe 2012; von Schomberg 2019).

³ We initially coded the additional indicator “general impact”, but discarded it for the analysis since it largely reflected an aggregate measure of other indicators on impact beyond academia (public, industry, policy-making).

indicators and criteria in place at such a range of international institutions broadens the evidence-base for the range of practices currently in place.

3 BACKGROUND

3.1 Research assessment and researcher motivations

Institutional policies regarding RPT typically focus on three broad areas: research, teaching, and service (both to the profession and the institution). The relative importance of each varies across institutions and has also changed over time (Gardner and Veliz 2014; Youn and Price 2009). In the European context, a recent survey of researchers investigated indicators widely used at EU institutions for promotion, review and tenure. The most common factors used in research assessment were (according to survey respondents): number of publications (68%), patents and securing funds (35%), teaching activities (34%), collaboration with other researchers (32%), collaboration with industry (26%), participation in scientific conferences (31%), supervision of young researchers (25%), awards (23%) and contribution to institutional visibility (17%) (European Commission. Directorate General for Research and Innovation. 2017).

When it comes to the assessment of research contributions, reflecting the common idiom “publish or perish”, publication in peer-reviewed venues remains central. Primary publication types vary across disciplines. While journal articles dominate in Science, Technology, Engineering and Mathematics (STEM) subjects, monographs or edited collections have greater importance in the Humanities and Social Sciences (Adler, Ewing, and Taylor 2009; Alperin et al. 2020). Within Computer Science, meanwhile, publication in conference proceedings is the most important factor (McGill and Settle 2011). However, irrespective of which type of

publication is favoured, institutions tend to position *productivity* (often quantified via metrics) as a defining feature in RPT policies (Gardner and Veliz 2014). The ways in which this emphasis on productivity and quantification influences academics' focus and shapes behaviours, often in detrimental ways, is worth expanding upon in order to understand how current trends in RPT policies may be limiting uptake of open and responsible research.

Institutional committees tasked with determining whether research contributions are sufficient for promotion, review or tenure, face something of a dilemma. While the quantity of publications is comparatively easy to assess, measuring their quality is a more difficult challenge. Ideally committees would be able to read each of the contributions themselves to make their own first-hand judgements on the matter. However, the mass of material created, as well as increased research specialisation drastically reducing the number of experts that possess the required expertise for such quality judgements, mean that usually proxy indicators for quality are sought. Here, two factors are particularly popular: publication venue and citation counts.

In perceptions of the prestige of academic journals, the Journal Impact Factor has assumed a particularly pernicious role. Created by Eugene Garfield of the Institute for Scientific Information, the Journal Impact Factor calculates an average of citations per article within the last two years to provide a metric of the relative use of academic literature at the journal level. Originally created to assist library decisions regarding journal subscriptions, the Journal Impact Factor soon came to be used as a proxy for relative journal importance by research assessors and researchers themselves (Adler, Ewing, and Taylor 2009; Walker et al. 2010). Various criticisms have been levelled at the Journal Impact Factor, most prominently that relatively few outlier publications with many citations skew distributions such that most publications in that

journal fall far below the mean. Additional criticisms include that differences in citation practices between (and even within) fields make the Journal Impact Factor a poor tool for comparison, that it is susceptible to gaming by questionable editorial practices, and suffers a lack of transparency and reproducibility (Fleck 2013). Nonetheless, its use as a proxy for research quality in research assessment became commonplace (Gardner and Veliz 2014; McKiernan et al. 2019). McKiernan et al. (2019) studied RPT documents and found that 40% of North American research-intensive institutions mentioned the Journal Impact Factor or closely-related terms. Accordingly, researchers commonly list a journal's Impact Factor as a key factor they take into account when deciding where to publish (Niles et al. 2020).

Citation counts at the article level are also often used as a proxy for research quality within RPT processes (Adler, Ewing, and Taylor 2009; Brown 2014). Indeed, Alperin et al. (2019) found that such indicators were mentioned by the vast majority of institutions. However, citations have been widely criticised for being too narrow a measure of research quality (Wilsdon et al. 2015; Hicks et al. 2015; Curry 2018). The application of particularistic standards is especially perilous for early-career researchers who have yet to build their profile. By using citation metrics to evaluate research contributions, initial positive feedback leads to the self-reinforcement loop known as the Matthew effect (Wang 2014). Moreover, indicators such as the h-index are highly reactive (Fleck 2013) and therefore risk reifying monopolisation of resources (prestige, recognition, money) in the hands of a select elite. The h-index was designed as a measurement tool to showcase the consistency of the cited researchers, but creates a disadvantage for early career researchers and neglects the diversity of citation rates across scientific disciplines and subdisciplines (Costas and Bordons 2007).

3.2 Research assessment and open and reproducible research

Multiple initiatives in the last decade have sought to raise the alarm on the overuse of quantitative indicators and highlight the need to consider a broader range of practices (beyond publications). For instance, the ‘San Francisco Declaration on Research Assessment’ (DORA), specifically criticised use of the Journal Impact Factor in research assessment.⁴ The ten principles of the ‘Leiden Manifesto for Research Metrics’ (Hicks et al. 2015) sought to reorient the use of metrics by critiquing their “misplaced concreteness and false precision”, arguing that quantitative should be used as a support for “qualitative, expert assessment”, with strict commitments to transparency.

Such critiques of over-quantification have developed alongside movements to foster open and reproducible research. These two trends meet where advocates of Open Science or Responsible Research & Innovation (RRI) identify concern amongst researchers that uptake of open and responsible research practices will negatively impact their career progress (Adler, Ewing, and Taylor 2009; Migheli and Ramello 2014; Rodriguez 2014; Peekhaus and Proferes 2015; Wilsdon et al. 2015).

As a result, recent research has investigated if and how criteria relating to open and responsible research practices are rewarded in RPT policies. In particular, the influential “Promotion, Review and Tenure” project headed by Erin McKiernan and Juan Pablo Alperin has examined these issues in depth by studying a corpus of RPT policy documents from 129 universities in the USA and Canada. This project found that aspects related to open and reproducible research

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⁴ San Francisco Declaration of Research Assessment: <https://sfдора.org/>

were rare or undervalued. Alperin et al. (2019) found, for example, that only 6% of RPT policies mentioned “Open Access”, often in a negative way. Public engagement, although mentioned in a large number of policies, was nonetheless undervalued by associating it with service, rather than research work. Meanwhile, 40% of policies from research-intensive institutions mentioned the Journal Impact Factor in some way, with the overwhelming majority of those (87%) supporting its use in at least one RPT document and none heavily criticising it (McKiernan et al. 2019).

As a result of such findings, reform of rewards and recognition processes is now a policy priority, especially in Europe. Vanguard institutions such as Utrecht University in the Netherlands are already implementing such reforms (Woolston 2021). The Paris Call on Research Assessment, announced at the Paris Open Science European Conference (organised by the French Presidency of the Council of the European Union) in February 2022, calls for evaluating the “*full range of research outputs in all their diversity and evaluating them on their intrinsic merits and impact*” (“Paris Call on Research Assessment” 2022). The Paris Call also sought the formation of a “coalition of the willing” to build consensus and momentum across institutions. The European Commission is currently building such a coalition (Research and Innovation 2022).

This paper further contributes to the evidence-base to inform such reform, taking a multi-language approach to assess policies across national contexts.

4 METHODS

We assembled and qualitatively analysed review, promotion and tenure policy documents (RPT) from academic institutions in seven countries (Austria, Brazil, Germany, India, Portugal, UK, USA).

4.1 Sampling

We first identified seven target countries, based on our European focus and our team's familiarity with the language (English, German, Portuguese) and policy landscapes of specific countries. The USA was included as a representative of a leading research country and to allow comparisons with previous research (Alperin et al. 2019). India and Brazil were included as examples of large “low and middle income countries” based on gross national income per capita as published by the World Bank.⁵ They play a growing role in research, and broaden our scope to include Asia and South America.

To include representative numbers of institutions of perceived high- and low-prestige, we used the Times Higher Education World University Rankings (WUR) 2020 to select institutions. Institutions from each selected country were sorted based on their relative WUR performances in the categories “Research” and “Citations”. We then divided each category into three equally sized subcategories, defining them as “High-”, “Medium-” and “Low-” performing institutions. Next, we calculated the median of each subcategory and selected the institutions that were closest to the median as representatives of this category. We included both the “Research” and “Citations” fields from the WUR since both of these are research-related indicators. Duplicate

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⁵ World Bank <https://www.worldbank.org/en/home>

entries of the same institution appearing in both categories were replaced by the next available institution in the “Citations” category. Our sampling procedure resulted in a sample of 107 institutions across 7 countries (Table 1).

Table 1. Number of institutions per country - the total number of institutions sampled relative to the number of institutions listed per country in WUR

Country	# of institutions in WUR (2020)	# of institutions in sample	% of sampled institutions	# of policies analysed
Austria	11	6	54.5%	13
Brazil	46	12	26.1%	15
Germany	48	12	25.0%	13
India	56	12	21.4%	12
Portugal	13	6	46.2%	7
UK	100	24	24.0%	47
USA	172	35	20.3%	36
TOTAL	446	107	24.0%	143

4.2 Data Collection

Policy documents were collected using a shared search protocol. First, we used Google to search for the institution name along with various constellations of keywords. Table 2 shows the set of keywords identified and used for the policies identification in the three languages: English, German and Portuguese.

Table 2. Search key terms in English, German and Portuguese which were used to retrieve related RPT policies

English	German	Portuguese
Policy	Satzung, Richtlinie, Verfahren	Política, Regulamento
Review	Qualifikationsprüfung, Review, Beurteilung, Leistungsevaluation, Regelung, Richtlinie, Strategie	revisão
Academic, Researcher, Professor	wissenschaftliche Mitarbeiter, (Junior-) Professor	académico, universitário, investigador, professor
Promotion	Beförderung, Promotion, Berufung	promoção

Institutions often have both institution-wide and departmental-specific RPT policies. Due to difficulties in finding specific departmental policies in the UK and USA, we collected only institution-level policies. To ensure a consistent set of policies, we defined the following exclusion rules:

1. We did not collect advertisements for job descriptions even though these could include some insightful requirements applicable to the RPT policies.
2. We included RPT policies only and not other policies such as Ethics, Diversity, OA, where similar concepts could appear.

Policies could apply to any post-PhD researcher career stage. The collected policies evaluated various research-related positions. For example, in the UK, some institutions have separate policies for 1) associate professors, 2) full professors, and 3) readers. In the USA, there are separate policies for 1) tenured and 2) non-tenured staff. In Austria, there are policies for 1) habilitation (qualification for teaching, needed for promotion to professor) and 2) qualification agreements for tenure track (associate professors), while no promotion to full professors exists. In India, we could often not find specific policies, but rather the evaluation forms that researchers use to apply for promotion. In these cases, we therefore analyse the evaluation forms instead.

Some institutions have separate policies for all researcher categories, (i.e., separate policies for lecturers, assistant professors, associate professors, professors, and so on), while others have a uniform policy covering all positions. Hence, the number of institutions is smaller than the total number of policies collected (Table 1). Where more than one policy was identified for an institution, we assessed the indicators separately for each policy and counted an indicator as “fulfilled” when it appeared in at least one policy.

We were sometimes unable to obtain policy documents for target institutions. Specifically, where access was restricted to members of the institution only, data collectors emailed the institution’s human resources department to ask for a copy of the policy. If no response was received within ten days, data collectors recorded this information and sampled the next institution from the list for that country and strata until a sufficient number of policies was obtained. Table 3 below shows the institutions that did not have a public policy per country.

Table 3. Total number of institutions we checked with no policy

Country	# of institutions with no publicly available policy	total # of institutions checked
Austria	4	10
Brazil	8	20
Germany	5	17
India ⁶	27	39
Portugal	0	6
UK	32	56
USA	6	41
TOTAL	82	189

An initial round of document collection occurred during the period November 2019 to March 2020. The sample was then further extended between March and April 2021. As some institutions had several distinct policies relating to different career-stages, 143 total RPT policy documents were collected for analysis from the 107 institutions.

4.3 Data charting

Data was extracted from the policy documents using a standardised data-charting form. The form was devised in multiple rounds of iteration. Key indicators for inclusion were identified

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⁶ For the Indian case, most institutions did not have specific policies. To retain India in the sample, we therefore coded 5 evaluation forms, 2 policy documents and 5 documents that included both a policy and an evaluation form.

from various sources including the MoRRI indicators (MoRRI, 2018), a group of studies performed in the North American context by Alperin et al. (2019), as well as from the surveyed literature. We collected and examined 17 different indicators (Table 4), including "traditional" assessment indicators relating to quantification and quality of publications, and a set of “alternative” indicators relating to open and responsible research, and related issues such as gender equality and Citizen Science. In addition, information was gathered on the date policies came into effect, the academic positions (e.g., tenure track, professor, lecturer, senior lecturer) or types of processes (e.g., promotion, review, tenure) they governed.

Table 4. Overview of data-charting form main elements (“Are the following mentioned as being taken into account in the promotion/evaluation procedures as stated in the policy?”)

Indicator	Short code	Definition / coder instructions
Citations	Citations	Mentions citations (h-index, number of citations etc) (Y/N)
Citizen Science	CitizenScience (SL3)	Mentions citizen science activities (research activities involving citizens incl. data collection, agenda-setting, etc.) (Y/N)
Data	Data (OA2)	Mentions data publication and/or sharing (Y/N)
Engagement with industry	Industry	Mentions impact type 3) interactions with industry (Y/N)
Engagement with policy makers	PolicyMakers (PE2)	Mentions impact type 2) interactions with policy makers (Y/N)
Engagement with the public	PublicEngagement (PE1)	Mentions impact type 1) public engagement (policy specifically mentions public engagement, e.g. science communication, public lectures, social media, radio, newspapers) (Y/N)
Gender equality	GenderEquality (GE1)	Mentions gender Overview or equivalent process (gender of the candidate is considered) (Y/N)

Journal metrics	JournalMetrics	Mentions journal based metrics (e.g. impact factor, journal ranking quartiles) (Y/N)
Number of publications	NumPublications	Mentions number of publications as an indicator of productivity in and of itself Y/N) ⁷
Open Access	OpenAccess (OA1)	Mentions Open Access publishing (Y/N)
Patents	Patents	Mentions patenting discoveries/inventions (Y/N)
Publication quality	PublicationQuality	Mentions an attempt to review quality instead of quantity of publications, i.e. a request for key publications, writing samples, etc. (Y/N)
Review & editorial activities	PeerReview	Mentions peer review and/or editorial activities
Reviewer gender	GenderReviewers	Gender of reviewers considered (e.g. reviewers must include women but requirement of gender parity not mentioned) (Y/N)
Reviewer gender balance	GenderBalanceReviewers (GE9)	Mentions gender balance for reviewers/committees as a requirement/goal (Y/N)
Service to profession	PastoralWork	Mentions conference organisation, participation in PhD committees or other community services (Y/N)
Software	Software	Mentions contributions to scientific software (Y/N)

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⁷ The indicator was initially broader in scope, also covering cases mentioning a full list of publications as a mandatory part of the documents to be submitted. As we elaborate in the discussion, these requests might imply that the number of publications is being considered, but this is not evident from the policy itself. We therefore revised the indicator, referring strictly to instances where the number of publications was taken as an indicator of productivity in and of itself (e.g., “numbers help”, University of Nevada, Las Vegas, USA_31) and recoded documents accordingly.

Five coders were involved, all with competences in English, three in German and one in Portuguese. Policies were assigned based on language competences. They coded the presence (1) or absence (0) of each indicator in each policy, and copied the sentence mentioning the indicator, and the ones before and after. Each document was coded by one individual. To assess intercoder reliability, an independent coder (TRH) performed a reviewer audit of a random sample of ten percent of the total number of institutions. Comparing this second round of review to the first responses revealed a high intercoder-reliability of 96.78%.

Before carrying out the analysis, several steps were taken to ensure data integrity and consistency. Data was originally collected via spreadsheets, and subsequently collated using R to avoid copy-paste errors. We checked (a) that every indicator was present for each policy, (b) that in cases where an indicator had been found (coded as 1) a text excerpt was present, and that (c) in cases where no indicator had been found (coded as 0) also no text excerpt was present. The inconsistencies found were checked and resolved by TK.

To facilitate the review of our results, and the re-use of the data, we translated all non-English excerpts to English in a two-step procedure. First, we used DeepL⁸ to obtain an initial translation of the excerpt. A native speaker then checked the translation, revising to ensure that meaning, context and use of special terms mirrored the original. The validated translation was then recorded alongside the original text for subsequent analysis.

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⁸ <https://www.deepl.com/translator>

4.4 Data Analysis

All data analysis was conducted using R (R Core Team 2021), with the aid of many packages from the *tidyverse* (Wickham et al. 2019), including *ggplot2* for visualisations (Wickham 2016). Computational reproducibility of the analysis is ensured through the use of the *drake* package (Landau 2018). To enable the comparison of the indicators' presence against each other, we rely on Multiple Correspondence Analysis (M. Greenacre and Nenadic 2018; Nenadic and Greenacre 2007). Correspondence analysis and its extension MCA are similar to principal component analysis (PCA) in mapping the relationships between variables to a high-dimensional Euclidean space. The goal of the method is then “to redefine the dimensions of the space so that the principal dimensions capture the most variance possible, allowing for lower-dimensional descriptions of the data” (Blasius and Greenacre 2006, 5). The obtained dimensions can therefore be inspected for their alignment to specific variables, enabling conclusions about the main trends found in the data. MCA thus offers a visual representation of contingency tables, and is well suited for the categorical data collected in this study. Furthermore, MCA allows us to investigate the relationship between indicators and countries jointly. Several considerations apply when analysing data via MCA.

First, we apply MCA in a strictly exploratory fashion. Inspecting its visual output facilitates interpretation of the relationship between indicators, and how they relate to countries, but we do not conduct any testing of hypotheses. Second, the graphical solution offered by MCA maximises deviations from the average, allowing for statements of the prevalence of indicators relative to one another. For statements about absolute frequencies of indicators across countries, we rely on MCA's numerical output (see supplementary files), as well as cell frequencies found in the corresponding contingency tables.

5 RESULTS

Assessing the prevalence of traditional and alternative (especially open/responsible research-related) criteria across policies of 107 institutions, we find substantial differences in their prevalence (Figure 1). While 72% of institutions mention “service to the profession”, no institution mentions data sharing or Open Access publishing. Overall, traditional indicators, related to the profession or to scientific publications, are much more common than indicators related to open and responsible research.

In terms of more traditional indicators, by far the most common indicator mentioned in the policies was “service to the profession”, which includes activities such as organising conferences or mentoring PhDs (72%). Extending the concept of professional service, almost half of the policies also mention peer review & editorial activities (47%). A second important aspect among the sampled policies is that of scientific publications, with frequent mentions of the number of publications, or publication quality. While a call to rate quality over quantity is not uncommon in the policies, problematic practices were still worryingly prevalent. For example, journal metrics such as the Journal Impact Factor were mentioned in at least a quarter of the policies, while sheer productivity, as measured by quantity of publications, was present in around a fifth of cases.

Indicators relating to open and responsible research were very rare. We discovered no mentions of data-sharing or Open Access publishing. Creation of software was quite well represented (13% of cases), due to its prevalence in policies in Brazil where it is mentioned at 75% of institutions (Figure 3). Mentions of RRI elements were more encouraging, as the RRI-related aspects of interactions with industry (37%), engagement with the public (35%), and

engagement with policy-makers (22%) were relatively well-represented. However, issues relating to gender were mentioned only in between 6 to 9% of cases.

Figure 1. Overall prevalence of indicators across all institutions/countries. In cases where an institution had more than one policy, we aggregated the policies. An institution was counted as mentioning a given indicator, if at least one of the policies mentioned it.

5.1 Relationship between indicators

Institutions rely on a distinct combination of indicators and criteria to assess researchers. To investigate how these indicators are related (i.e., which aspects are commonly mentioned in tandem), we rely on Multiple Correspondence Analysis. This method relates criteria against each other and allows us to investigate deviations from the average, as well as which indicators

commonly appear together. To further substantiate these findings, we provide bivariate correlations between all indicators in the supplement (Figure S2).

The first apparent aspect from analysing the variables jointly is that the studied indicators tend to be cumulative (Figure 2). In broad terms, there is a basic divide between institutions that mention many criteria, and those that mention few to none (see also Table 5 on how this relates to countries). Investigating relationships further, the first dimension (horizontal axis) draws heavily from engagement beyond academia: with industry, the public, and policy makers. Institutions commonly mention them together, with bivariate correlations of about .5 between the three indicators (see Figure S2). The same institutions also mention contributions to review & editorial activities, service to the profession and publication quality more often than the average institution. On the other end of the spectrum (right side) are institutions that mention engagement beyond academia and service to the profession less frequently than the average.

Figure 2: Relationship between indicators for review, promotion and tenure. The figure is a graphical representation of the relationships between indicators when considering their multivariate relationships. The

figure's origin (0, 0) represents the sample average. “++” means that an indicator is present, “--” that it is not present. Engagement is abbreviated with “E.” The *horizontal axis (Dimension 1)* accounts for 66.7% of variation in the data. This dimension mainly contrasts institutions which mention instances of engagement (with the public, industry, or policy makers), citizen science, as well as service to the profession, with institutions that do neither. The *vertical axis (Dimension 2)* accounts for 8.4% of variation in the data. This dimension mainly contrasts institutions that value publication quality and rely on citations, with institutions that value patents, journal metrics, as well as software on the other end of the spectrum (bottom). Citizen science is found near the bottom of the axis, but does not contribute strongly to this dimension. The indicators “Data sharing” and “Open Access publishing” are not included in the model, since both were not found in any of the policies. Furthermore, variables relating to gender were not included, since they relate to the composition of review panels rather than research assessment criteria per se.

While the first distinction (between institutions mentioning many indicators and engagement beyond academia in particular) is strongest, the second dimension (vertical) provides additional insight on the interrelatedness of the indicators. The divergence along this dimension revolves around institutions which mention publication quality and reliance on citations on one side, with institutions mentioning software, patents, journal metrics, as well as citizen science, on the other side. It is noteworthy that publication quality and citations (often seen as a proxy indicator for publication quality), are mentioned jointly at an above average rate. Mentions of publication quality, on the other hand, are unrelated to mentions of journal metrics (such as the Journal Impact Factor), which are considered a much more problematic indicator of research quality. Citations and journal metrics are represented on opposite sides of the vertical spectrum, despite the criteria being weakly correlated ($r = .22$). This is driven by the fact that journal metrics are moderately related to patents ($r = .32$), but unrelated to publication quality.

5.2 Country comparison

When comparing countries, we find differences in terms of the overall prevalence of indicators, but also their relative importance. The absolute number of indicators per country varies since we sampled more institutions for larger countries than for smaller ones. Importantly, however, the relative number of indicators also varies considerably (Table 5). While just under a third of the analysed indicators were identified in policies in Austria, Brazil, Germany, Portugal and the UK, 18% in the USA, and 16% in India. The lower numbers in the USA and India may reflect the nature of the documents examined in those cases. We only examined institution-wide policies and in the USA it may be the case that detailed criteria are more often contained at departmental- or faculty-level policies; in India (as stated) assessment forms were also analysed as few institutions had official policy documents (see Table 3).

Table 5. Number and percentage of indicators discovered per country

Country	# of universities	# of indicators	# of indicators found	% of all possible indicators
Austria	6	17	29	28%
Brazil	12	17	61	30%
Germany	12	17	64	31%
UK	24	17	109	27%
India	12	17	33	16%
Portugal	6	17	27	26%
USA	35	17	106	18%

Regarding the relative prevalence of the various indicators, we find considerable differences between countries. Figures 3 & 4 rely on the same data, and enable a thorough examination of

the differences present in our data across countries. In the following we summarise results for each country in detail.

- Austria: A very high share of sampled institutions mention the number of publications (67%), and half also mention journal metrics. Service to the profession, while the most common concept across countries, is mentioned in only 50% of institutions in Austria. A major distinction between institutions from German speaking countries (i.e., Austria and Germany) and all other countries, is that the former frequently mention concepts of gender, with four out of six Austrian universities mentioning gender equality, while this is not found in any other country.
- Brazil: All Brazilian institutions mention service to the profession, and three out of four mention patents, review & editorial activities, and software, while mentions of software are uncommon in other countries. Similar to India and Austria, journal metrics are mentioned quite frequently (42%). Sampled policies from Brazil are similar to policies from the UK in frequently mentioning service and engagement beyond academic, but diametrically opposed in also frequently mentioning patents and software, both of which are very rare in the UK.. Finally, both country profiles are relatively far from the sample average, indicating configurations which are less common among other countries.
- Germany: Policies from German universities are very similar to their Austrian counterparts, which suggests similarities based on shared cultural and academic traditions and influences. For example, policies from both Austria and Germany commonly mention gender equity. However, the concepts of patenting and review & editorial activities appear considerably more frequently in German policies than in Austria, with the least mentions of service to the profession across the sample also found in Germany.

- India: Contrary to all other countries, we find no evidence of policies referring to review & editorial activities as a criterion for promotion, and very few cases that refer to the number of publications a given researcher has produced. On the other hand, mentions of journal metrics were very common in the policies sampled from Indian institutions (67%, n=8), while less common among the other countries.
- Portugal: All sampled universities mention engagement with the public, which is a strong exception in the sample. Furthermore, many institutional policies mention service to the profession, engagement with industry, patents, as well as the number of publications. Indicators which are less common across the sample, such as citizen science, software, citations, as well as engagement with policy makers are not found at all in Portugal.
- United Kingdom: All sampled universities mention service to the profession, and four fifths mention publication quality. Equally, institutions from the UK mention all three dimensions of engagement beyond academia (industry, public, policy makers) considerably more frequently than the average of the sample. Finally, policies mention patents and the number of publications considerably less frequently than institutions from other countries.
- United States: In line with the overall finding of a low propensity of indicators across universities from the US (Table 5), all indicators were found at a slightly lower rate than in other countries. Given that the sample deliberately included more institutions from the US, institutional policies from the US are quite close to the average across the whole sample (Figure 4). The biggest deviations from the sample average are found with engagement with industry, which is mentioned least frequently in the US, compared to all other countries.

Service to profession	50%	100%	33%	58%	83%	100%	63%
Patents	33%	75%	67%	67%	67%	4%	34%
Review & editorial activities	17%	75%	75%	0%	50%	58%	40%
Engagement with industry	33%	33%	33%	25%	83%	62%	20%
Engagement with the public	17%	42%	25%	8%	100%	62%	17%
Publication quality	33%	0%	58%	33%	17%	79%	40%
Journal metrics	50%	42%	25%	67%	17%	12%	14%
Number of publications	67%	25%	25%	8%	33%	4%	17%
Engagement with policy makers	17%	33%	8%	0%	0%	54%	14%
Gender of reviewers	50%	0%	58%	0%	0%	0%	0%
Gender equality	67%	0%	42%	0%	0%	0%	0%
Citations	17%	0%	33%	8%	0%	17%	26%
Software	0%	75%	8%	0%	0%	0%	11%
Gender balance of reviewers	33%	0%	33%	0%	0%	0%	0%
Citizen science	0%	8%	8%	0%	0%	0%	6%
Open access	0%	0%	0%	0%	0%	0%	0%
Data	0%	0%	0%	0%	0%	0%	0%
	Austria	Brazil	Germany	India	Portugal	United Kingdom	United States

Figure 3. Prevalence of indicators per country. Percentages are rounded to full integers. The number of cases (universities) per country is presented in Table 5. Low cell frequencies and empty cells prohibit the use of common Chi-square metrics for contingency tables.

Figure 4: Relationship between indicators with superimposed countries. The relationships between criteria displayed in this figure are the same as above (Figure 3). To allow for an investigation of which criteria are more common in a given country than in the rest of the sample, we project country profiles into this space. These “supplementary variables” do not have an influence on the layout of the indicators. The countries’ positions are to be interpreted as projections onto the respective axes, by examining their distance to indicators which are central to the respective dimension (see section 3.1 and Figure 3 on the interpretation of the axes).

Overall, we find a low uptake of alternative evaluation criteria covering open and responsible research. However, there is substantial variation between countries (Figure 5). Summarising

eight core criteria (“Citizen science”, “Data”, “Engagement with industry”, “Engagement with policy makers”, “Engagement with the public”, “Gender equality”, “Open Access”, “Software”), we find the highest uptake of alternative criteria in Brazil, Portugal and the UK, with 1.9, 1.8 and 1.8 alternative criteria per university on average, followed by the UK (1.8). Uptake is lower in Austria and Germany, and particularly low in the USA (0.7 criteria on average) and India (.3).

Figure 5: Uptake of alternative indicators. Here we display how frequently alternative indicators are found in the policies. We consider the following eight indicators: “Citizen science”, “Data”, “Engagement with industry”, “Engagement with policy makers”, “Engagement with the public”, “Gender equality”, “Open Access”, “Software”. Dots represent the mean across all universities of a given country, with bootstrapped confidence intervals (95%).

5.3 Comparison with citation ranking

Previous research has found no evidence of an association between universities’ ranking positions and the prevalence of traditional or alternative criteria when controlling for geographic region (Rice et al. 2020). Here we conduct a similar analysis, examining differences

in the citation ranking and its relationship to the set of criteria, while controlling for country. Removing the influence of countries is meaningful in this context, because an institution's location and its citation ranking are clearly linked (Figure S4).

Figure 6: Relationship between indicators with superimposed citation ranking groups. The relationships between criteria displayed in this figure are the same as above (Figure 3). To allow for an investigation of which criteria are more common in a given ranking group than in the rest of the sample, we project the respective profiles into this space. These “supplementary variables” do not have an influence on the layout of the indicators. Ranking categories are calculated within-country, to control for the influence of country on an institution's citation ranking. The ranking positions are to be interpreted as projections onto the respective axes, by examining their distance to indicators which are central to the respective dimension (see section 3.1 and Figure 3 on the interpretation of the axes).

After controlling for country, we find only small differences in the prevalence of indicators with respect to an institution's ranking (Figure 6). Institutions with a low as well as with a medium citation ranking are very close to the sample average on both dimensions. Both are characterised by slightly above average mentions of the dimension of engagement beyond

academia, as well as the dimension of service. Highly ranked institutions are characterised by slightly lower than average mentions of service, review & editorial activities, and engagement, but slightly higher mentions of publication quality, citations, and journal metrics (see also Figure S5).

5.4 “Numbers help”? Journal metrics, publication quantities and publication quality

We next look further into the ways in which two problematic practices (use of journal-level metrics and numbers of publications as indicators of quality and productivity respectively) are expressed in policies, as well as how policies discuss publication quality.

More than a quarter of the policies we examined mention the Journal Impact Factor or some other measure of journal/venue prestige as an assumed proxy for the quality of research published there. This was highest in India (67%) and Austria (50%). In the latter, unambiguous use of the Journal Impact Factor was found: "The evaluation is based on the journal rankings according to the impact factors from the unchanged ranking lists of the Institute of Scientific Information (ISI)" (Medical University of Vienna, AT_4a). Brazil (42%) also relied heavily on journal-level metrics, specifically the “QUALIS-CAPES classification” (Pinto, Matias, and González 2016). Use of such metrics was least visible in the UK, where the 14% of policies that mention them also tend to be more circumspect in their language, e.g., “Excellence might be evidenced [...] (in part) by proxies such as journal impact factors” (Teesside University, GB_6).

Numbers of publications as a criterion are present in around one in five policies, invoked in various ways. This criterion is especially common in Austria (67%), (e.g., “The list of publications of a habilitation candidate must include at least 16 scientific publications in international relevant journals with peer review procedures, which have been published in the

last 12 years”, Medical University of Innsbruck, AT_3). Such quantification is sometimes used in the contexts of strict formulas which also used journal-level metrics (as at the aforementioned Medical University of Vienna (AT_4a): "The basic requirement for a habilitation is 14 points, with 1 point for a standard paper and 2 points for a top paper"). In the USA, quantity of publications is mentioned in 17% of cases, but usually emphasised as just one factor amongst others, e.g., "Quantity can be a consideration but quality must be the primary one" (University of Missouri-St Louis, USA_25). In the striking words of one USA institution, however, "*numbers help*" [emphasis ours] when reporting "the total number of peer-review articles or other creative and research outputs" (University of Nevada, Las Vegas, USA_31). In Germany, only 25% of institutions focused on publication numbers, but often emphasising "not to set a fixed minimum number, but rather an approximate guideline" (TU Dortmund, DE_12). However, in Austria and Germany we also found that as a matter of course many institutions ask for full publication lists as part of their criteria. We did not code these as explicitly supporting publication quantity as an indicator for assessment. However, in practice we might assume that the length of publication lists may be used as an unofficial factor in decisions.

As with journal metrics, UK policies only very rarely mention publication numbers as a factor (just 4%). This is in stark contrast to the number of UK policies mentioning publication quality as an important criterion (79%). Here, the influence of the UK national assessment exercise, the Research Excellence Framework (REF), is clearly visible. We found, for example, exhortations to produce "high quality" work "that is judged through peer review as being internationally excellent or better in terms of originality, significance and rigour" (University of Sheffield, GB_9a). As we discuss below, this language is highly similar to that of the REF itself, suggesting that institutions have adapted their assessment policies to REF criteria.

6 DISCUSSION

The need to reform reward and recognition structures for researchers to mitigate effects of over-quantification and incentivise uptake of open and responsible research practices is well understood. Our results show just how far there is to go.

We found that policies for assessing researchers members for review, promotion and tenure among an international sample of 107 institutions in seven countries largely relied on traditional criteria (service to professions, review & editorial activities, publication quality and patents). Alternative criteria related to open and responsible practices were much less prevalent. Here, considerations related to Responsible Research and Innovation such as engagement with industry, the public and policy-makers fared better, present in between 22% and 37% of policies. Gender elements (including commitments to gender equity and gender balance of reviewers) were only present in between 6% and 9% of cases, and only found in Austria and Germany. Criteria related to Open Science were very rare - sharing of data and Open Access publishing were not found in any policy. These general findings across countries hence largely confirm previous findings which have focused on USA/Canadian institutions (Alperin et al. 2019; McKiernan et al. 2019; Alperin et al. 2020; Niles et al. 2020) or a particular discipline (Rice et al. 2020).

Regarding differences between the countries studied, we found substantial differences with some common patterns. Overall, we found very few criteria in the policies from India and the USA. India likely constitutes a special case, with institutions often seeming to lack written policies beyond those implied by the required criteria in application forms. For the case of the USA, the distinction between general RPT policies and those from specific departments and

schools is crucial. The analysed policies represented general policies, which in many cases laid out general principles, but did not include more specific criteria, which were to be defined by each school or department. This is in contrast to policies from Austria or Germany, where the policies equally applied university-wide; however these policies were very specific and we did not find evidence of further policies at faculty- or department-level.

Criteria relating to engagement beyond academia (industry, policy-makers, public) appeared together very often (correlations around $r = 0.5$), and most commonly in Brazil, Portugal and the UK. The high share of UK institutions mentioning this type of outreach can be related to the influence of the Research Excellence Framework (REF) as an organising principle. 25% of the profile for an institutional score in the REF is attributed to “Impact”, defined as “an effect, change or benefit beyond academia” (Sutton 2020), and the prevalence of broader impact criteria in current institutional policies seems to reflect this importance. Similarly, the effect of the REF on definitions of quality of outputs and the diminished use of journal metrics as a proxy for quality can clearly be seen in the UK, where as journal metrics were barely mentioned and many policies focused on the quality of publications themselves was foregrounded, sometimes literally using the REF definition of “Quality of research in terms of originality, significance and rigour”, as in the case of (University of Sheffield, GB_9a) quoted above.

There are high similarities between the UK, Portugal and Brazil, with a strong emphasis on service, review & editorial activities, and the dimension of engagement beyond academia. However, the UK is very distinct from Portugal and Brazil in terms of patents and publication quality. While patents are very frequently mentioned in Brazil and Portugal, but almost not at all in the UK, publication quality was found very often in the UK but not at all in Brazil, and only in one out of six universities in Portugal.

Relationships between the presence or absence of specific indicators and an institution's relative level of “prestige” (imperfectly captured here via their citation ranking) are weak. Our findings align with results by Rice et al. (2020), who reported statistically insignificant coefficients for universities’ ranking positions on the uptake of traditional and alternative indicators, after controlling for country. Institutional policies explicitly rewarding high levels of citations or publications in journals with a high Journal Impact Factor do not seem to translate easily to an institution's increased success in this regard. Hence, not only are such policies problematic in incentivising gaming of metrics and potentially fostering bad practices (Ioannidis 2005; Higginson and Munafò 2016), but they do not even necessarily work as desired to raise an institution’s position in such rankings.

In addition, that the prestige of institutions is less of a factor than we may have expected, spotlights the extent to which local or regional norms of research assessment must be further studied. We suggest that a main takeaway from our findings is that although the overall trends (predominance of traditional and quantitative indicators and general lack of newer metrics of open and reproducible practices) are visible across the countries, substantial differences in the emphasis on specific sets of criteria exist. This has implications for reform of reward and recognition.

Current RPT policies result from a complex network of factors, including diverging evaluation cultures, differing levels of institutional autonomy, and institutional preferences (Seipel 2003; Adler, Ewing, and Taylor 2009; Coonin and Younce 2009; King, Acord, and Earl-Novell, Sarah 2010; Walker et al. 2010; McGill and Settle 2011; Gardner and Veliz 2014; Brown 2014). The best route forward on reforming these local assessment cultures is thus to be decided

in light of historical and contextual considerations. Strict, one-size-fits-all reforms would be insufficient in bringing about desired outcomes across the complex web of differing evaluation cultures.

In addition, open and responsible research practices are still moving mainstream, and at different rates in differing countries, regions and types of institutions. Factors like levels of resources mean local contexts will have different levels of preparedness to adopt open and reproducible research practices. Since, we assert, it would be unfair for an institution to expect these practices before being able to adequately support their implementation (through training, services and infrastructure), it is essential that reforms are built upon adequate institutional foundations for performing open and reproducible research (Ross-Hellauer et al. 2022). In addition, particular open and responsible practices are of different relevance across disciplines, and hence reform must respect disciplinary cultures. Indeed, two recent surveys of research institutions by the European University Association highlights several barriers to change in research assessment from the institutional point-of-view (Morais and Borrell-Damian 2018; Saenen et al. 2019). Primary amongst these is the sheer complexity of the issue, which (as already stated) must account for differences in disciplines and career-stage, but also the various levels at which rewards and incentives can be structured, such as the level of research groups, departments, faculties, institutions, as well as (cross-)national actors like governments and research funders. Other factors identified by the EUA survey include lack of capacity, need to align policies with national or international agendas, resistance to reform from researchers or management, worries about increased costs, and lack of evidence on benefits (Morais and Borrell-Damian 2018; Saenen et al. 2019).

7 CONCLUSION

Current assessment of research and researchers forms a major barrier to uptake of open and reproducible research, retaining too much focus on inappropriate indicators, productivity as determined by quantity, and individual achievements rather than collaborative open research practices, and the socio-economic impact of research. In this paper we have quantitatively demonstrated that across countries, inclusion of such criteria remains rare. Although outreach to stakeholders beyond academia (public, industry, policy-makers) is somewhat better represented, practices related to Open Science are certainly not. Our sample is unique in addressing many countries across disciplines, and as such demonstrates that although general trends of over-quantification and undervaluing of open and responsible research can be observed, important differences between countries can be seen. In seeking reform, care must be taken to respect the historical and contextual reasons for such divergences.

7.1 Limitations and future work

The collection of policies was conducted under time constraints and in two rounds (one year apart). In addition, obtaining policies was difficult as they were often internal documents. Hence, there may have been some time-lag in that policies we examined were not the most recent versions.

The search protocol for the construction of the sample implied looking for the general RPT policy for the whole institution. This left out departmental policies and other policies such as Ethics, Diversity, and Open Access. In the Portuguese case, most Universities have a separate Open Access policy that in some cases is tied with promotion criteria, and therefore were not included in our analysis. The focus on general policies might also explain the overall low rate of policies found for the USA.

This work only identifies the prevalence of concepts in documents. It does not further analyse the particular contexts of use. Future qualitative work would provide this. In addition, this work does not consider how these policies were actually put into practice, and future survey or interview work would help in understanding these broader contexts. As an example, many policies mention that candidates should submit a full CV, including a complete list of publications. We did not consider these to be instances that quantify research output (indicator “Number of publications”). However, it is reasonable to assume that all requested materials will be considered to some extent, and that longer publication lists might be helpful.

Future work could also try to collect a larger number of RPT policies from a broader variety of geographical areas that are not included in our research. A greater sample would enable enhanced understanding of local contexts.

AUTHOR CONTRIBUTIONS

Nancy Pontika: Conceptualization, Data Curation, Investigation, Methodology, Project administration, Writing original draft, Writing - review & editing. Thomas Klebel: Conceptualization, Data curation, Formal analysis, Investigation, Methodology, Validation, Visualization, Writing – original draft, Writing – review & editing. Antonia Correia: Data curation, Investigation, Writing – review & editing. Hannah Metzler: Conceptualization, Data Curation, Investigation, Methodology, Project administration, Writing - review & editing. Petr Knoth: Conceptualisation, Funding acquisition, Methodology, Project administration, Supervision, Writing - review & editing. Tony Ross-Hellauer: Conceptualization, Funding acquisition, Investigation, Methodology, Project administration, Supervision, Validation, Writing – original draft, Writing – review & editing.

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COMPETING INTERESTS

The authors declare no competing interests.

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DATA AVAILABILITY

All supporting data and required code are available: <https://zenodo.org/record/6323765>.

SUPPLEMENT

See Supplementary document “RPT Supplement”

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8 SUPPLEMENTARY MATERIAL

Figure S1. Average prevalence of indicators per country. The black horizontal line represents the mean across the countries' shares.

Figure S2. Correlation matrix (Pearson) of indicators.

Figure S3. Indicators versus university ranking. Here we do not normalise for country, but provide raw correlations.

Figure S4: Research and citation ranking values for sampled institutions.

Service to profession	63%	81%	72%
Review & editorial activities	37%	56%	47%
Publication quality	46%	47%	39%
Patents	40%	42%	42%
Engagement with industry	31%	42%	39%
Engagement with the public	26%	33%	44%
Journal metrics	31%	19%	28%
Engagement with policy makers	23%	19%	25%
Number of publications	20%	19%	17%
Citations	23%	11%	19%
Software	9%	17%	14%
Gender of reviewers	6%	8%	14%
Gender equality	6%	8%	11%
Gender balance of reviewers	0%	8%	8%
Citizen science	0%	6%	6%
Open access	0%	0%	0%
Data	0%	0%	0%
	high	medium	low
	Citation ranking		

Figure S5: Indicators vs citation ranking. The citation ranking was grouped into equally sized groups in each country.

1 **Table S1: Numerical Output from Multiple Correspondence Analysis.**

Variable	mass	inertia	k=1	correlation with dim 1	contribution to dim 1	k=2	correlation with dim 2	contribution to dim 2
Citations –	69	12	5	9	0	-10	27	2
Citations ++	15	56	-25	9	0	44	27	9
Citizen science –	80	3	27	747	2	9	77	2
Citizen science ++	3	72	- 689	747	58	- 222	77	48
Industry E. –	52	39	188	814	72	-13	4	3
Industry E. ++	31	66	- 314	814	120	22	4	5
Policy makers E. –	65	25	133	765	45	-27	33	15
Policy makers E. ++	19	85	- 460	765	154	95	33	52
Public E. –	55	36	175	795	65	-18	9	6
Public E. ++	29	69	- 331	795	123	35	9	11
Journal metrics –	62	18	11	24	0	34	226	22
Journal metrics ++	22	50	-32	24	1	-96	226	63
Number of publications –	68	11	-15	305	1	-1	3	0
Number of publications ++	16	49	67	305	3	6	3	0
Patents –	49	31	49	129	5	95	482	137
Patents ++	34	45	-70	129	7	- 136	482	196
Publication quality –	47	32	80	354	12	-77	323	85
Publication quality ++	37	41	- 102	354	15	98	323	108

Review & editorial –	44	41	182	843	57	23	13	7
Review & editorial ++	39	47	- 208	843	65	-26	13	8
Service –	23	64	324	876	96	-4	0	0
Service ++	60	25	- 126	876	37	2	0	0
Software –	72	11	54	525	8	36	233	29
Software ++	11	71	- 358	525	55	- 238	233	192
Austria			260	358		17	1	
Brazil			- 292	217		- 530	713	
Germany			77	113		-89	153	
India			322	667		- 169	185	
Portugal			- 193	256		-53	19	
United Kingdom			- 298	359		390	616	
United States			156	726		9	2	
citation ranking - high			100	627		30	58	
citation ranking medium -			-52	358		-16	34	
citation ranking - low			-45	916		-13	81	

Table S2: Example snippets of indicator use in policy documents.

Indicator	Example snippets
Citations	Candidate should "[s]hape their discipline via e.g. numbers of citations" (GB_8) "Where appropriate, provide indicators of impact, clearly identifying the number of self-citations included in the total number of citations." (USA_9)

	The institute recognizes the research carried out by its faculty members and research students by granting "Research Awards" for publishing papers, contribution to h-index of the university through citations, funded projects, and patents"(IN_10)
Citizen Science	"Field work and/or technical visits, community programmes for internal and external mobilisation, among others of interest to the Institution and the community, aimed at producing and socialising knowledge, carried out with segments of society, including diagnosis, planning, training and developing actions in a participative manner" (BR_11) "knowledge transfer: activities in the field of Citizen Science" (DE_1) "Scholarship of engagement: When faculty engage in scholarship that combines rigorous academic standards in any of the four other dimensions of scholarship, and is developed in the context of reciprocal and collaborative community partnerships. Community is broadly defined to include audiences external to the campus that are part of an active collaborative process that leads to new understanding and knowledge that contributes to the public good." (USA_11b)
Data	
Engagement with industry	"Has the candidate demonstrated excellence, innovation and creativity in the initiation and completion of significant contributions to present and future practice as evidenced by: demonstrated improvements to industrial practice; creation of novel designs, [...]" (USA_28) "The significance of translational or applied research that results in public-private partnerships, patents, licensing, and/or other forms of commercialization and entrepreneurial activity should also be part of the evaluation of research." (USA_12) "To carry out service provision activities promoting the economic and social valorisation of knowledge in cooperation with the business community and the public sector" (PT_4)
Engagement with policy makers	"involvement in public policy formulation" (BR_2) "Support of knowledge transfer: participation in expert committees (e.g. standards committee), contributions to policy advice or membership in political advisory bodies" (DE_1) "May provide significant advice to a broad range of public bodies at local, regional, national and international levels, as appropriate." (GB_1b)
Engagement with the public	"Extension activities, demonstrated by the participation and organisation of events and courses, by initiatives promoting social inclusion, by the dissemination of knowledge," (BR_1b) "Supporting knowledge transfer: contributions to science communication" (DE_1) "May organise programmes of public outreach and engagement, building a track record of public engagement. May develop programmes of teaching and/or research that involve knowledge transfer with the public and private sectors, and with civil society." (GB_1a)
Gender equality	"the members of the panel (in compliance with the Affirmative Action Plan for the advancement of women and equal treatment) select, as a rule, five candidates who are best-qualified according to the advertised criteria (short list)." (AT_1a) "The reviewers shall in particular be made aware that specific female life and career histories must be taken into account in the assessment of applicants. The relevant provisions of the [institution's] Women's Advancement Plan are to be forwarded to the reviewers by the rector." (AT2b) "Regarding the appointment of tenure-track professors [...] A gender-equitable selection and appointment process is ensured by the participation of the Equal Opportunity Officer in the

	respective selection committee for the appointment of tenure-track professors as well as in all phases of the evaluation process." (DE_6)
Journal metrics	"Excellence might be evidenced ... (in part) by proxies such as journal impact factors, citation counts and other appropriate metrics." (GB_6) "The evaluation is based on the journal rankings according to the impact factors from the unchanged ranking lists of the Institute of Scientific Information (ISI). The journals within the first 20 % of the ranking list are considered "top journals", the other 40 % (between 20 % and 60 %) "standard journals", and the last 40 % "other journals". Journals in which no original work appears are deleted before the calculation of "standard" and "top"." (AT_4a) "Article in indexed journal, according to the QUALIS-CAPES classification of the respective area: A1, A2, B1, B2, B3 [...]" (BR_12)
Number of publications	"The list of publications of a habilitation candidate must include at least 16 scientific publications in international relevant journals with peer review procedures, which have been published in the last 12 years, taking into account the duration of the academic activity (e.g. parental leave, obligations towards family members in need of care, long-term illness, part-time employment). In at least six of these scientific publications, the habilitation candidate must be named as first author or responsible corresponding author. For the purposes of this provision, original publications including research letters and a maximum of three review articles count as scientific publications)." (AT_3) "The basic requirement for a habilitation is 14 points, with 1 point for a standard paper and 2 points for a top paper. - 9 points are required as first author - There must be 2 authorships in top journals, at least one of which must be as first author." (AT_4a) "For individual criteria (e.g. the number of publications), the required quantities can also be specified. The aim here is not to set a fixed minimum number, but rather an approximate guideline." (DE_12) "Criteria for evaluating research performance: Quality and quantity of publications" (DE_6) "Depending upon the discipline, entrepreneurial and commercialization activities related to intellectual property and patents, which benefit the university, also demonstrate scholarly output. While quantity of effort and output must be sufficient to demonstrate an active and peer-recognized presence in the discipline, quality of research is clearly of great value in determining the level of performance. Important evidence of scholarly merit may be either a single work of considerable importance (such as a book or monograph) or a series of smaller, high quality products such as refereed journal articles constituting a program of worthwhile research." (USA_12) "UCAPT and reviewers at other levels base their assessments of quality and impact on a variety of factors, including direct reading of the work, the quality of publication venues, the quantity of work, the influence shown by citations, the external peer review expressed in scoring and funding decisions by Federal agencies and organizations known to have high standards, and confidential reviews by external scholars." (USA_20) "Quantity can be a consideration but quality must be the primary one." (USA_25) "numbers help: the total number of peer-review articles or other creative and research outputs published (not just submitted for publication)" (USA_31) "Total Published Papers At the time of appointment / During the review period" (IN_11)

"Article 5 - A faculty member who achieves a minimum score of 70 (seventy) points will be considered approved in the academic performance evaluation for advancement: (...) II - 10 (ten) points for Assistant Professor, 15 (fifteen) points for Assistant Professor, 20 (twenty) points for Adjunct Professor, and 25 (twenty-five) points for Associate Professor in research and/or extension activities, listed in Appendix 2. (...) 2.1 Didactic, technical-scientific or artistic book published by a publishing house, up to 25 [points]. 2.2 Organization of a didactic, technical-scientific or artistic book published by a publishing house, up to 10. 2.3 Chapter in a didactic, technical-scientific or artistic book published by a publishing house, up to 10. 2.4 Translation or technical review of the translation of a didactic, technical-scientific or artistic book published by a publishing house, up to 10. 2.5 Translation or technical review of translation of a chapter in a didactic, scientific-technical or artistic book, up to 5. 2.6 Article published in an indexed specialized scientific journal, up to 15. 2.7 Article published in scientific-academic event proceedings, up to 10. 2.8 Article published in non-indexed periodicals, up to 4. 2.9 Article or document on scientific, technological or artistic dissemination published, up to 4. 2.10 Expanded abstract published in scientific-academic proceedings, up to 4. 2.11 Abstract published in scientific-academic event proceedings up to 2" (BR_7)

"Art. 15 The result of the performance evaluation shall be considered satisfactory if the lecturer achieves minimum marks of 4.0; 8.0 and 4.0, obtained in factors I, II and III, referring to the criteria of Professional qualification, Academic and administrative performance and Scientific, technological, technical and artistic-cultural production, respectively(...) 1. Article published in a CAPES A1 journal (10.0 points per article). 2. Article published in a CAPES A2 journal (8.0 points per article). 3. Article published in a CAPES B1 journal (6.0 points per article). 4. Article published in a CAPES B2 journal (5,0 points per article). 5. Article published in a CAPES B3 journal (4,0 points per article). 6. Article published in a CAPES B4 journal (3,0 points per article). 7. Article published in a CAPES B5 journal (2.0 points per article). 8. Article or review published in the area of activity in scientific periodical with ISSN not registered in CAPES (1.0 point per article). 9. Simple summary published in scientific, technological, technical or artistic-cultural events (0.25 per summary, maximum 2.5 points). 10. Expanded abstract published in proceedings of scientific, technological, technical or artistic-cultural events (0.5 per abstract, maximum 2.5 points). 11. Full paper published in proceedings of scientific, technological, technical or artistic-cultural events (1.5 per paper, maximum 4.5 points). 12. Conference or lecture given in scientific, technological, technical or artistic-cultural events cultural events (1.0 per conference, maximum 4.0 points)." (BR_3a)

Open Access	
Patents	"Development or generation of work with patent application/registered patent" (BR_3a) "Patents and participation in spin-offs" (DE_10) "Faculty members shall also strive to file patents if their research output is felt new and novel." (IN_3)
Publication quality	"High-quality publications with substantial own contribution in nationally and internationally renowned peer-reviewed organs (possible indicators for quality: methodological and conceptual new developments, originality, creativity, expansion of the research approach compared to the dissertation)." (DE_12) ""Publish regularly, with at least one item in a rolling three-year period being a major contribution to a high quality publication or output (in the form of peer reviewed articles,

	performances, portfolios etc. – appropriate to the discipline) that is judged through peer review as being internationally excellent or better in terms of originality, significance and rigour. Where appropriate, a substantive monograph may be double weighted."" (GB_9a) ("For example, in many fields, peer-reviewed publications tend to receive greater weight than those that were not peer-reviewed. the focus of review should be on the impact of the individual's discovery activities rather than the numbers of such activities." USA_19)
Review & editorial activities	"activities as a publisher, editor, critic, or peer reviewer for academic or scientific journals and publications" (DE_12) "Peer review activities including membership of editorial board(s), membership of national policy fora and/or practitioner groups, evaluating research grant applications for national grant awarding bodies." (GB_3) "participation in scientific journal bodies" (PT_5)
Service to profession	"Optional: List of other activities in scientific work, e.g. participation in the organisation of scientific conferences, participation in scientific committees, international teaching and research experience, management or participation in research projects that are not documented in publications, patents granted;" (AT_2a) "Special Academic Activities - member of juries, commissions and others" (BR_12) "In University Management the following parameters are to be assessed: positions in University bodies, units and organic sub-units; coordination and management of courses; assessment activities" (PT_2)
Software	"Development of educational software" (BR_6) "List intellectual property developed since your initial appointment at URI or your last promotion, such as inventions, patents, software, research instruments, licensing agreements, etc" (USA_9) "Evaluation criteria: Knowledge transfer category: Conceptualisation, development and participation in virtual knowledge exchange media, e.g. research information systems, technology platforms, etc." (DE_5)