Defining and assessing research quality in a transdisciplinary context

Brian M. Belcher[1,2,*], Katherine E. Rasmussen[1], Matthew R. Kemshaw[1] and Deborah A. Zornes[3]

[1]*Faculty of Social and Applied Sciences, Sustainability Research Effectiveness Program, Royal Roads University, Victoria V9B 5Y2, Canada,* [2]*Centre for International Forestry Research P.O. Box 0113 BOCBD, Bogor 16000, Indonesia and* [3]*Office of Research, Royal Roads University, Victoria, BC V9B 5Y2, Canada*
Corresponding author. Email: brian.belcher@royalroads.ca

Research increasingly seeks both to generate knowledge and to contribute to real-world solutions, with strong emphasis on context and social engagement. As boundaries between disciplines are crossed, and as research engages more with stakeholders in complex systems, traditional academic definitions and criteria of research quality are no longer sufficient—there is a need for a parallel evolution of principles and criteria to define and evaluate research quality in a transdisciplinary research (TDR) context. We conducted a systematic review to help answer the question: What are appropriate principles and criteria for defining and assessing TDR quality? Articles were selected and reviewed seeking: arguments for or against expanding definitions of research quality, purposes for research quality evaluation, proposed principles of research quality, proposed criteria for research quality assessment, proposed indicators and measures of research quality, and proposed processes for evaluating TDR. We used the information from the review and our own experience in two research organizations that employ TDR approaches to develop a prototype TDR quality assessment framework, organized as an evaluation rubric. We provide an overview of the relevant literature and summarize the main aspects of TDR quality identified there. Four main principles emerge: relevance, including social significance and applicability; credibility, including criteria of integration and reflexivity, added to traditional criteria of scientific rigor; legitimacy, including criteria of inclusion and fair representation of stakeholder interests, and; effectiveness, with criteria that assess actual or potential contributions to problem solving and social change.

Keywords: research impact; transdisciplinary research quality; quality criteria, quality evaluation.

1. Introduction

Contemporary research in the social and environmental realms places strong emphasis on achieving 'impact'. Research programs and projects aim to generate new knowledge but also to promote and facilitate the use of that knowledge to enable change, solve problems, and support innovation (Clark and Dickson 2003). Reductionist and purely disciplinary approaches are being augmented or replaced with holistic approaches that recognize the complex nature of problems and that actively engage within complex systems to contribute to change 'on the ground' (Gibbons et al. 1994; Nowotny, Scott and Gibbons 2001 Nowotny, Scott and Gibbons 2003; Klein 2006; Hemlin and Rasmussen 2006;

Chataway, Smith and Wield 2007; Erno-Kjolhede and Hansson 2011). Emerging fields such as sustainability science have developed out of a need to address complex and urgent real-world problems (Komiyama and Takeuchi 2006). These approaches are inherently applied and transdisciplinary, with explicit goals to contribute to real-world solutions and strong emphasis on context and social engagement (Kates 2000).

While there is an ongoing conceptual and theoretical debate about the nature of the relationship between science and society (e.g. Hessels 2008), we take a more practical starting point based on the authors' experience in two research organizations. The first author has been involved with the Center for International Forestry Research (CIFOR) for almost 20 years. CIFOR, as part

of the Consultative Group on International Agricultural Research (CGIAR), began a major transformation in 2010 that shifted the emphasis from a primary focus on delivering high-quality science to a focus on '…producing, assembling and delivering, in collaboration with research and development partners, research outputs that are international public goods which will contribute to the solution of significant development problems that have been identified and prioritized with the collaboration of developing countries.' (CGIAR 2011). It was always intended that CGIAR research would be relevant to priority development and conservation issues, with emphasis on high-quality scientific outputs. The new approach puts much stronger emphasis on welfare and environmental results; research centers, programs, and individual scientists now assume shared responsibility for achieving development outcomes. This requires new ways of working, with more and different kinds of partnerships and more deliberate and strategic engagement in social systems.

Royal Roads University (RRU), the home institute of all four authors, is a relatively new (created in 1995) public university in Canada. It is deliberately interdisciplinary by design, with just two faculties (Faculty of Social and Applied Science; Faculty of Management) and strong emphasis on problem-oriented research. Faculty and student research is typically 'applied' in the Organization for Economic Co-operation and Development (2012) sense of 'original investigation undertaken in order to acquire new knowledge…directed primarily towards a specific practical aim or objective'.

An increasing amount of the research done within both of these organizations can be classified as transdisciplinary research (TDR). TDR crosses disciplinary and institutional boundaries, is context specific, and problem oriented (Klein 2006; Carew and Wickson 2010). It combines and blends methodologies from different theoretical paradigms, includes a diversity of both academic and lay actors, and is conducted with a range of research goals, organizational forms, and outputs (Klein 2006; Boix-Mansilla 2006a; Erno-Kjolhede and Hansson 2011). The problem-oriented nature of TDR and the importance placed on societal relevance and engagement are broadly accepted as defining characteristics of TDR (Carew and Wickson 2010).

The experience developing and using TDR approaches at CIFOR and RRU highlights the need for a parallel evolution of principles and criteria for evaluating research quality in a TDR context. Scientists appreciate and often welcome the need and the opportunity to expand the reach of their research, to contribute more effectively to change processes. At the same time, they feel the pressure of added expectations and are looking for guidance.

In any activity, we need principles, guidelines, criteria, or benchmarks that can be used to design the activity, assess its potential, and evaluate its progress and accomplishments. Effective research quality criteria are necessary to guide the funding, management, ongoing development, and advancement of research methods, projects, and programs. The lack of quality criteria to guide and assess research design and performance is seen as hindering the development of transdisciplinary approaches (Bergmann et al. 2005; Feller 2006; Chataway, Smith and Wield 2007; Ozga 2008; Carew and Wickson 2010; Jahn and Keil 2015). Appropriate quality evaluation is essential to ensure that research receives support and funding, and to guide and train researchers and managers to realize high-quality research (Boix-Mansilla 2006a; Klein 2008; Aagaard-Hansen and Svedin 2009; Carew and Wickson 2010).

Traditional disciplinary research is built on well-established methodological and epistemological principles and practices. Within disciplinary research, quality has been defined narrowly, with the primary criteria being scientific excellence and scientific relevance (Feller 2006; Chataway, Smith and Wield 2007; Erno-Kjolhede and Hansson 2011). Disciplines have well-established (often implicit) criteria and processes for the evaluation of quality in research design (Erno-Kjolhede and Hansson 2011). TDR that is highly context specific, problem oriented, and includes nonacademic societal actors in the research process is challenging to evaluate (Wickson, Carew and Russell 2006; Aagaard-Hansen and Svedin 2009; Andrén 2010; Carew and Wickson 2010; Huutoniemi 2010). There is no one definition or understanding of what constitutes quality, nor a set guide for how to do TDR (Lincoln 1995; Morrow 2005; Oberg 2008; Andrén 2010; Huutoniemi 2010). When epistemologies and methods from more than one discipline are used, disciplinary criteria may be insufficient and criteria from more than one discipline may be contradictory; cultural conflicts can arise as a range of actors use different terminology for the same concepts or the same terminology for different concepts (Chataway, Smith and Wield 2007; Oberg 2008).

Current research evaluation approaches as applied to individual researchers, programs, and research units are still based primarily on measures of academic outputs (publications and the prestige of the publishing journal), citations, and peer assessment (Boix-Mansilla 2006a; Feller 2006; Erno-Kjolhede and Hansson 2011). While these indicators of research quality remain relevant, additional criteria are needed to address the innovative approaches and the diversity of actors, outputs, outcomes, and long-term social impacts of TDR. It can be difficult to find appropriate outlets for TDR publications simply because the research does not meet the expectations of traditional discipline-oriented journals. Moreover, a wider range of inputs and of outputs means that TDR may result in fewer academic outputs. This has negative implications for transdisciplinary researchers, whose performance appraisals and long-term career progression are largely

governed by traditional publication and citation-based metrics of evaluation. Research managers, peer reviewers, academic committees, and granting agencies all struggle with how to evaluate and how to compare TDR projects (*ex ante* or *ex post*) in the absence of appropriate criteria to address epistemological and methodological variability. The extent of engagement of stakeholders[1] in the research process will vary by project, from information sharing through to active collaboration (Brandt et al. 2013), but at any level, the involvement of stakeholders adds complexity to the conceptualization of quality. We need to know what 'good research' is in a transdisciplinary context.

As Tijssen (2003: 93) put it: 'Clearly, in view of its strategic and policy relevance, developing and producing generally acceptable measures of "research excellence" is one of the chief evaluation challenges of the years to come'. Clear criteria are needed for research quality evaluation to foster excellence while supporting innovation: 'A principal barrier to a broader uptake of TD research is a lack of clarity on what good quality TD research looks like' (Carew and Wickson 2010: 1154). In the absence of alternatives, many evaluators, including funding bodies, rely on conventional, discipline-specific measures of quality which do not address important aspects of TDR.

There is an emerging literature that reviews, synthesizes, or empirically evaluates knowledge and best practice in research evaluation in a TDR context and that proposes criteria and evaluation approaches (Defila and Di Giulio 1999; Bergmann et al. 2005; Wickson, Carew and Russell 2006; Klein 2008; Carew and Wickson 2010; ERIC 2010; de Jong et al. 2011; Spaapen and Van Drooge 2011). Much of it comes from a few fields, including health care, education, and evaluation; little comes from the natural resource management and sustainability science realms, despite these areas needing guidance. National-scale reviews have begun to recognize the need for broader research evaluation criteria but have had difficulty dealing with it and have made little progress in addressing it (Donovan 2008; KNAW 2009; REF 2011; ARC 2012; TEC 2012). A summary of the national reviews that we reviewed in the development of this research is provided in Supplementary Appendix 1. While there are some published evaluation schemes for TDR and interdisciplinary research (IDR), there is 'substantial variation in the balance different authors achieve between comprehensiveness and over-prescription' (Wickson and Carew 2014: 256) and still a need to develop standardized quality criteria that are 'uniquely flexible to provide valid, reliable means to evaluate and compare projects, while not stifling the evolution and responsiveness of the approach' (Wickson and Carew 2014: 256).

There is a need and an opportunity to synthesize current ideas about how to define and assess quality in TDR. To address this, we conducted a systematic review of the literature that discusses the definitions of research quality as well as the suggested principles and criteria for assessing TDR quality. The aim is to identify appropriate principles and criteria for defining and measuring research quality in a transdisciplinary context and to organize those principles and criteria as an evaluation framework.

The review question was: What are appropriate principles, criteria, and indicators for defining and assessing research quality in TDR?

This article presents the method used for the systematic review and our synthesis, followed by key findings. Theoretical concepts about why new principles and criteria are needed for TDR, along with associated discussions about evaluation process are presented. A framework, derived from our synthesis of the literature, of principles and criteria for TDR quality evaluation is presented along with guidance on its application. Finally, recommendations for next steps in this research and needs for future research are discussed.

2. Methods

2.1 Systematic review

Systematic review is a rigorous, transparent, and replicable methodology that has become widely used to inform evidence-based policy, management, and decision making (Pullin and Stewart 2006; CEE 2010). Systematic reviews follow a detailed protocol with explicit inclusion and exclusion criteria to ensure a repeatable and comprehensive review of the target literature. Review protocols are shared and often published as peer reviewed articles before undertaking the review to invite critique and suggestions. Systematic reviews are most commonly used to synthesize knowledge on an empirical question by collating data and analyses from a series of comparable studies, though methods used in systematic reviews are continually evolving and are increasingly being developed to explore a wider diversity of questions (Chandler 2014). The current study question is theoretical and methodological, not empirical. Nevertheless, with a diverse and diffuse literature on the quality of TDR, a systematic review approach provides a method for a thorough and rigorous review. The protocol is published and available at http://www.cifor.org/online-library/browse/view-publication/publication/4382.html. A schematic diagram of the systematic review process is presented in Fig. 1.

2.2 Search terms

Search terms were designed to identify publications that discuss the evaluation or assessment of quality or excellence[2] of research[3] that is done in a TDR context. Search terms are listed online in Supplementary Appendices 2 and 3. The search strategy favored sensitivity over specificity to ensure that we captured the relevant information.
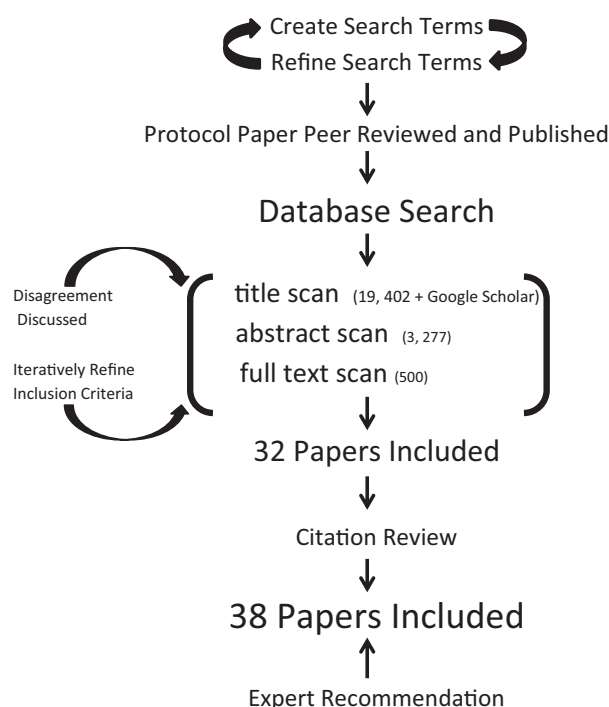
Figure 1. Search process.

2.3 Databases searched

ISI Web of Knowledge (WoK) and Scopus were searched between 26 June 2013 and 6 August 2013. The combined searches yielded 15,613 unique citations. Additional searches to update the first searchers were carried out in June 2014 and March 2015, for a total of 19,402 titles scanned. Google Scholar (GS) was searched separately by two reviewers during each search period. The first reviewer's search was done on 2 September 2013 (Search 1) and 3 September 2013 (Search 2), yielding 739 and 745 titles, respectively. The second reviewer's search was done on 19 November 2013 (Search 1) and 25 November 2013 (Search 2), yielding 769 and 774 titles, respectively. A third search done on 17 March 2015 by one reviewer yielded 98 new titles. Reviewers found high redundancy between the WoK/Scopus searches and the GS searches.

2.4 Targeted journal searches

Highly relevant journals, including Research Evaluation, Evaluation and Program Planning, Scientometrics, Research Policy, Futures, American Journal of Evaluation, Evaluation Review, and Evaluation, were comprehensively searched using broader, more inclusive search strings that would have been unmanageable for the main database search.

2.5 Supplementary searches

References in included articles were reviewed to identify additional relevant literature. td-net's 'Tour d'Horizon of Literature', lists important inter- and transdisciplinary publications collected through an invitation to experts in the field to submit publications (td-net 2014). Six additional articles were identified via supplementary search.

2.6 Limitations of coverage

The review was limited to English-language published articles and material available through internet searches. There was no systematic way to search the gray (unpublished) literature, but relevant material identified through supplementary searches was included.

2.7 Inclusion of articles

This study sought articles that review, critique, discuss, and/or propose principles, criteria, indicators, and/or measures for the evaluation of quality relevant to TDR. As noted, this yielded a large number of titles. We then selected only those articles with an explicit focus on the meaning of IDR and/or TDR quality and how to achieve, measure or evaluate it. Inclusion and exclusion criteria were developed through an iterative process of trial article screening and discussion within the research team. Through this process, inter-reviewer agreement was tested and strengthened. Inclusion criteria are listed in Tables 1 and 2.

Article screening was done in parallel by two reviewers in three rounds: (1) title, (2) abstract, and (3) full article. In cases of uncertainty, papers were included to the next round. Final decisions on inclusion of contested papers were made by consensus among the four team members.

2.8 Critical appraisal

In typical systematic reviews, individual articles are appraised to ensure that they are adequate for answering the research question and to assess the methods of each study for susceptibility to bias that could influence the outcome of the review (Petticrew and Roberts 2006). Most papers included in this review are theoretical and methodological papers, not empirical studies. Most do not have explicit methods that can be appraised with existing quality assessment frameworks. Our critical appraisal considered four criteria adapted from Spencer et al. (2003): (1) relevance to the review question, (2) clarity and logic of how information in the paper was generated, (3) significance of the contribution (are new ideas offered?), and (4) generalizability (is the context specified; do the ideas apply in other contexts?). Disagreements were discussed to reach consensus.

2.9 Data extraction and management

The review sought information on: arguments for or against expanding definitions of research quality, purposes for research quality evaluation, principles of

Table 1. Inclusion criteria for title and abstract screening

Topic coverage	Must refer to research quality* definitions and criteria
	(*societal relevance, effectiveness, impact, or related aspects of relevance will be considered aspects of quality)
Document type	Documents that:
	Outline an evaluation framework
	Provide an overview of knowledge and best practices in research evaluation and make recommendations for quality criteria or evaluation
	Critiques of existing quality criteria and recommendations for alternative/additional criteria
	Empirical analyses of research projects/programs that provide recommendations for quality evaluation
Geographic	No geographic barriers
Date	No temporal barriers
Discipline/field	Discussion must be relevant to environment, natural resources management, sustainability, livelihoods, or related areas of human–environmental interactions
	The discussion need not explicitly reference any of the above subject areas

Table 2. Inclusion criteria for abstract and full article screening

Theme	Inclusion criteria
Relevance to review objectives (all articles must meet this criteria)	Intention of article, or part of article, is to discuss the meaning of research quality and how to measure/evaluate it
Theoretical discussion	Discussion about:
	The key differences, challenges, and issues which differentiate disciplinary from inter and/or transdisciplinary research, with explicit reference to research quality
	Theoretical and/or practical issues relating to the needs, challenges, opportunities, and implications for clear definitions and measures of research quality in inter and/or transdisciplinary research
Quality definitions and criteria	Offers an explicit definition or criteria of inter and/or transdisciplinary research quality
Evaluation process	Suggests approaches to evaluate inter and/or transdisciplinary research quality. (will only be included if there is relevant discussion of research quality criteria and/or measurement)
Research 'impact'	Discusses research outcomes (diffusion, uptake, utilization, impact) as an indicator or consequence of research quality.

research quality, criteria for research quality assessment, indicators and measures of research quality, and processes for evaluating TDR. Four reviewers independently extracted data from selected articles using the parameters listed in Supplementary Appendix 4.

2.10 Data synthesis and TDR framework design

Our aim was to synthesize ideas, definitions, and recommendations for TDR quality criteria into a comprehensive and generalizable framework for the evaluation of quality in TDR. Key ideas were extracted from each article and summarized in an Excel database. We classified these ideas into themes and ultimately into overarching principles and associated criteria of TDR quality organized as a rubric (Wickson and Carew 2014). Definitions of each principle and criterion were developed and rubric statements formulated based on the literature and our experience. These criteria (adjusted appropriately to be applied *ex ante* or *ex post*) are intended to be used to assess a TDR project. The reviewer should consider whether the project fully satisfies, partially satisfies, or fails to satisfy each criterion. More information on application is provided in Section 4.3 below.

We tested the framework on a set of completed RRU graduate theses that used transdisciplinary approaches, with an explicit problem orientation and intent to contribute to social or environmental change. Three rounds of testing were done, with revisions after each round to refine and improve the framework.

3. Results

3.1 Overview of the selected articles

Thirty-eight papers satisfied the inclusion criteria. A wide range of terms are used in the selected papers, including: cross-disciplinary; interdisciplinary; transdisciplinary; methodological pluralism; mode 2; triple helix; and supradisciplinary. Eight included papers specifically focused on sustainability science or TDR in natural resource management, or identified sustainability research as a growing TDR field that needs new forms of evaluation (Cash et al. 2002; Bergmann et al. 2005; Chataway, Smith and Wield 2007; Spaapen, Dijstelbloem and Wamelink 2007; Andrén 2010; Carew and Wickson 2010; Lang et al. 2012; Gaziulusoy and Boyle 2013). Carew and Wickson (2010) build on the experience in the

TDR realm to propose criteria and indicators of quality for 'responsible research and innovation'.

The selected articles are written from three main perspectives. One set is primarily interested in advancing TDR approaches. These papers recognize the need for new quality measures to encourage and promote high-quality research and to overcome perceived biases against TDR approaches in research funding and publishing. A second set of papers is written from an evaluation perspective, with a focus on improving evaluation of TDR. The third set is written from the perspective of qualitative research characterized by methodological pluralism, with many characteristics and issues relevant to TDR approaches.

The majority of the articles focus at the project scale, some at the organization level, and some do not specify. Some articles explicitly focus on *ex ante* evaluation (e.g. proposal evaluation), others on *ex post* evaluation, and many are not explicit about the project stage they are concerned with. The methods used in the reviewed articles include authors' reflection and opinion, literature review, expert consultation, document analysis, and case study. Summaries of report characteristics are available online (Supplementary Appendices 5–8). Eight articles provide comprehensive evaluation frameworks and quality criteria specifically for TDR and research-in-context. The rest of the articles discuss aspects of quality related to TDR and recommend quality definitions, criteria, and/or evaluation processes.

3.2 The need for quality criteria and evaluation methods for TDR

Many of the selected articles highlight the lack of widely agreed principles and criteria of TDR quality. They note that, in the absence of TDR quality frameworks, disciplinary criteria are used (Morrow 2005; Boix-Mansilla 2006a,b; Feller 2006; Klein 2006, 2008; Wickson, Carew and Russell 2006; Scott 2007; Spaapen, Dijstelbloem and Wamelink 2007; Oberg 2008; Erno-Kjolhede and Hansson 2011), and evaluations are often carried out by reviewers who lack cross-disciplinary experience and do not have a shared understanding of quality (Aagaard-Hansen and Svedin 2009). Quality is discussed by many as a relative concept, developed within disciplines, and therefore defined and understood differently in each field (Morrow 2005; Klein 2006; Oberg 2008; Mitchell and Willets 2009; Huutoniemi 2010; Hellstrom 2011). Jahn and Keil (2015) point out the difficulty of creating a common set of quality criteria for TDR in the absence of a standard agreed-upon definition of TDR. Many of the selected papers argue the need to move beyond narrowly defined ideas of 'scientific excellence' to incorporate a broader assessment of quality which includes societal relevance (Hemlin and Rasmussen 2006; Chataway, Smith and Wield 2007; Ozga 2007; Spaapen, Dijstelbloem and Wamelink 2007). This shift includes greater focus on research organization, research process, and continuous learning, rather than primarily on research outputs (Hemlin and Rasmussen 2006; de Jong et al. 2011; Wickson and Carew 2014; Jahn and Keil 2015). This responds to and reflects societal expectations that research should be accountable and have demonstrated utility (Cloete 1997; Defila and Di Giulio 1999; Wickson, Carew and Russell 2006; Spaapen, Dijstelbloem and Wamelink 2007; Stige 2009).

A central aim of TDR is to achieve socially relevant outcomes, and TDR quality criteria should demonstrate accountability to society (Cloete 1997; Hemlin and Rasmussen 2006; Chataway, Smith and Wield 2007; Ozga 2007; Spaapen, Dijstelbloem and Wamelink 2007; de Jong et al. 2011). Integration and mutual learning are a core element of TDR; it is not enough to transcend boundaries and incorporate societal knowledge but, as Carew and Wickson (2010: 1147) summarize: '...the TD researcher needs to put effort into integrating these potentially disparate knowledges with a view to creating useable knowledge. That is, knowledge that can be applied in a given problem context and has some prospect of producing desired change in that context'. The inclusion of societal actors in the research process, the unique and often dispersed organization of research teams, and the deliberate integration of different traditions of knowledge production all fall outside of conventional assessment criteria (Feller 2006).

Not only do the range of criteria need to be updated, expanded, agreed upon, and assumptions made explicit (Boix-Mansilla 2006a; Klein 2006; Scott 2007) but, given the specific problem orientation of TDR, reviewers beyond disciplinary academic peers need to be included in the assessment of quality (Cloete 1997; Scott 2007; Spappen et al. 2007; Klein 2008). Several authors discuss the lack of reviewers with strong cross-disciplinary experience (Aagaard-Hansen and Svedin 2009) and the lack of common criteria, philosophical foundations, and language for use by peer reviewers (Klein 2008; Aagaard-Hansen and Svedin 2009). Peer review of TDR could be improved with explicit TDR quality criteria, and appropriate processes in place to ensure clear dialog between reviewers.

Finally, there is the need for increased emphasis on evaluation as part of the research process (Bergmann et al. 2005; Hemlin and Rasmussen 2006; Meyrick 2006; Chataway, Smith and Wield 2007; Stige, Malterud and Midtgarden 2009; Hellstrom 2011; Lang et al. 2012; Wickson and Carew 2014). This is particularly true in large, complex, problem-oriented research projects. Ongoing monitoring of the research organization and process contributes to learning and adaptive management while research is underway and so helps improve quality. As stated by Wickson and Carew (2014: 262): 'We believe that in any process of interpreting, rearranging and/or applying these criteria, open negotiation on their

meaning and application would only positively foster transformative learning, which is a valued outcome of good TD processes'.

3.3 TDR quality criteria and assessment approaches

Many of the papers provide quality criteria and/or describe constituent parts of quality. Aagaard-Hansen and Svedin (2009) define three key aspects of quality: societal relevance, impact, and integration. Meyrick (2006) states that quality research is transparent and systematic. Boaz and Ashby (2003) describe quality in four dimensions: methodological quality, quality of reporting, appropriateness of methods, and relevance to policy and practice. Although each article deconstructs quality in different ways and with different foci and perspectives, there is significant overlap and recurring themes in the papers reviewed. There is a broadly shared perspective that TDR quality is a multidimensional concept shaped by the specific context within which research is done (Spaapen, Dijstelbloem and Wamelink 2007; Klein 2008), making a universal definition of TDR quality difficult or impossible (Huutoniemi 2010).

Huutoniemi (2010) identifies three main approaches to conceptualizing quality in IDR and TDR: (1) using existing disciplinary standards adapted as necessary for IDR; (2) building on the quality standards of disciplines while fundamentally incorporating ways to deal with epistemological integration, problem focus, context, stakeholders, and process; and (3) radical departure from any disciplinary orientation in favor of external, emergent, context-dependent quality criteria that are defined and enacted collaboratively by a community of users.

The first approach is prominent in current research funding and evaluation protocols. Conservative approaches of this kind are criticized for privileging disciplinary research and for failing to provide guidance and quality control for transdisciplinary projects. The third approach would 'undermine the prevailing status of disciplinary standards in the pursuit of a non-disciplinary, integrated knowledge system' (Huutoniemi 2010: 313). No predetermined quality criteria are offered, only contextually embedded criteria that need to be developed within a specific research project. To some extent, this is the approach taken by Spaapen, Dijstelbloem and Wamelink (2007) and de Jong et al. (2011). Such a *sui generis* approach cannot be used to compare across projects. Most of the reviewed papers take the second approach, and recommend TDR quality criteria that build on a disciplinary base.

Eight articles present comprehensive frameworks for quality evaluation, each with a unique approach, perspective, and goal. Two of these build comprehensive lists of criteria with associated questions to be chosen based on the needs of the particular research project (Defila and Di Giulio 1999; Bergmann et al. 2005). Wickson and Carew

(2014) develop a reflective heuristic tool with questions to guide researchers through ongoing self-evaluation. They also list criteria for external evaluation and to compare between projects. Spaapen, Dijstelbloem and Wamelink (2007) design an approach to evaluate a research project against its own goals and is not meant to compare between projects. Wickson and Carew (2014) developed a comprehensive rubric for the evaluation of Research and Innovation that builds of their extensive previous work in TDR. Finally, Lang et al. (2012), Mitchell and Willets (2009), and Jahn and Keil (2015) develop criteria checklists that can be applied across transdisciplinary projects.

Bergmann et al. (2005) and Carew and Wickson (2010) organize their frameworks into managerial elements of the research project, concerning problem context, participation, management, and outcomes. Lang et al. (2012) and Defila and Di Giulio (1999) focus on the chronological stages in the research process and identify criteria at each stage. Mitchell and Willets (2009), with a focus on doctoral studies, adapt standard dissertation evaluation criteria to accommodate broader, pluralistic, and more complex studies. Spaapen, Dijstelbloem and Wamelink (2007) focus on evaluating 'research-in-context'. Wickson and Carew (2014) created a rubric based on criteria that span the research process, stages, and all actors included. Jahn and Keil (2015) organized their quality criteria into three categories of quality including: quality of the research problems, quality of the research process, and quality of the research results.

The remaining papers highlight key themes that must be considered in TDR evaluation. Dominant themes include: engagement with problem context, collaboration and inclusion of stakeholders, heightened need for explicit communication and reflection, integration of epistemologies, recognition of diverse outputs, the focus on having an impact, and reflexivity and adaptation throughout the process. The focus on societal problems in context and the increased engagement of stakeholders in the research process introduces higher levels of complexity that cannot be accommodated by disciplinary standards (Defila and Di Giulio 1999; Bergmann et al. 2005; Wickson, Carew and Russell 2006; Spaapen, Dijstelbloem and Wamelink 2007; Klein 2008).

Finally, authors discuss process (Defila and Di Giulio 1999; Bergmann et al. 2005; Boix-Mansilla 2006b; Spaapen, Dijstelbloem and Wamelink 2007) and utilitarian values (Hemlin 2006; Ernø-Kjølhede and Hansson 2011; Bornmann 2013) as essential aspects of quality in TDR. Common themes include: (1) the importance of formative and process-oriented evaluation (Bergmann et al. 2005; Hemlin 2006; Stige 2009); (2) emphasis on the evaluation process *itself* (not just criteria or outcomes) and reflexive dialog for learning (Bergmann et al. 2005; Boix-Mansilla 2006b; Klein 2008; Oberg 2008; Stige, Malterud and Midtgarden 2009; Aagaard-Hansen and Svedin 2009; Carew and Wickson 2010; Huutoniemi 2010); (3) the

need for peers who are experienced and knowledgeable about TDR for fair peer review (Boix-Mansilla 2006a,b; Klein 2006; Hemlin 2006; Scott 2007; Aagaard-Hansen and Svedin 2009); (4) the inclusion of stakeholders in the evaluation process (Bergmann et al. 2005; Scott 2007; Andréen 2010); and (5) the importance of evaluations that are built in-context (Defila and Di Giulio 1999; Feller 2006; Spaapen, Dijstelbloem and Wamelink 2007; de Jong et al. 2011).

4. Synthesis

While each reviewed approach offers helpful insights, none adequately fulfills the need for a broad and adaptable framework for assessing TDR quality. Wickson and Carew (2014: 257) highlight the need for quality criteria that achieve balance between 'comprehensiveness and over-prescription': 'any emerging quality criteria need to be concrete enough to provide real guidance but flexible enough to adapt to the specificities of varying contexts'. Based on our experience, such a framework should be:

- Comprehensive: It should accommodate the main aspects of TDR, as identified in the review.
- Time/phase adaptable: It should be applicable across the project cycle.
- Scalable: It should be useful for projects of different scales.
- Versatile: It should be useful to researchers and collaborators as a guide to research design and management, and to internal and external reviews and assessors.
- Comparable: It should allow comparison of quality between and across projects/programs.
- Reflexive: It should encourage and facilitate self-reflection and adaptation based on ongoing learning.

In this section, we synthesize the key principles and criteria of quality in TDR that were identified in the reviewed literature. Principles are the essential elements of high-quality TDR. Criteria are the conditions that need to be met in order to achieve a principle. We conclude by providing a framework for the evaluation of quality in TDR (Table 3) and guidance for its application.

There is a strong trend in the reviewed articles to recognize the need for appropriate measures of scientific quality (usually adapted from disciplinary antecedants), but also to consider broader sets of criteria regarding the societal significance and applicability of research, and the need for engagement and representation of stakeholder values and knowledge. Cash et al. (2002) nicely conceptualize three key aspects of effective sustainability research as: salience (or relevance), credibility, and legitimacy. These are presented as necessary attributes for research to successfully produce transferable, useful information that can cross boundaries between disciplines, across scales, and between science and society. Many of the papers also refer to the principle that high-quality TDR should be effective in terms of contributing to the solution of problems. These four principles are discussed in the following sections.

4.1 Principles of TDR quality

4.1.1 Relevance. Relevance is the importance, significance, and usefulness of the research project's objectives, process, and findings to the problem context and to society. This includes the appropriateness of the timing of the research, the questions being asked, the outputs, and the scale of the research in relation to the societal problem being addressed. Good-quality TDR addresses important social/environmental problems and produces knowledge that is useful for decision making and problem solving (Cash et al. 2002; Klein 2006). As Erno-Kjolhede and Hansson (2011: 140) explain, quality 'is first and foremost about creating results that are applicable and relevant for the users of the research'. Researchers must demonstrate an in-depth knowledge of and ongoing engagement with the problem context in which their research takes place (Wickson, Carew and Russell 2006; Stige, Malterud and Midtgarden 2009; Mitchell and Willets 2009). From the early steps of problem formulation and research design through to the appropriate and effective communication of research findings, the applicability and relevance of the research to the societal problem must be explicitly stated and incorporated.

4.1.2 Credibility. Credibility refers to whether or not the research findings are robust and the knowledge produced is scientifically trustworthy. This includes clear demonstration that the data are adequate, with well-presented methods and logical interpretations of findings. High-quality research is authoritative, transparent, defensible, believable, and rigorous. This is the traditional purview of science, and traditional disciplinary criteria can be applied in TDR evaluation to an extent. Additional and modified criteria are needed to address the integration of epistemologies and methodologies and the development of novel methods through collaboration, the broad preparation and competencies required to carry out the research, and the need for reflection and adaptation when operating in complex systems. Having researchers actively engaged in the problem context and including extra-scientific actors as part of the research process helps to achieve relevance and legitimacy of the research; it also adds complexity and heightened requirements of transparency, reflection, and reflexivity to ensure objective, credible research is carried out.

Table 3. Transdisciplinary research quality assessment framework

Criteria	Definition	Rubric scale
Relevance: The importance, significance, and usefulness of the research problem, objectives, processes, and findings to the problem context		
Clearly defined socio-ecological context	The context is well defined and described and analyzed sufficiently to identify research entry points.	The context is well defined, described, and analyzed sufficiently to identify research entry points.
Socially relevant research problem[a]	Research problem is relevant to the problem context.[b]	The research problem is defined and framed in a way that clearly shows its relevance to the context and that consideration has been given to the practical application of research activities and outputs.
Engagement with problem context	Researchers demonstrate appropriate[c] breadth and depth of understanding of and sufficient interaction with the problem context.	The documentation demonstrates that the researcher/team has interacted appropriately and sufficiently with the problem context to understand it and to have potential to influence it (e.g. through site visits, meeting participation, discussion with stakeholders, document review) in planning and implementing the research.
Explicit theory of change	The research explicitly identifies its main intended outcomes and how they are intended/expected to be realized and to contribute to longer-term outcomes and/or impacts.	The research explicitly identifies its main intended outcomes and how they are intended/expected to be realized and to contribute to longer-term outcomes and/or impacts.
Relevant research objectives and design	The research objectives and design are relevant, timely, and appropriate to the problem context, including attention to stakeholder needs and values.	The documentation clearly demonstrates, through sufficient analysis of key factors, needs, and complexity within the context, that the research objectives and design are relevant and appropriate.
Appropriate project implementation	Research execution is suitable to the problem context and the socially relevant research objectives.	The documentation reflects effective project implementation that is appropriate to the context, with reflection and adaptation as needed.
Effective communication	Communication during and after the research process[d] is appropriate to the context and accessible to stakeholders, users, and other intended audiences	The documentation indicates that the research project planned and achieved appropriate communications with all necessary actors during the research process.
Credibility: The research findings are robust and the sources of knowledge are dependable. This includes clear demonstration of the adequacy of the data and the methods used to procure the data including clearly presented and logical interpretation of findings		
Broad preparation	The research is based on a strong integrated theoretical and empirical foundation that is relevant to the context.	The documentation demonstrates critical understanding of an appropriate breadth and depth of literature and theory from across disciplines relevant to the context, and of the context itself
Clear research problem definition	The research problem is clearly defined, researchable, grounded in the academic literature, and relevant to the context.	The research problem is clearly stated and defined, researchable, and grounded in the academic literature and the problem context.
Objectives stated and met	Research objectives are clearly stated.	The research objectives are clearly stated, logically and appropriately related to the context and the research problem, and achieved, with any necessary adaptation explained.
Feasible research project	The research design and resources are appropriate and sufficient to meet the objectives as stated, and sufficiently resilient to adapt to unexpected opportunities and challenges throughout the research process.	The research design and resources are appropriate and sufficient to meet the objectives as stated, and sufficiently resilient to adapt to unexpected opportunities and challenges throughout the research process.
Adequate competencies	The skills and competencies of the researcher/team/collaboration (including academic and societal actors) are sufficient and in appropriate balance (without unnecessary complexity) to succeed.	The documentation recognizes the limitations and biases of individuals' knowledge and identifies the knowledge, skills, and expertise needed to carry out the research and provides evidence that they are represented in the research team in the appropriate measure to address the problem.

(continued)

Table 3. Continued

Criteria	Definition	Rubric scale
Research approach fits purpose	Disciplines, perspectives, epistemologies, approaches, and theories are combined appropriately to create an approach that is appropriate to the research problem and the objectives	The documentation explicitly states the rationale for the inclusion and integration of different epistemologies, disciplines, and methodologies, justifies the approach taken in reference to the context, and discusses the process of integration, including how paradoxes and conflicts were managed.
Appropriate methods	Methods are fit to purpose and well-suited to answering the research questions and achieving the objectives.	Methods are clearly described, and documentation demonstrates that the methods are fit to purpose, systematic yet adaptable, and transparent. Novel (unproven) methods or adaptations are justified and explained, including why they were used and how they maintain scientific rigor.
Clearly presented argument	The movement from analysis through interpretation to conclusions is transparently and logically described. Sufficient evidence is provided to clearly demonstrate the relationship between evidence and conclusions.	Results are clearly presented. Analyses and interpretations are adequately explained, with clearly described terminology and full exposition of the logic leading to conclusions, including exploration of possible alternate explanations.
Transferability/generalizability of research findings	Appropriate and rigorous methods ensure the study's findings are externally valid (generalizable). In some cases, findings may be too context specific to be generalizable in which case research would be judged on its ability to act as a model for future research.	Document clearly explains how the research findings are transferable to other contexts OR, in cases that are too context-specific to be generalizable, discusses aspects of the research process or findings that may be transferable to other contexts and/or used as learning cases.
Limitations stated	Researchers engage in ongoing individual and collective reflection in order to explicitly acknowledge and address limitations.	Limitations are clearly stated and adequately accounted for on an ongoing basis through the research project.
Ongoing monitoring and reflexivity[e]	Researchers engage in ongoing reflection and adaptation of the research process, making changes as new obstacles, opportunities, circumstances, and/or knowledge surface.	Processes of reflection, individually and as a research team, are clearly documented throughout the research process along with clear descriptions and justifications for any changes to the research process made as a result of reflection.
Legitimacy: The research process is perceived as fair and ethical. This encompasses the ethical and fair representation of all involved and the appropriate and genuine inclusion and consideration of diverse participants, values, interests, and perspectives		
Disclosure of perspective	Actual, perceived, and potential bias is clearly stated and accounted for. This includes aspects of: researchers' position, sources of support, financing, collaborations, partnerships, research mandate, assumptions, goals, and bounds placed on commissioned research.	The documentation identifies potential or actual bias, including aspects of researchers' positions, sources of support, financing, collaborations, partnerships, research mandate, assumptions, goals, and bounds placed on commissioned research.
Effective collaboration	Appropriate processes are in place to ensure effective collaboration (e.g. clear and explicit roles and responsibilities agreed upon, transparent and appropriate decision-making structures)	The documentation explicitly discusses the collaboration process, with adequate demonstration that the opportunities and process for collaboration are appropriate to the context and the actors involved (e.g. clear and explicit roles and responsibilities agreed upon, transparent and appropriate decision-making structures)
Genuine and explicit inclusion	Inclusion of diverse actors in the research process is clearly defined. Representation of actors' perspectives, values, and unique contexts is ensured through adequate planning, explicit agreements, communal reflection, and reflexivity.	The documentation explains the range of participants and perspectives/cultural backgrounds involved, clearly describes what steps were taken to ensure the respectful inclusion of diverse actors/views, and explains the roles and contributions of all participants in the research process.

(continued)

Table 3. Continued

Criteria	Definition	Rubric scale
Research is ethical	Research adheres to standards of ethical conduct.	The documentation describes the ethical review process followed and, considering the full range of stakeholders, explicitly identifies any ethical challenges and how they were resolved.
Effectiveness: The research generates knowledge and stimulates actions that address the problem and contribute to solutions and innovations		
Research builds social capacity	Change takes place in individuals, groups, and at the institutional level through shared learning. This can manifest as a change in knowledge, understanding, and/or perspective of participants in the research project.	There is evidence of[b] observed changes in knowledge, behavior, understanding, and/or perspectives of research participants and/or stakeholders as a result of the research process and/or findings.
Contribution to knowledge	Research contributes to knowledge and understanding in academic and social realms in a timely, relevant, and significant way.	There is evidence that knowledge created through the project is being/has been used by intended audiences and end-users.
Practical application	Research has a practical application. The findings, process, and/or products of research are used.	There is evidence that innovations developed through the research and/or the research process have been (or will be applied) in the real world.
Significant outcome	Research contributes to the solution of the targeted problem or provides unexpected solutions to other problems. This can include a variety of outcomes: building societal capacity, learning, use of research products, and/or changes in behaviors	There is evidence that the research has contributed to positive change in the problem context and/or innovations that have positive social or environmental impacts.

[a]Research problems are the particular topic, area of concern, question to be addressed, challenge, opportunity, or focus of the research activity. Research problems are related to the societal problem but take on a specific focus, or framing, within a societal problem.
[b]Problem context refers to the social and environmental setting(s) that gives rise to the research problem, including aspects of: location; culture; scale in time and space; social, political, economic, and ecological/environmental conditions; resources and societal capacity available; uncertainty, complexity, and novelty associated with the societal problem; and the extent of agency that is held by stakeholders (Carew and Wickson 2010).
[c]Words such as 'appropriate', 'suitable', and 'adequate' are used deliberately to allow for quality criteria to be flexible and specific enough to the needs of individual research projects (Oberg 2008).
[d]Research process refers to the series of decisions made and actions taken throughout the entire duration of the research project and encompassing all aspects of the research project.
[e]Reflexivity refers to an iterative process of formative, critical reflection on the important interactions and relationships between a research project's process, context, and product(s).
[f]In an *ex ante* evaluation, 'evidence of' would be replaced with 'potential for'.

Active reflexivity is a criterion of credibility of TDR that may seem to contradict more rigid disciplinary methodological traditions (Carew and Wickson 2010). Practitioners of TDR recognize that credible work in these problem-oriented fields requires active reflexivity, epitomized by ongoing learning, flexibility, and adaptation to ensure the research approach and objectives remain relevant and fit-to-purpose (Lincoln 1995; Bergmann et al. 2005; Wickson, Carew and Russell 2006; Mitchell and Willets 2009; Andreén 2010; Carew and Wickson 2010;Wickson and Carew 2014). Changes made during the research process must be justified and reported transparently and explicitly to maintain credibility.

The need for critical reflection on potential bias and limitations becomes more important to maintain credibility of research-in-context (Lincoln 1995; Bergmann et al. 2005; Mitchell and Willets 2009; Stige, Malterud and Midtgarden 2009). Transdisciplinary researchers must ensure they maintain a high level of objectivity and transparency while actively engaging in the problem context. This point demonstrates the fine balance between different aspects of quality, in this case relevance and credibility, and the need to be aware of tensions and to seek complementarities (Cash et al. 2002).

4.1.3 Legitimacy. Legitimacy refers to whether the research process is perceived as fair and ethical by end-users. In other words, is it acceptable and trustworthy in the eyes of those who will use it? This requires the appropriate inclusion and consideration of diverse values, interests, and the ethical and fair representation of all involved. Legitimacy may be achieved in part through the genuine inclusion of stakeholders in the research process. Whereas credibility refers to technical aspects of sound research, legitimacy deals with sociopolitical aspects of the knowledge production process and products of research. Do stakeholders trust the researchers and the research process, including funding sources and other sources of potential bias? Do they feel represented? Legitimate TDR 'considers appropriate values, concerns, and perspectives of different actors' (Cash et al. 2002: 2) and incorporates these perspectives into the research process through collaboration and mutual learning (Bergmann et al. 2005; Chataway, Smith and Wield 2007; Andrén 2010; Huutoneimi 2010). A fair and ethical process is important to uphold standards of quality in all research. However, there are additional considerations that are unique to TDR.

Because TDR happens in-context and often in collaboration with societal actors, the disclosure of researcher perspective and a transparent statement of all partnerships, financing, and collaboration is vital to ensure an unbiased research process (Lincoln 1995; Defila and Di Giulio 1999; Boaz and Ashby 2003; Barker and Pistrang

2005; Bergmann et al. 2005). The disclosure of perspective has both internal and external aspects, on one hand ensuring the researchers themselves explicitly reflect on and account for their own position, potential sources of bias, and limitations throughout the process, and on the other hand making the process transparent to those external to the research group who can then judge the legitimacy based on their perspective of fairness (Cash et al. 2002).

TDR includes the engagement of societal actors along a continuum of participation from consultation to co-creation of knowledge (Brandt et al. 2013). Regardless of the depth of participation, all processes that engage societal actors must ensure that inclusion/engagement is genuine, roles are explicit, and processes for effective and fair collaboration are present (Bergmann et al. 2005; Wickson, Carew and Russell 2006; Spaapen, Dijstelbloem and Wamelink 2007; Hellstrom 2012). Important considerations include: the accurate representation of those involved; explicit and agreed-upon roles and contributions of actors; and adequate planning and procedures to ensure all values, perspectives, and contexts are adequately and appropriately incorporated. Mitchell and Willets (2009) consider cultural competence as a key criterion that can support researchers in navigating diverse epistemological perspectives. This is similar to what Morrow terms 'social validity', a criterion that asks researchers to be responsive to and critically aware of the diversity of perspectives and cultures influenced by their research. Several authors highlight that in order to develop this critical awareness of the diversity of cultural paradigms that operate within a problem situation, researchers should practice responsive, critical, and/or communal reflection (Bergmann et al. 2005; Wickson, Carew and Russell 2006; Mitchell and Willets 2009; Carew and Wickson 2010). Reflection and adaptation are important quality criteria that cut across multiple principles and facilitate learning throughout the process, which is a key foundation to TD inquiry.

4.1.4 Effectiveness. We define effective research as research that contributes to positive change in the social, economic, and/or environmental problem context. Transdisciplinary inquiry is rooted in the objective of solving real-word problems (Klein 2008; Carew and Wickson 2010) and must have the potential to (*ex ante*) or actually (*ex post*) make a difference if it is to be considered of high quality (Erno-Kjolhede and Hansson 2011). Potential research effectiveness can be indicated and assessed at the proposal stage and during the research process through: a clear and stated intention to address and contribute to a societal problem, the establishment of the research process and objectives in relation to the problem context, and the continuous

reflection on the usefulness of the research findings and products to the problem (Bergmann et al. 2005; Lahtinen et al. 2005; de Jong et al. 2011).

Assessing research effectiveness *ex post* remains a major challenge, especially in complex transdisciplinary approaches. Conventional and widely used measures of 'scientific impact' count outputs such as journal articles and other publications and citations of those outputs (e.g. H index; i10 index). While these are useful indicators of scholarly influence, they are insufficient and inappropriate measures of research effectiveness where research aims to contribute to social learning and change. We need to also (or alternatively) focus on other kinds of research and scholarship outputs and outcomes and the social, economic, and environmental impacts that may result.

For many authors, contributing to learning and building of societal capacity are central goals of TDR (Defila and Di Giulio 1999; Spaapen, Dijstelbloem and Wamelink 2007; Carew and Wickson 2010; Erno-Kjolhede and Hansson 2011; Hellstrom 2011), and so are considered part of TDR effectiveness. Learning can be characterized as changes in knowledge, attitudes, or skills and can be assessed directly, or through observed behavioral changes and network and relationship development. Some evaluation methodologies (e.g. Outcome Mapping (Earl, Carden and Smutylo 2001)) specifically measure these kinds of changes. Other evaluation methodologies consider the role of research within complex systems and assess effectiveness in terms of contributions to changes in policy and practice and resulting social, economic, and environmental benefits (ODI 2004, 2012; White and Phillips 2012; Mayne et al. 2013).

4.2 TDR quality criteria

TDR quality criteria and their definitions (explicit or implicit) were extracted from each article and summarized in an Excel database. These criteria were classified into themes corresponding to the four principles identified above, sorted and refined to develop sets of criteria that are comprehensive, mutually exclusive, and representative of the ideas presented in the reviewed articles. Within each principle, the criteria are organized roughly in the sequence of a typical project cycle (e.g. with research design following problem identification and preceding implementation). Definitions of each criterion were developed to reflect the concepts found in the literature, tested and refined iteratively to improve clarity. Rubric statements were formulated based on the literature and our own experience.

The complete set of principles, criteria, and definitions is presented as the TDR Quality Assessment Framework (Table 3).

4.3 Guidance on the application of the framework

4.3.1 Timing. Most criteria can be applied at each stage of the research process, *ex ante*, mid term, and *ex post*, using appropriate interpretations at each stage. *Ex ante* (i.e. proposal) assessment should focus on a project's explicitly stated intentions and approaches to address the criteria. Mid-term indicators will focus on the research process and whether or not it is being implemented in a way that will satisfy the criteria. *Ex post* assessment should consider whether the research has been done appropriately for the purpose and that the desired results have been achieved.

4.3.2 New meanings for familiar terms. Many of the terms used in the framework are extensions of disciplinary criteria and share the same or similar names and perhaps similar but nuanced meaning. The principles and criteria used here extend beyond disciplinary antecedents and include new concepts and understandings that encapsulate the unique characteristics and needs of TDR and allow for evaluation and definition of quality in TDR. This is especially true in the criteria related to credibility. These criteria are analogous to traditional disciplinary criteria, but with much stronger emphasis on grounding in both the scientific <u>and</u> the social/environmental contexts. We urge readers to pay close attention to the definitions provided in Table 3 as well as the detailed descriptions of the principles in Section 4.1.

4.3.3 Using the framework. The TDR quality framework (Table 3) is designed to be used to assess TDR research according to a project's purpose; i.e. the criteria must be interpreted with respect to the context and goals of an individual research activity. The framework (Table 3) lists the main criteria synthesized from the literature and our experience, organized within the principles of relevance, credibility, legitimacy, and effectiveness. The table presents the criteria within each principle, ordered to approximate a typical process of identifying a research problem and designing and implementing research. We recognize that the actual process in any given project will be iterative and will not necessarily follow this sequence, but this provides a logical flow. A concise definition is provided in the second column to explain each criterion. We then provide a rubric statement in the third column, phrased to be applied when the research has been completed. In most cases, the same statement can be used at the proposal stage with a simple tense change or other minor grammatical revision, except for the criteria relating to effectiveness. As discussed above, assessing effectiveness in terms of outcomes and/or impact requires evaluation research. At the proposal stage, it is only possible to assess potential effectiveness.

Many rubrics offer a set of statements for each criterion that represent progressively higher levels of achievement; the evaluator is asked to select the best match. In practice, this often results in vague and relative statements of merit that are difficult to apply. We have opted to present a single rubric statement in absolute terms for each criterion. The assessor can then rank how well a project satisfies each criterion using a simple three-point Likert scale. If a project fully satisfies a criterion—that is, if there is evidence that the criterion has been addressed in a way that is coherent, explicit, sufficient, and convincing—it should be ranked as a 2 for that criterion. A score of 2 means that the evaluator is persuaded that the project addressed that criterion in an intentional, appropriate, explicit, and thorough way. A score of 1 would be given when there is some evidence that the criterion was considered, but it is lacking completion, intention, and/or is not addressed satisfactorily. For example, a score of 1 would be given when a criterion is explicitly discussed but poorly addressed, or when there is some indication that the criterion has been considered and partially addressed but it has not been treated explicitly, thoroughly, or adequately. A score of 0 indicates that there is no evidence that the criterion was addressed or that it was addressed in a way that was misguided or inappropriate.

It is critical that the evaluation be done in context, keeping in mind the purpose, objectives, and resources of the project, as well as other contextual information, such as the intended purpose of grant funding or relevant partnerships. Each project will be unique in its complexities; what is sufficient or adequate in one criterion for one research project may be insufficient or inappropriate for another. Words such as 'appropriate', 'suitable', and 'adequate' are used deliberately to encourage application of criteria to suit the needs of individual research projects (Oberg 2008). Evaluators must consider the objectives of the research project and the problem context within which it is carried out as the benchmark for evaluation. For example, we tested the framework with RRU masters theses. These are typically small projects with limited scope, carried out by a single researcher. Expectations for 'effective communication' or 'competencies' or 'effective collaboration' are much different in these kinds of projects than in a multi-year, multi-partner CIFOR project. All criteria should be evaluated through the lens of the stated research objectives, research goals, and context.

5. Conclusions

The systematic review identified relevant articles from a diverse literature that have a strong central focus. Collectively, they highlight the complexity of contemporary social and environmental problems and

emphasize that addressing such issues requires combinations of new knowledge and innovation, action, and engagement. Traditional disciplinary research has often failed to provide solutions because it cannot adequately cope with complexity. New forms of research are proliferating, crossing disciplinary and academic boundaries, integrating methodologies, and engaging a broader range of research participants, as a way to make research more relevant and effective. Theoretically, such approaches appear to offer great potential to contribute to transformative change. However, because these approaches are new and because they are multidimensional, complex, and often unique, it has been difficult to know what works, how, and why. In the absence of the kinds of methodological and quality standards that guide disciplinary research, there are no generally agreed criteria for evaluating such research.

Criteria are needed to guide and to help ensure that TDR is of high quality, to inform the teaching and learning of new researchers, and to encourage and support the further development of transdisciplinary approaches. The lack of a standard and broadly applicable framework for the evaluation of quality in TDR is perceived to cause an implicit or explicit devaluation of high-quality TDR or may prevent quality TDR from being done. There is a demonstrated need for an operationalized understanding of quality that addresses the characteristics, contributions, and challenges of TDR. The reviewed articles approach the topic from different perspectives and fields of study, using different terminology for similar concepts, or the same terminology for different concepts, and with unique ways of organizing and categorizing the dimensions and quality criteria. We have synthesized and organized these concepts as key TDR principles and criteria in a TDR Quality Framework, presented as an evaluation rubric. We have tested the framework on a set of masters' theses and found it to be broadly applicable, usable, and useful for analyzing individual projects and for comparing projects within the set. We anticipate that further testing with a wider range of projects will help further refine and improve the definitions and rubric statements. We found that the three-point Likert scale (0–2) offered sufficient variability for our purposes, and rating is less subjective than with relative rubric statements. It may be possible to increase the rating precision with more points on the scale to increase the sensitivity for comparison purposes, for example in a review of proposals for a particular grant application.

Many of the articles we reviewed emphasize the importance of the evaluation process itself. The formative, developmental role of evaluation in TDR is seen as essential to the goals of mutual learning as well as to ensure that research remains responsive and adaptive to the problem context. In order to adequately evaluate quality in TDR, the process, including who carries out the evaluations, when, and in what manner, must be

revised to be suitable to the unique characteristics and objectives of TDR. We offer this review and synthesis, along with a proposed TDR quality evaluation framework, as a contribution to an important conversation. We hope that it will be useful to researchers and research managers to help guide research design, implementation and reporting, and to the community of research organizations, funders, and society at large. As underscored in the literature review, there is a need for an adapted research evaluation process that will help advance problem-oriented research in complex systems, ultimately to improve research effectiveness.

Funding

Supplementary data

Supplementary data is available at *XXXXXX Journal* online.

Acknowledgements

Notes

1. 'Stakeholders' refers to individuals and groups of societal actors who have an interest in the issue or problem that the research seeks to address.
2. The terms 'quality' and 'excellence' are often used in the literature with similar meaning. Technically, 'excellence' is a relative concept, referring to the superiority of a thing compared to other things of its kind. Quality is an attribute or a set of attributes of a thing. We are interested in what these attributes are or should be in high-quality research. Therefore, the term 'quality' is used in this discussion.
3. The terms 'science' and 'research' are not always clearly distinguished in the literature. We take the position that 'science' is a more restrictive term that is properly applied to systematic investigations using the scientific method. 'Research' is a broader term for systematic investigations using a range of methods, including but not restricted to the scientific method. We use the term 'research' in this broad sense.

References

Aagaard-Hansen, J., and Svedin, U. (2009) 'Quality Issues in Cross-disciplinary Research: Towards a Two-pronged Approach to Evaluation', *Social Epistemology*, 23/2: 165–76. DOI: 10.1080/02691720902992323

Andrén, S. (2010) 'A Transdisciplinary, Participatory and Action-Oriented Research Approach: Sounds Nice but What do you Mean?' [unpublished working paper] Human Ecology Division: Lund University, 1–21. <https://lup.lub.lu.se/search/publication/1744256>

Australian Research Council (ARC) (2012) *ERA 2012 Evaluation Handbook: Excellence in Research for Australia*. Australia: ARC. <http://www.arc.gov.au/pdf/era12/ERA%202012%20Evaluation%20Handbook_final%20for%20web_protected.pdf>

Balsiger, P. W. (2004) 'Supradisciplinary Research Practices: History, Objectives and Rationale', *Futures*, 36/4: 407–21.

Bantilan, M. C. *et al*. (2004) 'Dealing with Diversity in Scientific Outputs: Implications for International Research Evaluation', *Research Evaluation*, 13/2: 87–93.

Barker, C. and Pistrang, N. (2005) 'Quality Criteria under Methodological Pluralism: Implications for Conducting and Evaluating Research', *American Journal of Community Psychology*, 35/3-4: 201–12.

Bergmann, M. *et al*. (2005) *Quality Criteria of Transdisciplinary Research: A Guide for the Formative Evaluation of Research Projects*. Central report of Evalunet – Evaluation Network for Transdisciplinary Research. Frankfurt am Main, Germany: Institute for Social-Ecological Research. <http://www.isoe.de/ftp/evalunet_guide.pdf>

Boaz, A., Ashby, D. (2003) *Fit for Purpose? Assessing Research Quality for Evidence Based Policy and Practice*.

Boix-Mansilla, V. (2006a) 'Symptoms of Quality: Assessing Expert Interdisciplinary Work at the Frontier: An Empirical Exploration', *Research Evaluation*, 15/1: 17–29.

——. (2006b) 'Conference Report: Quality Assessment in Interdisciplinary Research and Education', *Research Evaluation*, 15/1:69–74.

Bornmann, L. (2013) 'What is Societal Impact of Research and How can it be Assessed? A Literature Survey', *Journal of the American Society for Information Science and Technology*, 64/2: 217–33.

Brandt, P. *et al*. (2013) 'A Review of Transdisciplinary Research in Sustainability Science', *Ecological Economics*, 92: 1–15.

Cash, D., Clark, W.C., Alcock, F., Dickson, N. M., Eckley, N., and Jäger, J. (2002) Salience, Credibility, Legitimacy and Boundaries: Linking Research, Assessment and Decision Making (November 2002). KSG Working Papers Series RWP02-046. Available at SSRN: http://ssrn.com/abstract=372280.

Carew, A. L. and Wickson, F. (2010) 'The TD Wheel: A Heuristic to Shape, Support and Evaluate Transdisciplinary Research', *Futures*, 42/10: 1146–55.

Collaboration for Environmental Evidence (CEE). (2013) *Guidelines for Systematic Review and Evidence Synthesis in Environmental Management*. Version 4.2. Environmental Evidence <www.environmentalevidence.org/Documents/Guidelines/Guidelines4.2.pdf>

Chandler, J. (2014) *Methods Research and Review Development Framework: Policy, Structure, and Process*. <http://methods.cochrane.org/projects-developments/research>

Chataway, J., Smith, J. and Wield, D. (2007) 'Shaping Scientific Excellence in Agricultural Research', *International Journal of Biotechnology* 9/2: 172–87.

Clark, W. C. and Dickson, N. (2003) 'Sustainability Science: The Emerging Research Program', *PNAS* 100/14: 8059–61.

Consultative Group on International Agricultural Research (CGIAR) (2011) *A Strategy and Results Framework for the CGIAR*. <http://library.cgiar.org/bitstream/handle/10947/2608/Strategy_and_Results_Framework.pdf?sequence=4>

Cloete, N. (1997) 'Quality: Conceptions, Contestations and Comments', *African Regional Consultation Preparatory to the World Conference on Higher Education*, Dakar, Senegal, 1-4 April 1997.

Defila, R. and DiGiulio, A. (1999) 'Evaluating Transdisciplinary Research,' *Panorama: Swiss National Science Foundation Newsletter*, 1: 4–27. <www.ikaoe.unibe.ch/forschung/ip/Specialissue.Pano.1.99.pdf>

Donovan, C. (2008) 'The Australian Research Quality Framework: A Live Experiment in Capturing the Social, Economic, Environmental, and Cultural Returns of Publicly Funded Research. Reforming the Evaluation of Research', *New Directions for Evaluation*, 118: 47–60.

Earl, S., Carden, F. and Smutylo, T. (2001) *Outcome Mapping. Building Learning and Reflection into Development Programs*. Ottawa, ON: International Development Research Center.

Ernø-Kjølhede, E. and Hansson, F. (2011) 'Measuring Research Performance during a Changing Relationship between Science and Society', *Research Evaluation*, 20/2: 130–42.

Feller, I. (2006) 'Assessing Quality: Multiple Actors, Multiple Settings, Multiple Criteria: Issues in Assessing Interdisciplinary Research', *Research Evaluation* 15/1: 5–15.

Gaziulusoy, A. I. and Boyle, C. (2013) 'Proposing a Heuristic Reflective Tool for Reviewing Literature in Transdisciplinary Research for Sustainability', *Journal of Cleaner Production*, 48: 139–47.

Gibbons, M. *et al.* (1994) *The New Production of Knowledge: The Dynamics of Science and Research in Contemporary Societies*. London: Sage Publications.

Hellstrom, T. (2011) 'Homing in on Excellence: Dimensions of Appraisal in Center of Excellence Program Evaluations', *Evaluation*, 17/2: 117–31.

——. (2012) 'Epistemic Capacity in Research Environments: A Framework for Process Evaluation', *Prometheus*, 30/4: 395–409.

Hemlin, S., and Rasmussen, S. B. (2006) 'The Shift in Academic Quality Control', *Science, Technology & Human Values*, 31/2: 173–98.

Hessels, L. K. and Van Lente, H. (2008) 'Re-thinking New Knowledge Production: A Literature Review and a Research Agenda', *Research Policy*, 37/4, 740–60.

Huutoniemi, K. (2010) 'Evaluating Interdisciplinary Research', in Frodeman, R., Klein, J. T., and Mitcham, C. (eds) *The Oxford Handbook of Interdisciplinarity*, pp.309–20. Oxford: Oxford University Press.

de Jong, S. P. L. *et al.* (2011) 'Evaluation of Research in Context: An Approach and Two Cases', *Research Evaluation*, 20/1: 61–72.

Jahn, T. and Keil, F. (2015) 'An Actor-Specific Guideline for Quality Assurance in Transdisciplinary Research', *Futures*, 65: 195–208.

Kates, R. (2000) 'Sustainability Science', *World Academies Conference Transition to Sustainability in the 21st Century 5/18/00*, Tokyo, Japan.

Klein, J. T. (2006) 'Afterword: The Emergent Literature on Interdisciplinary and Transdisciplinary Research Evaluation', *Research Evaluation*, 15/1: 75–80.

——. (2008) 'Evaluation of Interdisciplinary and Transdisciplinary Research: A Literature Review', *American Journal of Preventive Medicine*, 35/2 Supplment S116–23. DOI: 10.1016/j.amepre.2008.05.010

Royal Netherlands Academy of Arts and Sciences, Association of Universities in the Netherlands, Netherlands Organization for Scientific Research (KNAW). (2009) *Standard Evaluation Protocol 2009-2015: Protocol for Research Assessment in the Netherlands*. Netherlands: KNAW. <www.knaw.nl/sep>

Komiyama, H. and Takeuchi, K. (2006) 'Sustainability Science: Building a New Discipline', *Sustainability Science*, 1: 1–6.

Lahtinen, E. *et al.* (2005) 'The Development of Quality Criteria For Research: A Finnish approach', *Health Promotion International*, 20/3: 306–15.

Lang, D. J. *et al.* (2012) 'Transdisciplinary Research in Sustainability Science: Practice, *Principles*, and Challenges', *Sustainability Science*, 7/S1: 25–43.

Lincoln, Y. S. (1995) 'Emerging Criteria for Quality in Qualitative and Interpretive Research', *Qualitative Inquiry*, 1/3: 275–89.

Mayne, J. and Stern, E. (2013) *Impact Evaluation of Natural Resource Management Research Programs: A Broader View*. Australian Centre for International Agricultural Research, Canberra.

Meyrick, J. (2006) 'What is Good Qualitative Research? A First Step Towards a Comprehensive Approach to Judging Rigour/Quality', *Journal of Health Psychology*, 11/5: 799–808.

Mitchell, C. A. and Willetts, J. R. (2009) 'Quality Criteria for Inter and Trans-Disciplinary Doctoral Research Outcomes', in *Prepared for ALTC Fellowship: Zen and the Art of Transdisciplinary Postgraduate Studies.*, Sydney: Institute for Sustainable Futures, University of Technology.

Morrow, S. L. (2005) 'Quality and Trustworthiness in Qualitative Research in Counseling Psychology', *Journal of Counseling Psychology*, 52/2: 250–60.

Nowotny, H., Scott, P. and Gibbons, M. (2001) *Re-Thinking Science*. Cambridge: Polity.

——. (2003) ''Mode 2' Revisited: The New Production of Knowledge', *Minerva*, 41: 179–94.

Öberg, G. (2008) 'Facilitating Interdisciplinary Work: Using Quality Assessment to Create Common Ground', *Higher Education*, 57/4: 405–15.

Ozga, J. (2007) 'Co-production of Quality in the Applied Education Research Scheme', *Research Papers in Education*, 22/2: 169–81.

——. (2008) 'Governing Knowledge: research steering and research quality', *European Educational Research Journal*, 7/3: 261–272.

OECD (2012) Frascati Manual 6th ed. <http://www.oecd.org/innovation/inno/frascatimanualproposedstandardpracticeforsurveysonresearchandexperimentaldevelopment6thedition>

Overseas Development Institute (ODI) (2004) 'Bridging Research and Policy in International Development: An Analytical and Practical Framework', *ODI Briefing Paper*. <http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/198.pdf>

——. (2012) *RAPID Outcome Assessment Guide*. <http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/7815.pdf>

Pullin, A. S. and Stewart, G. B. (2006) 'Guidelines for Systematic Review in Conservation and Environmental Management', *Conservation Biology*, 20/6: 1647–56.

Research Excellence Framework (REF). (2011) *Research Excellence Framework 2014: Assessment Framework and*

Guidance on Submissions. Reference REF 02.2011. UK: REF. <http://www.ref.ac.uk/pubs/2011-02/>

Scott, A. (2007) 'Peer Review and the Relevance of Science', *Futures*, 39/7: 827–45.

Spaapen, J., Dijstelbloem, H. and Wamelink, F. (2007) *Evaluating Research in Context: A Method for Comprehensive Assessment*. Netherlands: Consultative Committee of Sector Councils for Research and Development. <http://www.qs.univie.ac.at/fileadmin/user_upload/qualitaetssicherung/PDF/Weitere_Aktivit%C3%A4ten/Eric.pdf>

Spaapen, J. and Van Drooge, L. (2011) 'Introducing "Productive Interactions" in Social Impact Assessment', *Research Evaluation*, 20: 211–18.

Stige, B., Malterud, K. and Midtgarden, T. (2009) 'Toward an Agenda for Evaluation of Qualitative Research', *Qualitative Health Research*, 19/10: 1504–16.

td-net (2014) td-net. <www.transdisciplinarity.ch/e/Bibliography/new.php>

Tertiary Education Commission (TEC). (2012) *Performance-based Research Fund: Quality Evaluation Guidelines 2012*. New Zealand: TEC. <http://www.tec.govt.nz/Documents/Publications/PBRF-Quality-Evaluation-Guidelines-2012.pdf>

Tijssen, R. J. W. (2003) 'Quality Assurance: Scoreboards of Research Excellence', *Research Evaluation*, 12: 91–103.

White, H. and Phillips, D. (2012) 'Addressing Attribution of Cause and Effect in Small n Impact Evaluations: Towards an Integrated Framework'. Working Paper 15. New Delhi: International Initiative for Impact Evaluation.

Wickson, F. and Carew, A. (2014) 'Quality Criteria and Indicators for Responsible Research and Innovation: Learning from Transdisciplinarity', *Journal of Responsible Innovation*, 1/3: 254–73.

Wickson, F., Carew, A. and Russell, A. W. (2006) 'Transdisciplinary Research: Characteristics, Quandaries and Quality,' *Futures*, 38/9: 1046–59.