



## Atelier 2 : Enseignement supérieur Typologie et classement des établissements d'enseignement

### Session 1 : Principales questions - principaux enjeux

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- Classification and Ranking / **presentation\_peter\_Van\_der\_Hidjen**
- Interim results of the Expert Group on Assessment of University-Based Research / **presentation\_wolfgang\_Mackiewicz**
- International University Rankings, Classifications and Mappings : A view from the universities / **presentation\_lesley\_Wilson**
- les classements des universités: progrès ou calamité? / **presentation\_jamil\_Salmi**



Paris 13/14 November 2008



Education and Culture

# CLASSIFICATION & RANKING

**Peter van der Hijden** European Commission

# MAPPING DIVERSITY - MAKE HE EDUCATION MORE TRANSPARENT

Missions (Classification)

Performances (Ranking)

« *Compléments d'information* »



# OTHER INITIATIVES

Course Catalogues (ECTS label)

Quality reviews (ENQA, EQAR,  
Qrossroads database)

AHELO

Indicators & benchmarks  
(Lisbon & Bologna)





# THREE STEPS (2009-2010)

1. Data Collection (Eurostat)
2. Classification (phase III)
3. Ranking Pilot (independent, multidimensional, international)





# WHY ALL THIS?

Student choice

Mirror for institutions

Evidence based policy making



# CONCLUSION



Education and Culture

*No longer « vivre caché, vivre heureux »*

but: Informed decision making





**International comparison of education systems:  
a European model?  
Paris, 13-14 November 2008**

Workshop 2

Higher education: Type and ranking of higher education institutions

**Interim results of the Expert Group on  
Assessment of University-Based Research**  
convened by the European Commission's DG for Research  
*Wolfgang Mackiewicz (Freie Universität Berlin, DE)*

# Mandate of the AUBR Expert Group

- Identify the **various types of users** and potential users of measurements of the quality of university-based research.
- **Take stock** of the **main methodologies** for assessing the quality of university-based research with a view to understanding their purpose, scope, uses, merits, limitations, and impact.
- Propose a **consolidated multidimensional methodological approach**, based on robust, relevant and widely accepted methods, addressing users' needs and interests, and identifying data and indicator requirements.

### Mandate of the AUBR Expert Group (cont.)

- the AUBR EG is not to develop a methodology for ranking
- the AUBR EG is not to deal with assessment of university-based teaching – however, AUBR EG is aware of relevance of quality of research to quality of teaching
- point of departure: different user groups approach assessments of UBR with different purposes, needs, and interests in mind
- hence the need for a multidimensional methodological approach to assessment of UBR

## **POLICY CONTEXT**

### **(i) Communication of May 2006**

### ***Delivering on the Modernisation Agenda for Universities: Education, Research and Innovation***

#### Select key points:

- call for higher investment in university-based research (UBR)
- universities should be funded more for what they do than what they are
- call for robust quality assurance of UBR

## **POLICY CONTEXT (cont.)**

- «**Competitive funding** should be based on institutional evaluation systems and on **diversified performance indicators** with **clearly defined targets and indicators** supported by **international benchmarking** for both inputs and economic and societal outputs.»
- call for focusing less on scientific disciplines and more on **research domains**; hence importance of cross-disciplinarity
- universities need to **communicate** the relevance of their research activities to **society / stakeholders**
- excellence emerges mainly at **faculty / department level**

## **POLICY CONTEXT (cont.)**

- ⇒ relevance of UBR to Lisbon goals
- ⇒ the overarching issues of QUALITY, TRANSPARENCY and COMPARABILITY

### **(ii) Council Resolution of December 2007** ***Modernising universities for Europe's competitiveness in a global knowledge economy***

#### Select key points:

- globalisation => Europe's universities should aim to become **worldwide competitive players**



## Assesment of University-Based Research Expert Group



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### POLICY CONTEXT (cont.)

- Member States invited to promote the internationalisation of HEIs by encouraging quality assurance through **independent evaluation and peer review** of universities

## COMMISSION CONTEXT (2008-9)

### Three Expert Groups

- 1) **«Impact of external research funding on financial management in universities» (12/2008)**
  - universities should adapt themselves to competitive project-based research funding, which is becoming an increasingly important stream of public funding for research
  
- 2) **CREST Member States Working Group on «Mutual learning on approaches to improve the excellence of research in universities» (01/2009)**
  - universities have to enhance the quality and relevance of their research

### COMMISSION CONTEXT (2008-9) (cont.) CREST Group to

- take into account the needs concerning the measurements of the excellence of UBR and what role the various university rankings play in this context
  - consider various approaches to the funding of UBR and related **methodologies to assess the quality of research**
  - identify needs for **further improving assessment methodologies of research performance** as input for research funding
- 3) **Expert Group on «Assessment of University-Based Research» (07/2009)**



# Assesment of University-Based Research Expert Group



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## **AUBR Expert Group**

### **Identification and analysis of five interrelated key elements**

**USERS**

**RESEARCH**

**DISCIPLINES**

**METHODS**

**IMPACT**

## Anticipated users

- **HE management and governance**
  - Governing bodies / councils
  - HE executives / management
  - HE research groups
- **Governments**
  - European Commission
  - Member State governments
  - HE ministries
  - Local and regional governments
  - HE agencies
- **Public funding organisations**
- **Peer review committees**



# Assesment of University-Based Research Expert Group



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- **Individuals**
  - Academics and researchers
  - Graduates
- **Peer HEIs**
- **Industry partner organisations**
  - Private companies and entrepreneurs
  - Public organisations
  - Employers
- **Sponsors and private investors**
  - Benefactors / philanthropists
  - Alumni
- **Public opinion**

# User groups and uses of research assessment

## (i) HE executives/management



### For what purpose do they require research assessment data?

- Policy and planning
- Strategic positioning
- Research development / management strategy
- Investor confidence / value-for-money and efficiency
- Quality assurance
- Publicity
- Graduate and academic recruitment

### What data is required?

- Discipline / field data re level of intensity, expertise, quality and competence
- Benchmarking against peer institutions
- Efficiency level: how much output vis-à-vis funding
- Quality of academic staff and PhD students
- Attraction capacity: recruitment of graduates/academics/researchers from outside region / internationally

# User groups and uses of research assessment

## (ii) Academics and researchers



### For what purpose do they require research assessment data?

- Identify career opportunities
- Identify research partners
- Identify best research infrastructure and support for research

### What data is required?

- Institutional / field data re level of intensity, expertise, quality, competence, and sustainability
- Performance of individual institution benchmarked against peers in field of interest
- Impact of research on teaching
- Institutional research support, incl. infrastructure

## Research

- The AUBR Expert Group subscribes to an inclusive concept of research, ranging from blue sky / curiosity-driven research to user-led / practice-based research. General definition adopted (HEFCE/RAE): "original investigation undertaken in order to gain knowledge and understanding".
- Research is not identical with research output. The following dimensions should be distinguished: input, process, output, outlet, and impact/outcome. Different dimensions may be of specific interest to different user groups.

## Disciplines

- AUBR should cover the whole range of disciplines – from natural sciences to arts and design.
- The methodology to be proposed should facilitate the assessment of trans-, multi- and interdisciplinary research, and of research carried out in emerging new disciplines.
- Different groups of (sub)disciplines produce different types of output. For example, peer-reviewed journal articles are a typical output of specific (sub)disciplines only.

## Methods / Indicators / Impact

N.B. The Group has not yet discussed these elements in detail.

### (i) **Productivity indicators (how many? how much?)**

- research publications and other outputs
- completions of research training degrees
- research active academics
- research income

### (ii) **Quality and scholarly impact (how good? how significant? what impact on the body of knowledge in the field)**

- publications in top-ranked, high-impact journals and other outlets (ranking of outlets is discipline specific)
- citations (of limited use in a number of fields)
- peer esteem

## Methods / Indicators / Impact (cont.)

### (iii) Innovation and socio-economic benefit (what contribution is made to the economy and broader society?)

N.B. there may be a significant time-lag between the conduct of the research and the impact.

- demonstrated benefits
- **likelihood of impact: (i) engagement through research collaboration or funding research; (ii) uptake of research to generate new policies / products / processes / attitudes / behaviours / outlooks**
- research income (disadvantage: lack of demonstrated correlation between funding source and eventual actual impact)
- industry employment of PhD graduates
- commercialisation revenue and equity
- end-user esteem



## Assesment of University-Based Research Expert Group



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### (iv) Sustainability and scale of research enterprise

- sustainability (postgraduate research student load; involvement of early career researchers; accessibility of research infrastructures and facilities)
- scale (number of collaborations and partnerships)
- inter- and transdisciplinarity

## A few key messages

- ⇒ Units of assessment = knowledge clusters, and not entire universities; the methodology proposed should allow aggregation to institutional level.
- ⇒ Information needs to be provided of all the factors used in a given assessment. This way, users may decide themselves on how the indicators used should be weighted.
- ⇒ Indicators must be useful, relevant, comparable, reliable, and feasible.
- ⇒ Use should be made of audited and verifiable data whenever possible.
- ⇒ Critical test of the assessment methodology: accommodation of diversity in university research.



## Assesment of University-Based Research Expert Group



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- ⇒ Not all European institutions want to be global players, but among those that do not there may well be institutions that wish to excel in research of one kind or another.
- ⇒ Assessment not just of past performance, but also of potential for future performance.
- ⇒ Need for common terminology; hence AUBR EG to create a glossary.

## From complexity to feasibility

- The analysis of the various elements has provided evidence of the complexity of the task at hand.
- A way out of this: make **PURPOSE / OBJECTIVE** a determining factor in a given assessment exercise.
- If you want to use assessment to allocate resources inside a HEI, then use ....
- If you want to use assessment to improve performance, then use ....
- If you want to use assessment to attract talent, then use ....
- Examples like these would be made available in a kind of **tool box**.
- Also, advice on when to combine quantitative and qualitative metrics.
- We will hopefully have a typology of research assessments.

## From complexity to feasibility

### Next steps

- preparation and analysis of case studies of current AUBR practices
- thorough discussion of the complex of data, indicators and methods with a view to producing a prototype toolbox
- presentation for discussion of preliminary outcomes at a workshop attended by a substantial number of external experts and stakeholder representatives
- Final Report: *Towards a European Framework for the Assessment of University-Based Research*
- Follow-on activities: piloting, and further elaboration of the multidimensional methodology proposed



**EUA**

European University Association

# International University Rankings, Classifications & Mappings - A View from the Universities

Lesley Wilson  
Secretary General, EUA

French Presidency Conference  
Paris, 13/14 November 2008

## I. EUA

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- 800 Members in 45 countries
  - ✓ Individual members: doctorate-granting institutions
  - ✓ Collective members: National rectors' conferences
  - ✓ Associate and affiliate members
- The debate on rankings has been launched:
  - ✓ In EUA policy bodies – Board and Council
  - ✓ With ASIAN counterparts as part of the ASEM dialogue

# The present landscape

## 1 - Global initiatives

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- Global rankings:
  - ✓ Shanghai ARWU
  - ✓ Times-SQ World University Ranking
  - ✓ Leiden Ranking
- OECD feasibility study for the international assessment of HE Learning Outcomes: AHELO
- Emerging Global Model (EGM) of a 'world class university' – free from the fetters of nation states..
- Status: independent institutes, newspapers (similarly at national level)

## The present landscape 2 - European initiatives

- CHEPS: Classifying European Institutions of Higher Education (CEIHE)
- European Commission: to support statistical database on Higher Education (via Eurostat)
- CHE:
  - ✓ Ranking of Excellent European Graduate Programmes in the natural sciences & mathematics
  - ✓ Pilot project for the extension of the CHE higher education ranking to other European countries
- Status: again independent not governmental initiatives

## Connections between rankings and classifications/typologies?

- Often similar data used for both
- Similar motivations
- Is classification an instrument for better ranking?
  - ✓ Carnegie (US) hierarchy of thresholds
  - ✓ CHE research & subject-based rankings are also used to develop 'league tables' at institutional level
  - ✓ Typologies that seek to include HEIs in specific categories & compare like with like are difficult in a fast changing European environment – risk of 'cementation'

## Characteristics of the top 20 THE

- About 200 Years old
- About 2500 Academic staff
- About 24,000 Students
- Able to attract and retain top researchers & other staff = often high autonomy & highly selective
- USD 1 Bio endowment
- USD 2 Bio annual budget

## “Counting what is measured or measuring what counts?” (CHERI report to HEFCE 2008)

- “league tables are becoming part of the media amplified markets for higher education institutions & their outputs and services”
- Despite serious misgivings, e.g.:
  - ✓ Not comprehensive: provide an incomplete & once-off snapshot of small segment of a rapidly changing sector
  - ✓ ‘One-size-fits-all’ methodology: does not take account of increasingly differentiated HE landscape - across Europe -
  - ✓ Lack of transparency in the way they are compiled
  - ✓ Compilers use data rather than compiling data (see note below)
  - ✓ Reflect largely reputational factors (40% THES)
  - ✓ Dominance of research and metrics – little focus on other missions of the university ...7...

## Perceptions/risks of rankings

- Rankings increasingly equated with standards – what does this mean for existing quality standards & Bologna frameworks, e.g. ESG, EQAR?
- Difficulties of moving from national rankings to the European or international level with a one-size-fits-all methodology
- Decision makers & funders may use rankings & typologies to allocate funding – example of Asia
- Some HEIs tempted to chase rankings = focus on improving what can be measured to fit externally defined indicators rather than on core mission

# Impact of rankings on HEIs

(HEFCE 2008, Hazelkorn 2007)

- Widespread scepticism but HEIs are influenced by rankings
- Most common responses: promotion & marketing but also data gathering & compilation, e.g. = better data collection & more use of student surveys
- No influence on mission, course content or research
- International rankings becoming more important for the small group of HEIs concerned (UK)

## DESPITE

- Tensions appearing between rankings' orientation and government policy, e.g. widening access & selective recruitment...

## The ideal versus the “real” world

- Universities are different
- Cultural diversity is a good thing
- Universities serve local, national & international needs
- All areas of research are equally important
- Teaching & research are integral parts of the university mission
- Focus on natural sciences
- Publish in English in the ‘right’ journals
- Be large & multidisciplinary
- Be like the top US research universities
- Don’t waste time on undergraduate teaching
- Produce graduates that are employable but limit outside contacts otherwise
- **BE VISIBLE IN THE RANKINGS**

## Responses - Berlin Principles

(CEPES, CHE, IHEP, 2006)

- Recognise the diversity of HEIs & take account of different missions & goals
- Be transparent regarding methodology
- Measure outcomes in preference to inputs
- Use audited & verifiable data wherever possible
- Provide consumers with a clear understanding of the factors involved & offer a choice in how they are displays

## HE sector response

- Rankings are a fact, and will not go away – even if the impact and the responses of governments & HEIs are different in different countries & continents
- UK sector has already discussed its views in depth
- Time for European universities to do the same – EUA working group to be established
- Cooperation with Asian universities could be an asset, given their specific experience

## A European response - issues for debate - 1

- Need for instruments/methodologies that reflect the diversity & different purposes of European higher education & do not divide HEIs into categories
- Methodologies cannot be separated from the purposes for which they are used
- Onus on policy makers, HEIs, students & QAA to promote greater public understanding of limits of rankings & consider alternative sources of information about HEIs
- Impact for existing measures of quality & transparency instruments – does more need to be done at European level?

## A European response - issues for debate - 2

- The tension between league tables & government priorities across Europe, especially diversification of university mission & profiles
- Rankings need to be independent of governments and of universities in order to be credible
- ✓ Rankings must be able to stand up & be challenged in court as it is a question of reputation

## A European response - open questions for the sector - 3

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- Is it better to have multiple rankings rather than just one or two major ones?
- Should the sector try to:
  - ✓ ensure they do not develop further & promote instead more benchmarking among similar universities?
  - ✓ Concentrate principally on improving transparency & ensuring that internal and external QA is effective?
  - ✓ Or contribute to the improvement of existing rankings so that they develop into credible instruments of use to the sector, e.g. CHE subject-based rankings, by addressing problems with the export of the methodology to other countries?

## In Conclusion

- What kind of higher education system do we want in Europe and for whom ?
- How are going to ensure that it is transparent, visible and attractive?

# Les Classements des Universités: Progrès ou Calamité?

Jamil Salmi  
13 Novembre 2008

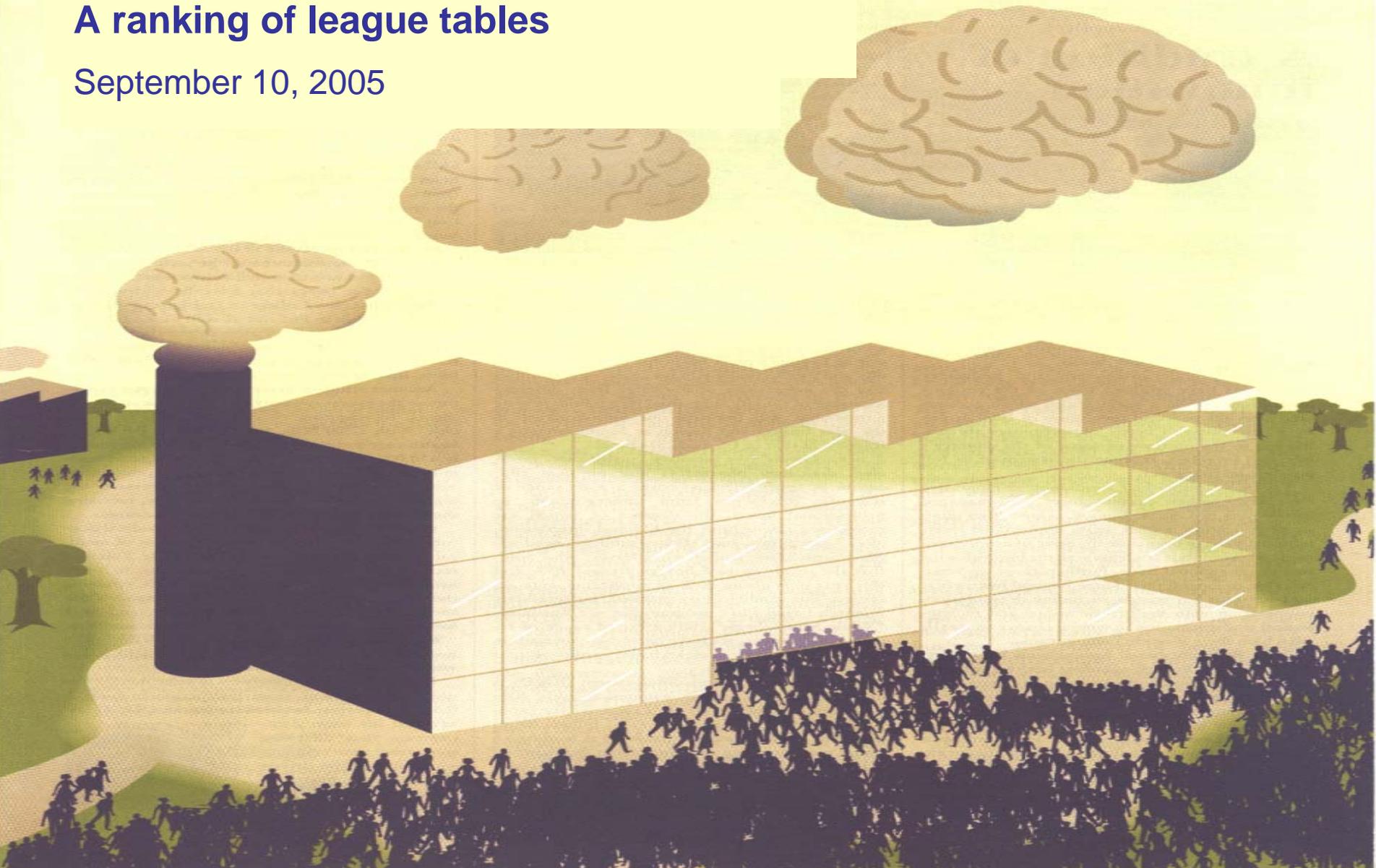


# The rankings business

A ranking of league tables

September 10, 2005

The  
Economist



amended and said bill passed by Senate... restored to discharge, bill  
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shall be known  
accountability

# Plan de la présentation

- Typologie des classements d'universités
- Un monde de controverses
- Conséquences pour les politiques d'enseignement supérieur



# Comment sont préparés les classements?

- Indicateurs statistiques
  - Information rassemblée et fournie par les universités elles-mêmes
  - Information disponible de façon publique
- Enquête auprès des parties concernées
  - Employeurs
  - Universités
  - Enseignants
  - Etudiants et anciens élèves



# Quelle est l'unité d'analyse?

- Institution ou programme
- Score global ou mesures partielles sur plusieurs dimensions
- Recherche ou qualité de l'enseignement et des acquis de formation?



# Qui prépare les classements?

- A = agence gouvernementale (Ministère de l'Enseignement Supérieur ou organisme équivalent)
- B = organisation indépendante / association professionnelle / université
- C = les médias (journal quotidien / revue hebdomadaire)
- D = agence d'accréditation
- I = classement international (IA, IB, IC et ID) liant la dimension internationale au type d'institution



# Systemes de classements (2008)

Région	Systemes de classement
Europe de l'Est et Asie centrale	Kazakhstan (A, B), Pologne (C), Slovaquie (B), Roumanie (B/C), Russie (B), Ukraine (B/C)
Extrême Orient et Pacifique	Australie (B), Chine (B, C, IB), Hong Kong (C), Japon (B, C), Corée (A), Malaisie (A), Nouvelle Zélande (A), Taiwan (B), Thaïlande (A)
Amérique latine et Caraïbes	Argentine (D), Brésil (A), Chili (C,D), Mexique (B), Pérou (B)
Afrique du Nord et Moyen Orient	Tunisie (A)
Amérique du Nord	Canada (B, C, B/C), Etats Unis (C, IC)
Asie du Sud	Indie (C/D), Pakistan (A)
Afrique sub-saharienne	Nigéria (A)
Europe de l'Ouest	Allemagne (B/C, C), Espagne (B, C, IC), Italie (C), Pays-Bas (A), Portugal (C), Royaume Uni (A, B, IC), Suède (C), Suisse (B/C)



# Tendances

- Prolifération des classements
  - Sauf en Afrique et au Moyen Orient
- Qui fait les classements?
  - Moins la presse
  - Plus des groupes indépendants, des gouvernements ou même des entreprises
- Mieux acceptés dans un nombre croissant de pays
- Participation volontaire
  - Autriche, Belgique (flamande), Suisse



# Plan de la présentation

- Typologie des classements d'universités
- **Un monde de controverses**



# “Entre l’amour et la haine”

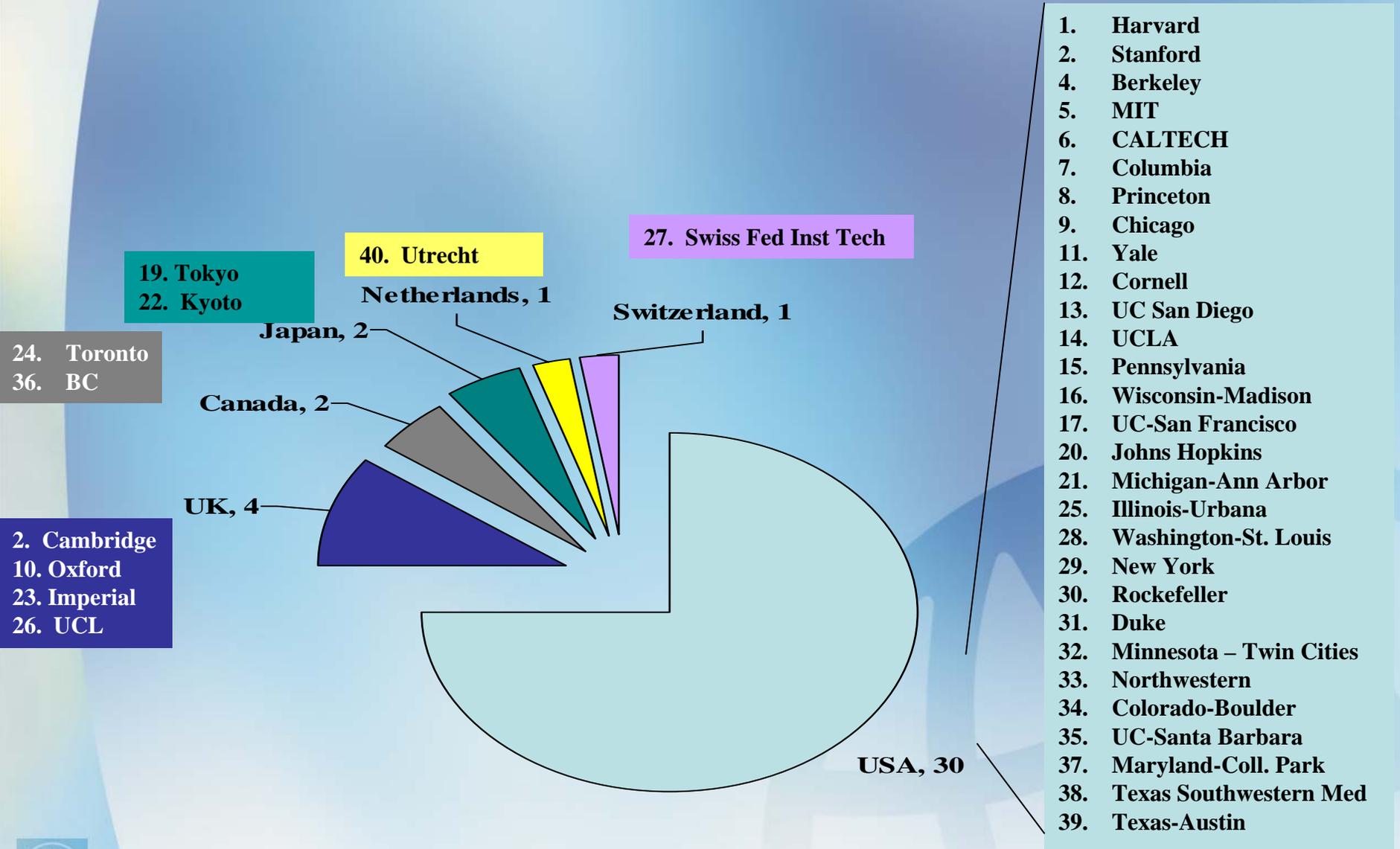
- Désaccord avec le principe
- Critique de la méthodologie
  - Choix des indicateurs (# qualité)
  - Fiabilité des données
  - Poids des indicateurs
  - “Taille unique!”



# La dominance anglo-saxonne



# Les meilleures 40



# “Entre l’amour et la haine”

- Désaccord avec le principe
- Critique de la méthodologie
- Boycotts





MOLECULARS



# Le classement des Saint-Emilion grand cru contesté en justice (Reuters 28.03.07)





# “Entre l’amour et la haine”

- Désaccord avec le principe
- Critique de la méthodologie
- Boycotts
- Actions en justice (Nouvelle Zélande,



# Plan de la présentation

- Les nouvelles exigences de reddition de comptes
- Typologie des classements d'universités
- Un monde de controverses
- **Conséquences pour les politiques d'enseignement supérieur**



# En quoi les classements peuvent-ils être utiles?

- Pour le gouvernement?
- Pour les universités?
- Pour le public?



# Utilisation par les gouvernements

- Cas du Pakistan
  - Promouvoir une culture de la transparence
  - Encourager la qualité
- Agences de financement des bourses à l'étranger



# Usage qu'en font les universités

- Publicité favorable



# Nottingham University Business School

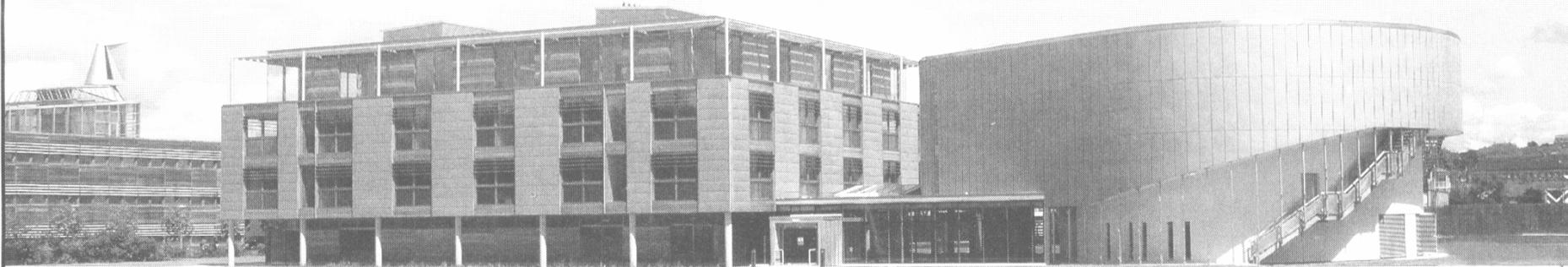
## MBA Programmes

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- MBAs include: Financial MBA, Risk and Insurance MBA, MBA in Entrepreneurship, and an MBA in Corporate Social Responsibility
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The University of  
**Nottingham**

The Economist March 25th 2006



1<sup>ST</sup> IN QUÉBEC

The Université de Montréal, together with its affiliated schools, HEC Montréal and École Polytechnique, is Québec's foremost teaching and research hub in terms of student enrollment, research income and teaching staff.

2<sup>ND</sup> IN CANADA

The Université de Montréal is ranked second in Canada by *Re\$earch Infosource*, which rates universities according to their research income.

93<sup>RD</sup> IN THE WORLD

The Université de Montréal is the only Francophone university in North America to be rated among the world's top 100 universities by the *Times Higher Education Supplement*.



# Usage qu'en font les universités

- Publicité favorable
- Sensibles aux facteurs qui affectent leur classement (“benchmarking”)
- Meilleure collecte et utilisation des indicateurs de performance
- Fixation d'objectifs dans le cadre de la planification stratégique



# La pression du public

- Provão au Brésil
- Colombie



Hay 41 programas con sello de calidad del Gobierno

# Las mejores carreras del país

**Un criterio para mirar la calidad de un programa es saber si tiene el 'visto bueno' del Consejo Nacional de Acreditación. Este es un proceso en el que ya están muchas universidades y que garantiza el nivel.**

El panorama es enorme: en el país hay cerca de 4.200 carreras en 281 instituciones de educación superior, según los datos del Icfes.

Y la calidad no es igual en todas. Una pista para saber cuáles son las mejores y dónde las dictan es la acreditación voluntaria, mecanismo creado por la Ley 30 de 1992 (la que rige la educación superior) para que el Gobierno les dé un 'sello de calidad' a los programas excelentes.

Esa acreditación es un proceso que empieza la universidad voluntariamente ante el Consejo Nacional de Acreditación. Luego de una autoevaluación, y de visitas, de constatar el funcionamiento del programa y de una evaluación externa, el CNA toma la decisión de recomendar su acreditación o de que se hagan correctivos.

Hasta el momento, hay 260 carreras en proceso de acreditación, 41 de ellas ya tienen el 'sello de calidad' del Gobierno. El liderazgo lo tiene la Universidad de Antioquia con 12 carreras acreditadas y por 7 años.

Estos son los programas:

**Universidad de Antioquia (Medellín):** trabajo social (desde enero de 1999, acreditada por tres años); química farmacéutica (desde febrero de 1999, por siete años); enfermería (desde marzo de 1999, por cinco años); bacteriología y laboratorio clínico (desde junio de 1999, por cinco años); licenciatura en educación primaria (desde junio de 1999, por cuatro años); filosofía (desde junio de 1999, por seis años).



Archivo /EL TIEMPO

La universidad Javeriana es una de las instituciones acreditadas en carreras como medicina, odontología, e ingeniería. La de Antioquia es líder con doce carreras certificadas.

1999, por cuatro años); biología (desde enero de 2000, por siete años), contaduría (desde enero de 2000, por cinco años) e ingeniería sanitaria (desde marzo de 2000 por cinco años).

**Instituto de Ciencias de la Salud CES (Medellín):** medicina (desde julio de 1998, por tres años); odontología (desde noviembre de 1998, por cuatro años).

**Pontificia Universidad Javeriana (Bogotá):** enfermería (desde noviembre de 1998, por seis años); medicina

**Universidad de Caldas (Manizales):** enfermería (desde diciembre de 1998, por tres años); agronomía (desde marzo de 1999, por cuatro años).

**Pontificia Universidad Javeriana (Cali):** ingeniería industrial (desde diciembre de 1998, por cinco años).

**Universidad del Norte (Barranquilla):** ingeniería industrial (desde febrero de 1999, por cuatro años); ingeniería de sistemas y computación (desde junio de 1999, por cinco años).

**Universidad Industrial de Santander -UIS- (Bucaramanga):** medicina (desde julio de 1999, por cuatro años); ingeniería industrial (desde noviembre de 1999, por cuatro años); ingeniería eléctrica (desde enero de 2000 por seis años).

**Universidad Escuela de Administración y Finanzas y Tecnologías -Eafit- (Medellín):** ingeniería de producción (desde julio de 1999, por seis años); contaduría pública (desde julio de 1999, por cinco años); ingeniería civil (desde julio de 1999 por cuatro años); ingeniería mecánica (desde noviembre de 1999, por cinco años), ingeniería de sistemas (desde enero de 2000 por cinco años), geología (desde enero de 2000 por seis años).

**Escuela de Administración de Negocios (Bogotá):** administración de empresas, jornada diurna (desde agosto de 1999, por cuatro años).

**Universidad El Bosque (Bogotá):** odontología (desde noviembre de 1999, por cuatro años); medicina (desde noviembre de 1999, por cuatro años).

**Corporación Universitaria Tecnológica de Bolívar (Cartagena):** ingeniería industrial (desde enero de 2000, por cinco años).

**Universidad Tecnológica de Pereira:** ingeniería eléctrica (desde enero de 2000, por cinco años); ingeniería industrial (desde enero de 2000, por cuatro años).

**Corporación Universitaria de Iba-**



# La pression du public

- Provão
- Colombie
- France



# SOCIÉTÉ

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## ENSEIGNEMENT SUPÉRIEUR

**FAIBLESSE DU FINANCEMENT** public de l'enseignement supérieur et de la recherche, succès de la pétition « Sauvons la recherche », signée par 22 000 chercheurs : l'université française est en état de « crise inten-

te », selon Michel Laurent, le vice-président de la conférence des présidents d'université. Un « **PLAN D'URGENCE** » a été réclamé lors des assises nationales, organisées jeudi 22 et vendredi 23 janvier par l'UNEF et

le Snesup-FSU, les principaux syndicats d'enseignants et d'étudiants. La première faculté française n'arrive qu'au **65<sup>e</sup> RANG** d'un palmarès international de l'enseignement supérieur établi par une université chinoise.

Selon le chercheur Jean-Jacques Payan, le système français est « le plus inégalitaire et le plus inefficace des pays développés ». Il se prononce pour une **AUTONOMIE ACCRUE** des universités et une sélection à l'entrée.

## La grande misère des universités françaises

Plusieurs conseils d'administration d'université ont menacé de ne pas voter leur budget pour protester contre l'insuffisance de leurs moyens. Malgré un budget global en hausse de 3 %, les établissements sont contraints à des restrictions sévères et font des « économies de bout de chandelle »



# La pression du public

- Provão
- Colombie
- France
- Etats-Unis



# Comportements dangereux

- Gestion en fonction des classements
  - Sélection ou diversité
  - Dépenses accrues sur les intrants
- Financement en fonction du classement
  - Récompenser les forts et pénaliser les faibles
  - Evaluation du personnel enseignant
- Fusions mues par des considérations de taille uniquement



- Fraudes au niveau des statistiques

# conclusion

# film



Upgrade your knowledge –  
enhance, repair, connect, and adapt your universities!

# University Rankings

FOR  
**DUMMIES**<sup>®</sup>

**A Reference  
for the  
Rest of Us!**

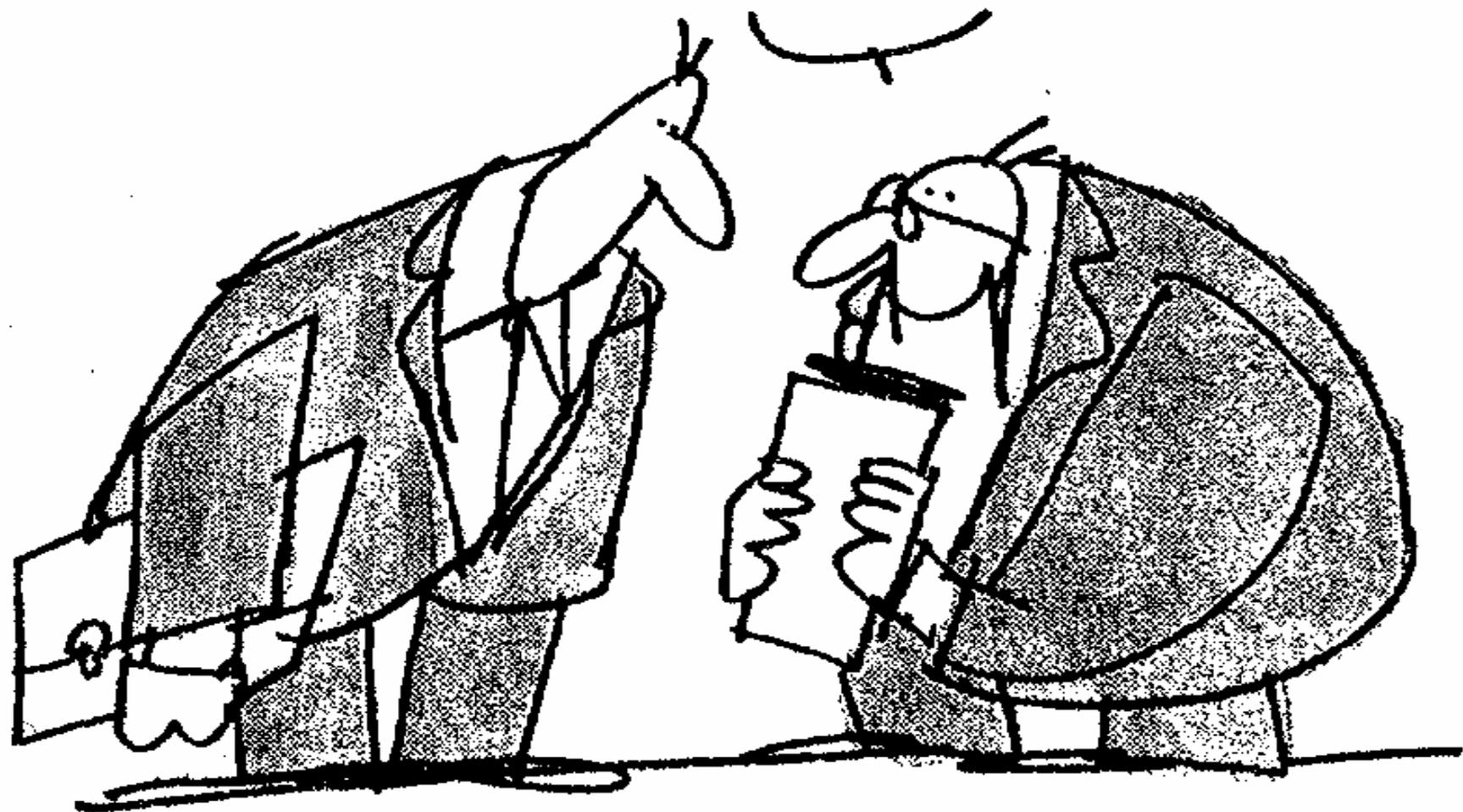
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*Claude Sauvageot*

J'AI LE GUIDE DES CENT MEILLEURES  
UNIVERSITÉS. DU DÉPARTEMENT.



PESSIN

# Progrès ou calamité?





# Les enjeux sont élevés

- **Statut en tant qu'université d'élite**
- **Choix des étudiants**
  - Sur le plan national
  - Au niveau de l'Europe
  - Etudiants étrangers
- **Possibilité d'attirer des chercheurs de renom**



# Quelques éléments de conclusion

- Les classements sont là pour de bon
- Utiles comme appui au choix des étudiants
- Surtout quand il n'y a pas de système officiel d'évaluation ou d'accréditation



# Quelques éléments de conclusion (II)

- Utiles pour stimuler le débat sur les défis auxquels font face les universités
- Culture de la transparence et de la reddition des comptes



# Principes à respecter

- Comparer des institutions similaires
- Comparer des programmes plutôt que des institutions entières
- Comparer par indicateurs plutôt que globalement (Allemagne – Pakistan)



# Principes à respecter

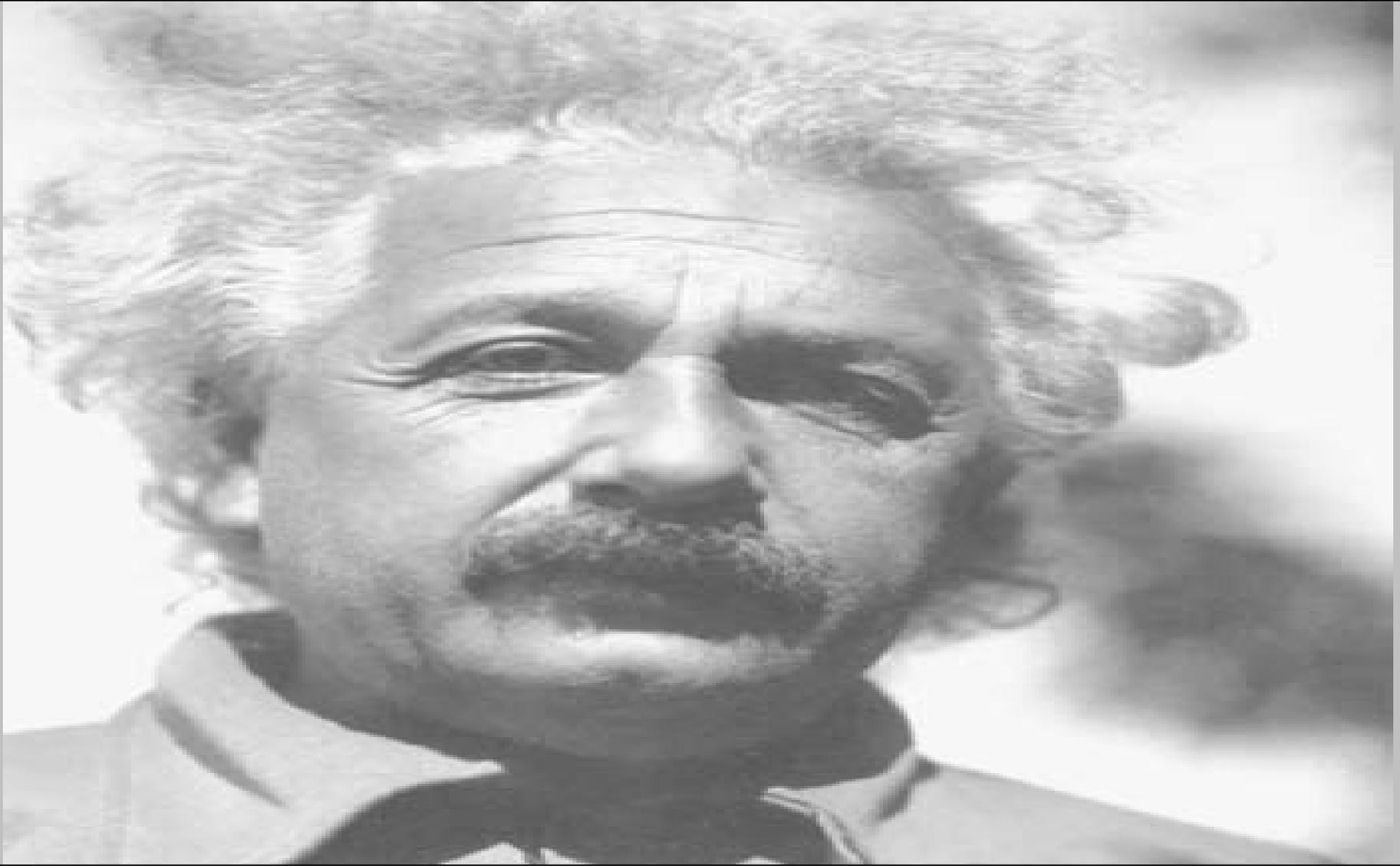
- Comparer des résultats plutôt que des intrants (compétences acquises, emploi, publications, brevets)
- Utiliser pour améliorer ses résultats, pas pour “battre la concurrence”



# Prochaine étape

- Classement des **systemes** d'enseignement supérieur
- Plusieurs dimensions:
  - Développement quantitatif
  - Equité
  - Qualité et pertinence
  - Equilibre dans l'éventail des formations
  - Efficacité dans l'utilisation des ressources publiques







## Atelier 2 : Enseignement supérieur Typologie et classement des établissements d'enseignement

### Session 2 : L'état de l'art

---

- A Typologie of French Universities / **presentation\_jean-francois\_Dhainaut**
- Building an European Classification of Higher Education Institutions / **presentation\_frans\_van-Vught**
- Academic Ranking of World Universities / **presentation\_niancai\_Liu**
- Main lessons to be learnt from CHE rankings / **presentation\_frank\_Ziegele**
- Feasibility study for creating a European University data Collection / **presentation\_michel\_Glaude**



CONFERENCE

Comparaison internationale des systèmes éducatifs :

Un modèle européen ?

Paris, 13 – 14 Novembre 2008

# A Typology of French Universities

A grid for analyzing the performance

A collaborative study presented by  
Jean-François Dhainaut, MD, PhD

Professor of Medicine

President of the Agency for Evaluation of Research & Higher Education (AERES)



MINISTÈRE DE  
L'ENSEIGNEMENT  
SUPÉRIEUR ET DE  
LA RECHERCHE

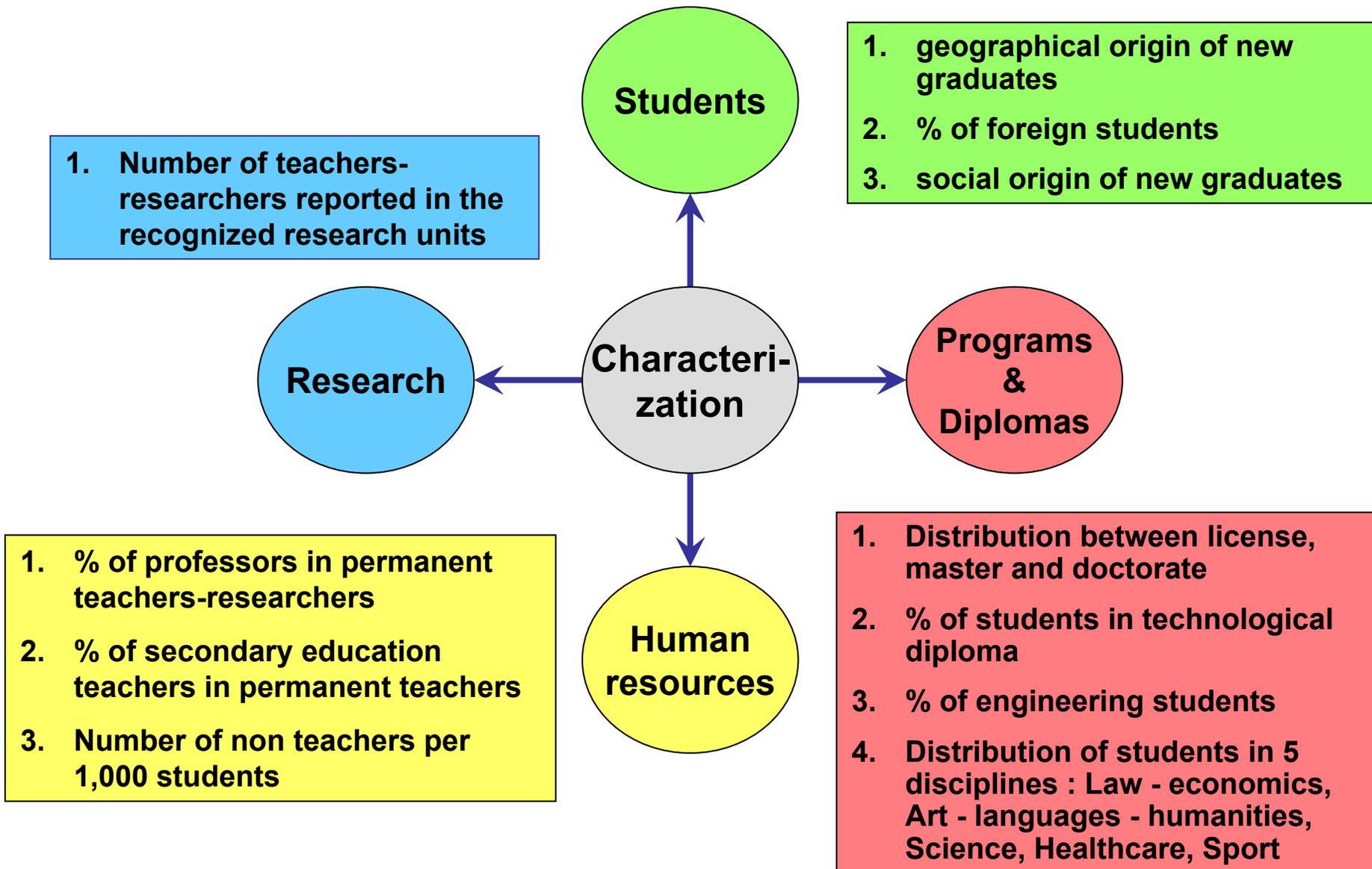


agence d'évaluation de la recherche  
et de l'enseignement supérieur

# Guidelines

- Goals
  - Allowing institutions of higher education to position themselves in relation to the others
  - Driving performance analysis
- Methods
  - characterization vs analysis of performance
  - multidimensional approach (students, programs-diplomas, human resources, research)
  - A method (KACP, SAMOS, Paris 1 – Panthéon Sorbonne), describing the neighborhood among individuals according to some variables, a kind of mapping
  - Reference  
<[http://hal.archivesouvertes.fr/action/open\\_file.php?url=http://hal.archive.souvertes.fr/docs/00/11/37/54/PDF/Cottrell\\_final.pdf&docid=113754](http://hal.archivesouvertes.fr/action/open_file.php?url=http://hal.archive.souvertes.fr/docs/00/11/37/54/PDF/Cottrell_final.pdf&docid=113754)>

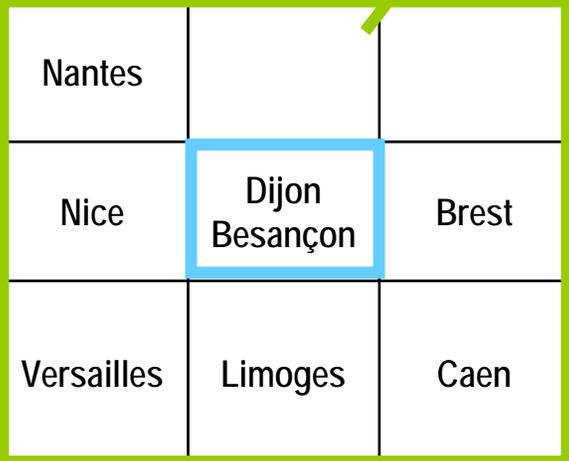
# Characteristics



Paris 6	Paris 11	Grenoble 1	Toulouse 3		Bordeaux 1 Montpellier 2			Orléans	Chambéry
Paris 7		Lyon 1			Lille 1	Valenciennes	Mulhouse		Le Mans Toulon
Strasbourg 1	Nancy 1			Tours Poitiers	Clermont 2	<b>two universities located in the same box are very close (according to all data)</b>			Artois Evry
	Aix Marseille 2	Rennes 1	Nantes						Littoral CUFR Albi
Bordeaux 2	Paris 5		Nice	Dijon Besançon	Brest	Marne-la-Vallée	Cergy Corse	Avignon	Antilles- Guyane La Réunion
Montpellier 1 Lille 2		Clermont 1	Versailles	Limoges	Caen	Pau			Nîmes Nouvelle- Calédonie Polynésie
			Angers		Reims Rouen Amiens		Rennes 2		
Paris 1 Paris 10		Paris 12		Saint-Étienne			Strasbourg 2	Paris 8	
Aix Marseille 3	Lyon 3		Paris 13			Bordeaux 3	Grenoble 3	Aix Marseille 1	Paris 3 Paris 4
Toulouse 1 Paris 2		Bordeaux 4 Strasbourg 3	Grenoble 2 Perpignan	Nancy 2	Lille 3		Toulouse 2 Montpellier 3	Lyon 2	

Paris 6	Paris 11	Grenoble 1	Toulouse 3		Bordeaux 1 Montpellier 2			Orléans	Chambéry
Paris 7		Lyon 1			Lille 1	Val de France			Le Mans Toulon
Strasbourg 1	Nancy 1			Tours Poitiers	Clermont 2				Artois Evry
	Aix Marseille 2	Rennes 1	Nantes				La Rochelle		Littoral CUFR Albi
Bordeaux 2	Paris 5		Nice	Dijon Besançon	Brest	Marne-la-Vallée	Cergy Corse	Avignon	Antilles- Guyane La Réunion
Montpellier 1 Lille 2		Clermont 1	Versailles	Limoges	Caen	Pau			Nîmes Nouvelle- Calédonie Polynésie
			Angers		Reims Rouen Amiens		Rennes 2		
Paris 1 Paris 10		Paris 12		Saint-Étienne			Strasbourg 2	Paris 8	
Aix Marseille 3	Lyon 3		Paris 13			Bordeaux 3	Grenoble 3	Aix Marseille 1	Paris 3 Paris 4
Toulouse 1 Paris 2		Bordeaux 4 Strasbourg 3	Grenoble 2 Perpignan	Nancy 2	Lille 3		Toulouse 2 Montpellier 3	Lyon 2	

**All universities in neighboring boxes are close (but not necessary in the same way)**



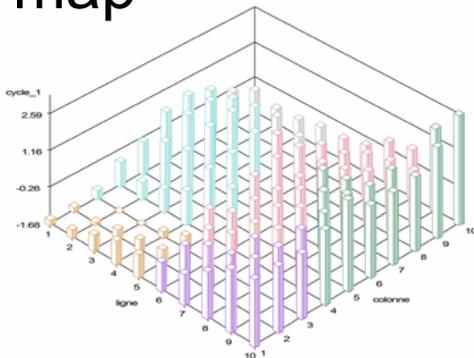
Paris 6	Paris 11	Grenoble 1	Toulouse 3		Bordeaux 1 Montpellier 2			Orléans	Chambéry
Paris 7		Lyon 1			Lille 1	Valenciennes	Mulhouse		Le Mans Toulon
Strasbourg 1	Nancy 1			Tours Poitiers	Clermont 2	Metz	Le Havre	Bretagne-Sud	Artois Evry
	Aix Marseille 2	Rennes 1	Nantes				La Rochelle		Littoral CUFR Albi
Bordeaux 2	Paris 5		Nice	Dijon Besançon	Brest	Marne-la-Vallée	Cergy Corse	Avignon	Antilles- Guyane La Réunion
Montpellier 1 Lille 2		Clermont 1	Versailles	Limoges	Caen	Pau			Nîmes Nouvelle- Calédonie Polynésie
			Angers		Reims Rouen Amiens		Rennes 2		
Paris 1 Paris 10		Paris 12		Saint-Étienne			Strasbourg 2	Paris 8	
Aix Marseille 3	Lyon 3		Paris 13			Bordeaux 3	Grenoble 3	Aix Marseille 1	Paris 3 Paris 4
Toulouse 1 Paris 2		Bordeaux 4 Strasbourg 3	Grenoble 2 Perpignan	Nancy 2	Lille 3		Toulouse 2 Montpellier 3	Lyon 2	

# Advantages of KACP method

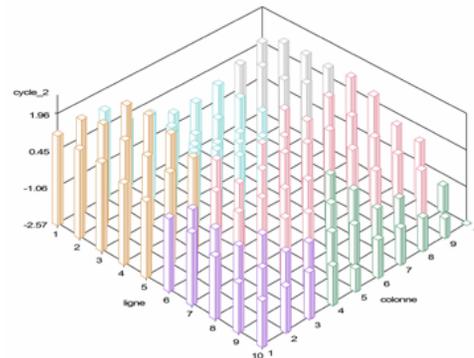
- It presents the results in a single plan
- It's possible to create some extra-clusters that consolidate similar individuals

Paris 6	Strasbourg 1	Paris 7	Paris 4	Paris 3	Strasbourg 2	Rennes 2		Paris 10	Paris 1
Paris 11		Paris 5		AixMarseille 1	Bordeaux 3 Grenoble 3				Toulouse 1 Paris 2
	AixMarseille 2	Bordeaux 2		Toulouse 2 Montpellier 3		Lille 3	Nancy 2	Lyon 3	AixMarseille 3
Toulouse 3	Lyon 1	Montpellier 1 Lille 2	Tours	Lyon 2			Grenoble 2	Bordeaux 4 Strasbourg 3	
Grenoble 1		Nancy 1	Rennes 1			Paris 8	Perpignan Paris 13		Clermont 1
Lille 1	Montpellier 2		Nantes		Poitiers		Paris 12	Nice Versailles	Angers
Bordeaux 1		Besançon Brest	Dijon Limoges			Cergy Corse			Caen Rouen
Clermont 2	Orléans		Mame-la-Vallée	Pau	Le Mans	La Rochelle		Saint Ebeune	Reims Amiens
Metz Valenciennes		Chambéry		Toulon Evry	Bretagne-Sud				
Mulhouse	Le Havre		Litoral Artois	CUFR Aiti		Avignon	Antilles- Guyane La Réunion	Nîmes	Nouvelle- Calédonie Polynésie

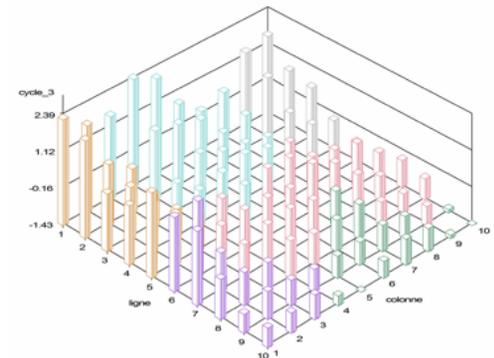
- It's possible to describe the variables distribution in the map



% students in Licence



% students in Master



% students in Doctorate

# Performance analysis

- As an example
  - “ Success rate of students obtaining a bachelor in 3 years ”
- This indicator
  - is derived from a cohort of students
    - enrolled in the final year of a bachelor course
    - for the first time at the start of the 2003 academic year
  - is monitored for three consecutive years

Paris 6	Paris 11	Grenoble 1	Toulouse 3		Bordeaux 1 Montpellier			Orléans	Chambéry
---------	----------	------------	------------	--	---------------------------	--	--	---------	----------

# Success rate of students obtaining a bachelor in 3 years (%)

Paris 7		Lyon 1			Limoges	Montpellier 2	Montpellier 3		Toulon
Strasbourg 1	Nancy 1			Tours Poitiers	Clermont 2	Metz	Le Havre	Bretagne- Sud	Artois Evry
	Aix Marseille 2	Rennes 1	Nantes				La Rochelle		Littoral CUFR Albi
Bordeaux 2	Paris 5						Cergy Corse	Avignon	Antilles- Guyane La Réunion
Montpellier 1 Lille 2		Clermont 1							Nîmes Nouvelle- Calédonie Polynésie
			Angers		Reims Rouen		Rennes 2		
Paris 1 Paris 10		Paris 12					Strasbourg 2	Paris 8	
Aix Marseille 3	Lyon 3		Paris 13			Bordeaux 3	Grenoble 3	Aix Marseille 1	Paris 3 Paris 4
Toulouse 1 Paris 2		Bordeaux 4 Strasbourg 3	Grenoble 2 Perpignan	Nancy 2	Lille 3		Toulouse 2 Montpellier 3	Lyon 2	

**In the grid, we can add the value of some indicators for each university to observe their performance**

**and use some colors to show the dispersion of the indicator**

Paris 6 (20.5)	Paris 11 (35.1)	Grenoble 1 (44.5)	Toulouse 3 (31.8)		Bordeaux 1 (49.6)			Orléans (47.3)	Chambéry (48.4)
<h2 style="text-align: center;">Success rate of students obtaining a bachelor in 3 years (%)</h2>									
Paris 7 (40.8)		Lyon 1 (37.2)			Lille 1 (34.8)	Valenciennes (38.0)	Nantes 2 (42.4)		Le Mans (41.7)
Strasbourg 1 (44.5)	Nancy 1 (47.4)			Tours (45.4) Poitiers (50.4)	Clermont 2 (42.7)	Metz (40.1)	Le Havre (39.2)	Bretagne-Sud (46.5)	Artois (42.8) Evry (42.1)
	Aix Marseille 2 (43.8)	Rennes 1 (42.7)	Nantes (43.3)				La Rochelle (50.2)		Littoral (46.9) CUFR Albi (42.9)
Bordeaux 2 (48.4)	Paris 5 (41.6)		Nice (38.7)	Dijon (46.0) Besançon (46.3)	Brest (50.1)	Marne-la-Vallée (46.0)	Cergy (44.4) Corse (48.3)	Avignon (45.9)	Antilles-Guyane (19.7) La Réunion (23.1)
Montpellier 1 (37.4) Lille 2 (43.0)		Clermont 1 (47.9)	Versailles (44.5)	Limoges (52.1)	Caen (35.5)	Pau (49.9)			Nîmes (52.8) Nle-Calédonie (18.8) Polynésie (15.2)
			Angers (52.8)		Reims (34.9) Rouen (42.9) Amiens (44.7)		Rennes 2 (48.7)		
Paris 1 (40.0) Paris 10 (41.8)	$X \leq Q1$ - $Q1 < X \leq Q2$ - $Q2 < X \leq Q3$ - $X > Q3$								(26.9)
Aix Marseille 3 (47.1)	Lyon 3 (41.6)		Paris 13 (29.9)			Bordeaux 3 (40.3)	Grenoble 3 (54.8)	Aix Marseille 1 (40.6)	Paris 3 (45.9) Paris 4 (46.8)
Toulouse 1 (46.9) Paris 2 (40.7)		Bordeaux 4 (31.4) Strasbourg 3 (40.4)	Grenoble 2 (46.6) Perpignan (43.9)	Nancy 2 (38.8)	Lille 3 (36.7)		Toulouse 2 (38.7) Montpellier 3 (44.1)	Lyon 2 (61.8)	

# Success rate of students obtaining a bachelor in 3 years (%)

Nantes (43.3)		
Nice (38.7)	Dijon (46.0) Besançon (46.3)	Brest (50.1)
Versailles (44.5)	Limoges (52.1)	Caen (35.5)

$X \leq Q1$  -  $Q1 < X \leq Q2$  -  $Q2 < X \leq Q3$  -  $X > Q3$

# Nat. Ranking Exam

< 500

< 1000

< 3000

HU/NC

Nat. Ranking Exam	< 500	< 1000	< 3000	HU/NC
POITIERS	4,0	10,3	38,7	0,51
AMIENS	4,3	10,7	39,3	0,51
ROUEN	8,0	15,3	58,3	0,53
<b>LILLE</b>	<b>10,0</b>	<b>21,0</b>	55,3	0,53
<b>TOURS</b>	<b>11,3</b>	<b>25,3</b>	59,3	0,53
NANCY	3,7	8,3	41,3	0,53
<b>ANGERS</b>	<b>10,3</b>	<b>22,7</b>	41,3	0,65
<b>NANTES</b>	<b>10,7</b>	<b>25,3</b>	41,3	0,67
BORDEAUX	5,0	14,3	64,3	0,70
RENNES	9,7	14,3	64,3	0,73
CLERMONT	8,0	14,3	55,0	0,74
<b>NICE</b>	13,0	14,3	60,3	0,77
<b>LYON</b>	10,0	14,3	64,0	0,79
PARIS 13	5,3	5,3	32,7	0,83
<b>GRENOBLE</b>	5,3	<b>25,3</b>	<b>67,3</b>	0,87
<b>MONTPELLIER</b>	5,3	<b>23,0</b>	<b>65,3</b>	0,93
STRASBOURG	9,7	<b>22,0</b>	53,7	0,94
TOULOUSE	9,3	<b>23,3</b>	62,3	0,98
MARSEILLE	13,7	<b>24,7</b>	68,0	1,01
VSQ	12,7	<b>21,7</b>	63,7	1,02
PARIS 7	10,7	18,3	61,0	1,15
PARIS 5	17,3	<b>26,7</b>	68,3	1,22
PARIS 6	11,3	<b>21,3</b>	63,5	1,28

**RANKING OF FRENCH MEDICAL SCHOOLS**

# Conclusions of the preliminary study

- Feasibility
  - this method provides an useful mapping of the French universities, taking their characteristics into account
- Usefulness
  - this typology is the first step for performance analysis
  - this multidimensional approach allows comparisons and rankings on a logical basis
- Applicability
  - the applicability of this method in other European universities needs further studies (CHE).

# Collaborative study



**DEPP**

**AERES**



MINISTÈRE DE  
L'ENSEIGNEMENT  
SUPÉRIEUR ET DE  
LA RECHERCHE

Yann Caradec

Denis Desprésaux

Daniel Vitry

Emmanuel Weisenburger

Jean-François Dhainaut

Benoit Labrousse

Philippe Nédélec

Didier Rabineau

Yannick Vallée

Conference 'International Comparison of Education  
Systems: a European Model', Paris 13-14 November 2008



Prof. dr. Frans van Vught

# Building a European Classification of Higher Education Institutions

Ideas, Concepts, Goals

# Definitions

## Diversity:

- The *level* of variety in a system at a specific point of time.

## Differentiation/Diversification:

- The *process* in which the diversity of a system increases.

# A General Distinction

External Diversity:

- differences *between* entities in a system.

Internal Diversity:

- differences *within* entities in a system.

# In Higher Education

## Systemic/Structural/Institutional Diversity:

- The level of variety in different *types of institutions*.

## Programmatic Diversity:

- The level of variety in *types of programmes* offered.

# History of Diversity in European Higher Education

## Middle Ages

“... the sixty or so universities of the medieval West were ... extremely various as regards their numbers, their intellectual orientations, their social role and the ... institutions themselves”.

“Nevertheless, ... the universities had, at least in ideal terms, a universalist vocation. Although of course situated in a particular town or country, they could wield an influence whose extent was determined ... simply by their intrinsic capacity to attract”.

*J. Verger, Patterns, in: A History of the University in Europe, Volume I, 1992*

# History of Diversity in European Higher Education

## Early Modern Europe (1500 – 1800)

“... it is possible to define a few major types of university institutions”.

“... universities in the strict sense of the term ..., recognized of legitimated by the de facto supreme authority in the territory by its granting the rights to award degrees”.

“... teaching academies, higher or illustrious schools ... which could claim university status but had not obtained all its privileges, especially that of awarding degrees”.

“... the college, teaching ... in the form of propaedeutic classes for university entrance or merely as an elementary form of higher education”.

*W. Frijhoff, Patterns, in: A history of the University in Europe, Volume II, 1996*

# History of Diversity in European Higher Education

## Modern Europe (1800 – )

“Of the sovereign states on the map of Europe in 1993, four had been formed in the sixteenth century, four in the seventeenth, two in the eighteenth, seven in the nineteenth, and no fewer than thirty-six in the twentieth”.

*N. Davies, Europe, A History , 1996*

“The political culture represented by the nation demanded cultural domestication and social standardization right from the start ... The university therefore took on the society-building role of providing a ‘national education’... Universities were to meet the needs of the modern state...”.

*B. Henningsen, A Joyful Good-Bye to Wilhelm von Humboldt, in: G. Neave et al (eds), The European Research University, 2006*

# History of Diversity in European Higher Education

## Trends

From a European system to national systems.

Formalization of diversity in national regulation.

Increasing but “hidden” institutional diversity.

# The European Higher Education Area (EHEA)

## **Sorbonne declaration (1998):**

“harmonization of the architecture of the European higher education system”.

## **Bologna declaration (1999):**

“to achieve greater compatibility and comparability ... taking full respect of the diversity of cultures, languages, national education systems and university autonomy”.

# The EHEA

## Outcomes

Trends Reports (Reichert & Tauch, 2003, 2005; Crosier, Purser & Smidt, 2007):

- increasing implementation of structural changes (two or three cycles, ECTS, Diploma Supplement);
- different national interpretations;
- large variety of operationalisations.

# Diversity in the EHEA

## General picture

Macro-level structural convergence.

Large (increased?) meso- and micro-level diversity.

# Diversity in the EHEA

Recreation of an *European* system (structural convergence).

Still diversity between *national* systems.

Large, hidden *institutional* diversity remains.

# Diversity in the EHEA

- Diversity is a strength!
- Needs to be made transparent
- By means of a European classification

# Classifications are International Phenomena

- Carnegie Classification (USA): 1973, 1976, 1994, 2000, 2006
- Chinese higher education classification: 2007

# Functions of European Classification of Higher Education Institutions

- Profiles European higher education at a global scale
- Offers relevant information to stakeholders and clients
- Provides basis for effective policies and investment strategies
- Allows institutional development strategies
- Facilitates benchmarking, networking and partnerships
- Is a prerequisite for rankings

# Classification and Rankings

- the methodologies of ranking are judged to be ‘simplistic and lacking transparency’. (Hazelkorn, 2007)
- ‘with increasing competition between institutions, ... it is likely that rankings will continue to grow in importance ... Further consideration and acknowledgement of wider factors (than in a single league table only) should be considered so that the diversity of institutional mission and focus is taken into account’. (HEFCE, 2008)

# The Classification Project

- stakeholders approach: exploration and discussions
- first phase: basic design principles
- first phase: first set of dimensions and indicators
- second phase: second adapted set of dimensions and indicators

# Design principles

- inclusive for all European HEIs
- a posteriori information
- multi-dimensional
- non-hierarchical
- focus on 'objective' data

# Design principles

- non-prescriptive
- flexible
- parsimonious regarding extra data-needs
- related to European Register of Quality Assurance Agencies

# First Version of a European Classification

*Based on:*

- interaction with stakeholders
- analysis of existing data sources
- in-depth case studies
- survey, to assess relevance, validity, reliability and feasibility

# First Version of a European Classification of HEIs

**Education**

**Research and  
innovation**

**International  
orientation**

**Size and  
setting**

**Community  
engagement**

# First Version of a European Classification of HEIs

## Education

- ❖ Highest degree offered (degree level)
  - ❖ *degrees/diplomas granted per level*
- ❖ Subject mix
- ❖ Orientation of programmes
  - ❖ *number of programmes offered for licensed professions*
- ❖ Involvement in LLL
  - ❖ *number of mature (> 30 years) students as % of total enrollment*

# First Version of a European Classification of HEIs

## Research and innovation

### ❖ Research intensiveness

- ❖ peer reviewed publications per academic staff
- ❖ scientometric 'crown' indicator

### ❖ Innovation intensiveness

- ❖ Financial volume privately funded research as % of total financial volume
- ❖ Number of start-ups
- ❖ Number of filed patents
- ❖ Income from licensing

# First Version of a European Classification of HEIs

## ❖ Teaching and staff

- ❖ international degree seeking students as % of total number of students
- ❖ incoming international/European exchange students as % of total number of students
- ❖ outgoing international/European exchange students as % of total number of students
- ❖ joint international programmes as % of total number of programmes offered
- ❖ programmes offered abroad
- ❖ fte international academic staff as % of total academic staff

International orientation

# First Version of a European Classification of HEIs

**International orientation**

## ❖ Research

- ❖ Financial turnover in EU research programmes as % of total financial research volume

# First Version of a European Classification of HEIs

## size and settings

### ❖ Size

- ❖ Total number of students (per degree level)
- ❖ Total number of fte's academic staff
- ❖ Total financial turn over per year

### ❖ Mode of delivery

- ❖ distance learning programmes as %
- ❖ Part-time programmes as %

### ❖ Public/private character

- ❖ Income from government sources as % of total income

### ❖ Legal status

# First Version of a European Classification of HEIs

## Community engagement

- ❖ Cultural engagement
  - ❖ *Number of concerts*
  - ❖ *Number of exhibitions*
- ❖ Regional engagement
  - ❖ Graduates in the region
  - ❖ Turnover in EU structural funds
  - ❖ Extra-curricula courses for region
  - ❖ Importance of regional income

# Next steps

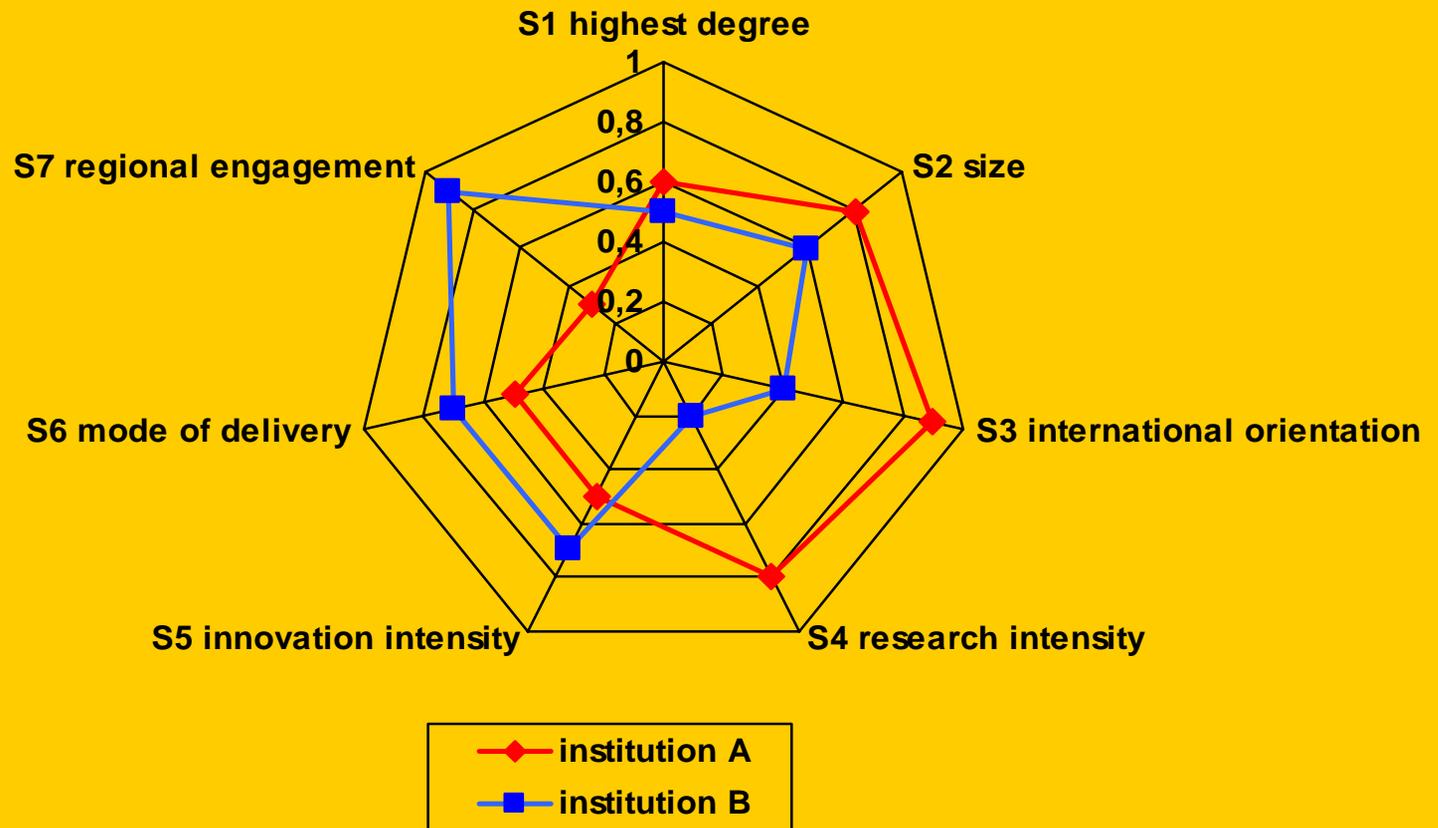
- work in progress
- further statistical analyses
- reduce number of dimensions
- develop on-line tool
- communication process with stakeholders and preview
- 'communities' for special dimensions
- institutionalisation and ownership

# Future use of the Classification

- providing information to stakeholders and clients about characteristics of a higher education institutions

**Examples**

# Future use of the Classification



Examples

# Future use of the Classification

- Providing assistance to institutional strategies and inter-institutional partnerships, benchmarking, and networking

**Examples**

# Future use of the Classification

## Selecting schemes and classes

highest degree	doctorate, master dominated	▼
international orientation research	low	▼
international orientation; students	high	▼
research intensity	medium	▼
mode of delivery	low part-time	▼
size category	medium sized	▼

Preview selected  
institutions

Examples

# The European Classification of Higher Education Institutions

- is about 'mapping' the field of higher education in Europe
- join the further development of this instrument
- see: [www.u-map.eu](http://www.u-map.eu)

# A European Classification of Higher Education Institutions

[www.u-map.eu](http://www.u-map.eu)

Thank you for your attention!



Education and Culture DG

Lifelong Learning Programme

SOCRATES



*This project has been funded with support from the European Commission.*

*This presentation content reflects the views only of the author. The Commission cannot be held responsible for any use which may be made of the information contained therein.*

# Academic Ranking of World Universities

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**By Professor Nian Cai LIU**

**Graduate School of Education, Shanghai Jiao Tong University, China**

**November 13, 2008**

# *Outline*

1

**Globalization of Rankings**

2

**Purposes of ARWU**

3

**Methodologies of ARWU**

4

**Problems of ARWU**

5

**Performance of Europe**



# Globalization of Rankings

# National Rankings

- ★ **Best Colleges and Best Graduate Schools of US universities by US News & World Report, starting from 1983.**
- ★ **Since then, there have been university rankings in UK (1986), Germany (1989), Canada (1991), Japan (1993), China (1996).**
- ★ **In recent years, university rankings have appeared in Russia, Australia, many countries in Eastern Europe, Latin America, and Asia.**
- ★ **There is university ranking in almost every major country of the world.**

# Global Rankings

- ★ **June 2003, Academic Ranking of World Universities by the Institute of Higher Education of Shanghai Jiao Tong University.**
- ★ **November 2004, Top Universities of the World by Times Higher Education Supplement.**
- ★ **Since then, several other global university rankings have appeared.**

# IREG

- ★ **International Ranking Expert Group**

  - 1st meeting in Washington DC in December, 2004

  - 2nd meeting in Berlin in May, 2006

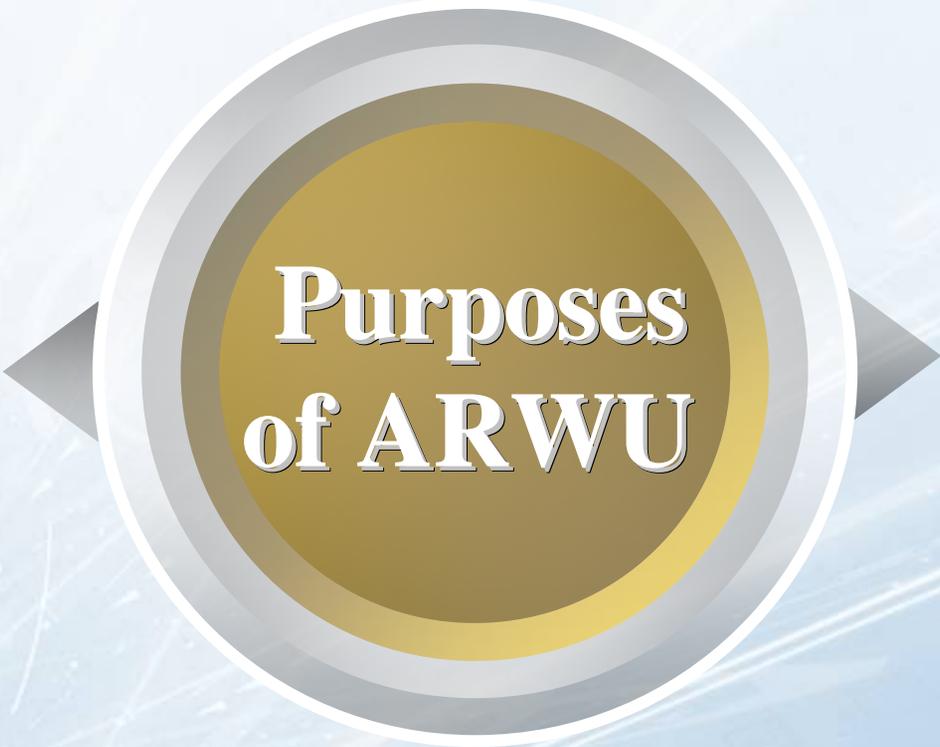
  - 3rd meeting in Shanghai in November, 2007

  - 4th meeting in Astana in June, 2009

- ★ **Berlin Principles: guidelines for good practice in doing and using rankings**

- ★ **IREG-International Observatory on Academic Ranking and Excellence established in April, 2008**

  - <http://www.ireg-observatory.org/>



# Purposes of ARWU

# *Goals of Top Chinese Universities*

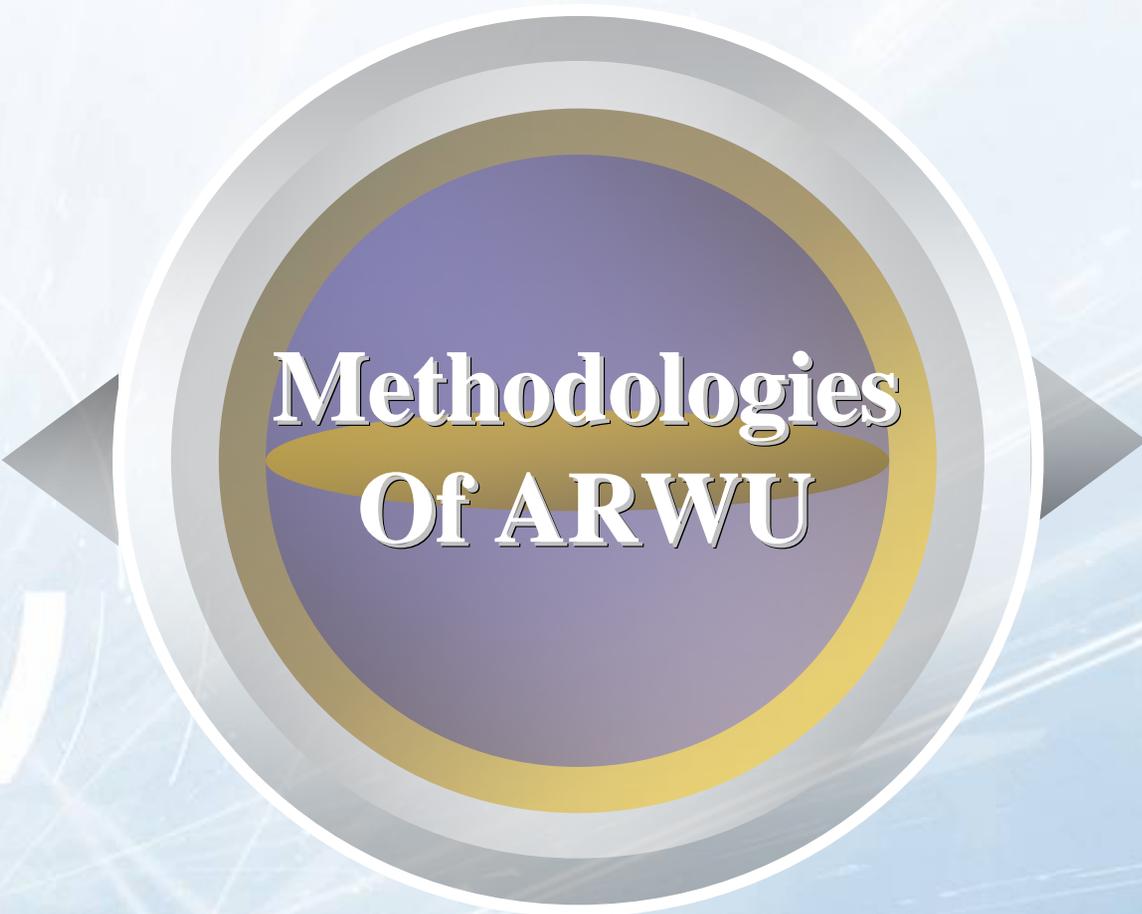
- **Recently, Chinese government has launched several initiatives for research universities. The best-known one is specially designed to build WCU (985 Project).**
- **Many top Chinese universities have setup their strategic goals as WCU.**
- **Most of them have also set time tables for achieving the goal of WCU. For example:  
2016 for Peking University  
2020 for Tsinghua University**

# *Questions About WCU*

- **What is the definition of WCU?**
- **How many WCU should there be in the world?**
- **What are the positions of top Chinese universities in the world?**
- **How can Chinese universities improve themselves to reach the goal of WCU?**

# *Academic Ranking of World Universities*

**Our original purpose of doing the Academic Ranking of World Universities (ARWU) was to find out the position of Chinese universities in the world and the gap between them and WCU.**



# Methodologies Of ARWU

# *Selection of Universities*

- **Any university that has any Nobel Laureates, Fields Medals, Highly Cited Researchers, or papers published in Nature or Science.**
- **Major universities of every country with significant amount of papers indexed by Thomson Reuters.**
- **Number of universities scanned: >2000**
- **Number of universities actually ranked: >1000**
- **Number of ranked universities on our web: 500**

# *Features*

**The ranking methodology of both ARWU and ARWU-FIELD are transparent, with all the details on our website <http://www.arwu.org>**

**We use only a few carefully selected, objective criteria and internationally comparable third-party data that **everyone could verify in some way.****

# ARWU Criteria and Weights

Criteria	Indicator	Code	Weight
Quality of Education	Alumni of an institution winning Nobel Prizes and Fields Medals	Alumni	10%
Quality of Faculty	Staff of an institution winning Nobel Prizes and Fields Medals	Award	20%
	Highly cited researchers in 21 broad subject categories	HiCi	20%
Research Output	Articles published in Nature and Science*	N&S	20%
	Articles indexed in Science Citation Index-expanded, and Social Science Citation Index	PUB	20%
Per Capita Performance	Per capita academic performance of an institution	PCP	10%
<b>Total</b>			<b>100%</b>

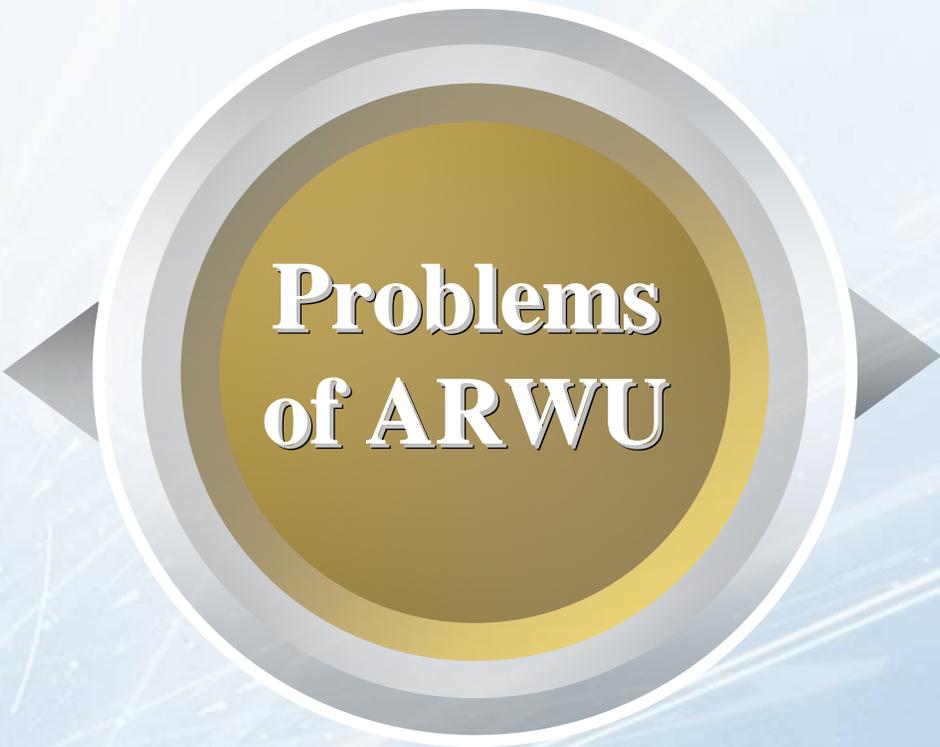
\* For institutions specialized in humanities and social sciences such as London School of Economics, N&S is not considered, and the weight of N&S is relocated to other indicators.

# ARWU-FIELD *Indicators and Weights*

<b>Code</b>	<b>SCI</b>	<b>ENG</b>	<b>LIFE</b>	<b>MED</b>	<b>SOC</b>
<i>Alumni</i>	<b>10%</b>		<b>10%</b>	<b>10%</b>	<b>10%</b>
<i>Award</i>	<b>15%</b>		<b>15%</b>	<b>15%</b>	<b>15%</b>
<i>HiCi</i>	<b>25%</b>	<b>25%</b>	<b>25%</b>	<b>25%</b>	<b>25%</b>
<i>TOP</i>	<b>25%</b>	<b>25%</b>	<b>25%</b>	<b>25%</b>	<b>25%</b>
<i>PUB</i>	<b>25%</b>	<b>25%</b>	<b>25%</b>	<b>25%</b>	<b>25%</b>
<i>Fund</i>		<b>25%</b>			

# *Main Sources of Data*

- **Nobel laureates:**  
<http://www.nobel.se>
- **Fields Medals:**  
<http://www.mathunion.org/medals/>
- **Highly-cited researchers:**  
<http://www.isihighlycited.com>
- **Articles published in *Nature* and *Science*:**  
<http://www.isiknowledge.com>
- **Articles indexed in SCIE and SSCI:**  
<http://www.isiknowledge.com>



# Problems of ARWU

# *Controversial*

**Any ranking is controversial. No ranking is absolutely objective.**

**There are many problems and limitations in ARWU and ARWU-FIELD, which are discussed in details in relevant articles and PPT on our website.**

**We greatly welcome any suggestions and recommendations to improve our ranking.**

# *Methodological Problems*

- **Education and service**
- **Humanities and social sciences**
- **Language bias**
- **Award selection**
- **Size dependence**

# *Technical Problems*

- **Attribution of awards and publications**
- **Definition of institutions**
- **Merging and splitting of institutions**
- **---**

# *Efforts*

- **Study all the methodological and technical problems and continuously improve the rankings.**
- **Offer diversified rankings of universities with different size, history, budget, functions, and disciplinary characteristics etc.**
- **Provide more user-friendly, customized ranking presentations on the website.**



# Performance of Europe

# *Performance in ARWU 2008*

Region	Top 20	Top 100	Top 200	Top 300	Top 400	Top 500
America	17	58	99	136	163	190
Europe	2	34	79	124	168	210
Asia/Pacific	1	8	22	41	68	100
Africa				1	2	3
Total	20	100	200	302	401	503

## *More Top Universities?*

- **Europe has many great universities, more universities in the top 500 than US. However, it has less universities in the top 100, much less in the top 20.**
- **If Europe wants to have more universities in the top list of the world, prioritized treatment of a small number of leading universities may be necessary.**

# *Top 500 from 2003 to 2008*

<b>Region</b>	<b>2004</b>	<b>2005</b>	<b>2006</b>	<b>2007</b>	<b>2008</b>
<b>America</b>	39.8%	39.6%	39.2%	38.6%	37.8%
<b>Europe</b>	41.6%	41.0%	41.4%	40.8%	41.7%
<b>Asia/Pacific</b>	17.7%	18.6%	18.4%	19.6%	19.9%
<b>Africa</b>	0.8%	0.8%	1.0%	1.0%	0.6%

## *Less Great Universities?*

- **In the age of knowledge economy, many Asian countries have excellence initiatives such as COE, BK21, 985 project, etc.**
- **As a result, the performance of Asian institutions is becoming better. The average annual increase in the top 500 list is 0.5% in the past four years.**
- **In that sense, European institutions will face increasing competition from Asia.**



**Final  
Remarks**

# *Classification of World HEI*

- **There is a proposal to hold an international symposium on the classification of HEI.**
- **The purpose of the symposium is to investigate the possibility of carrying out a classification of all HEI in the world.**
- **The symposium will be hosted by the Carnegie Foundation for the Advancement of Teaching.**

# *Benchmarking of European HE&R*

- **Benchmarking of European higher education and research with relevant regions in the world is absolutely necessary.**
- **Governments and academics in the relevant regions may be invited to participate in such benchmarking.**

# Thank You Very Much!

<http://gse.sjtu.edu.cn/>

<http://www.arwu.org>

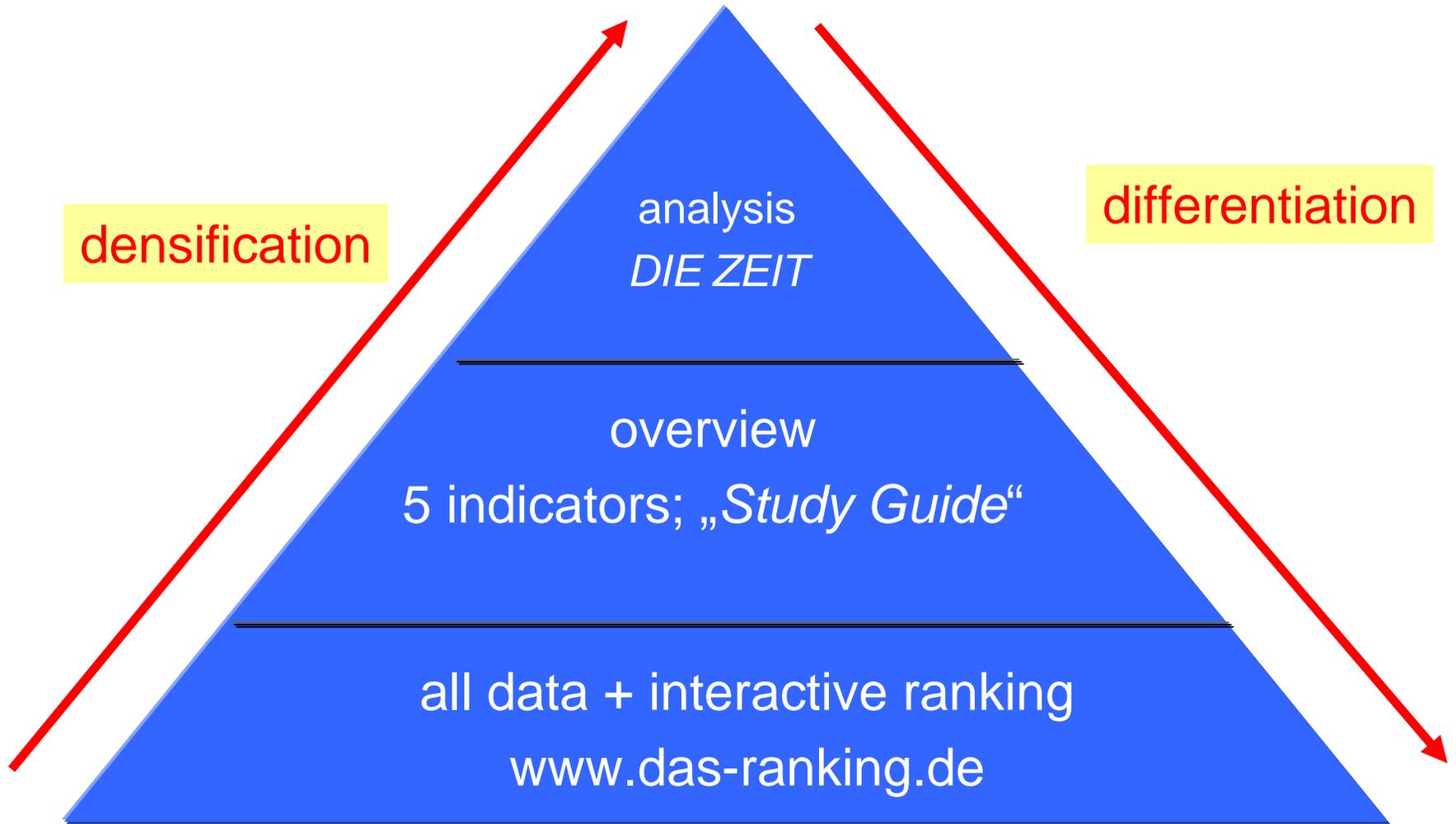
# Main lessons to be learnt from CHE rankings

Prof. Dr. Frank Ziegele  
Paris | November 13th, 2008

- CHE Centre for Higher Education Development founded in 1994
- from the beginning: development and implementation of a ranking of German HEI as one of the major projects
- achievements: yearly ranking of most-studied subjects in 3-years-cycle, research ranking, employability rating, international excellence ranking

- 2/3 of German students use rankings in choice of universities
- Internet as major tool: 1 Million clicks per month on German version, 400.000 on English version

many experiences,  
take out some major lessons learnt



Rankings have to be designed according to the needs of their target groups.

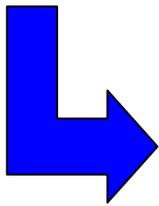
Rankings differ by target groups, particular goals:

- information for prospective students (US News, CHE)
- information about global positioning (Shanghai, THES)
- Information for HE community (Germany: National Science Foundation Ranking of Research Grants, CHE Research Ranking)

students as target group of (most) rankings are the least informed group on higher education, focus of CHE  
→ need for reduction of complexity of information



Higher education institutions themselves use data for comparison  
→ need for detailed & sophisticated information



Rankings have to find a balance in order to both reach target group & get acceptance within HE

Rankings have to be made on the level of fields/disciplines to get an adequate perspective for comparisons and information on performance.

## Linguistics and Civilization Studies, Psychology

[Education Science](#)

[English/North American Studies](#)

[German Language and Literature](#)

[History](#)

[Psychology](#)

## Engineering Sciences

[Architecture](#)

[Civil Engineering](#)

[Electrical and Information Engineering](#)

[Industrial Engineering](#)

[Interior Design](#)

[Mechanical Engineering](#)

[Physical and Instrumental Engineering \(FH\)](#)

[Process- and Chemical Engineering](#)

[Surveying \(FH\)](#)

## Natural sciences, Mathematics, Computer Science

[Biochemistry](#)

[Biology](#)

[Chemistry](#)

[Computer Science](#)

[Food Chemistry](#)

[Mathematics](#)

[Pharmacy](#)

[Physics](#)

[Technical Computer Science](#)

## Legal, Economic and Social Sciences

[Business Administration](#)

[Business and Economics Education](#)

[Commercial/Business Law](#)

[Economics](#)

[Law](#)

[Nursing](#)

[Political Science](#)

[Social Policy and Social Work](#)

[Sociology/Social Science](#)

Rankings have to be multidimensional. This creates flexibility and informed student choice. Strengths and weaknesses get transparent. Overall scores reduce complexity too much.

## 1. Step: Personal indicators 2. 3. 4.

Please select up to **five** criteria from those available for the subject. Here is an (F) for facts and a (S) for students' opinion.

### Academic studies and teaching

- F** E-Learning (S)
- F** Contact between students (S)
- F** Contact students-teachers (S)
- F** Courses offered (S)
- F** Specialist studies consultancy (S)
- F** Study organisation (S)
- F** Practice Support (S)
- F** Counselling (S)

### Equipment

- F** PC-equipment (S)
- F** Media equipment (S)
- F** Workstations (S)
- F** Rooms (S)
- F** Library (S)

### Job market and career-orientation

- F** Employment market related Programmes (S)

### Overall opinion students and professors

- F** Overall assessment (S)
- F** Research Reputation
- F** Professors' tip

### Research

- F** many doctorates (F)
- F** much third party funding (F)

### Result of study

- F** short duration of studies (F)

### Study location and higher education institution

- F** lots of higher education sport (F)
- F** low rent (F)
- F** small college location (F)
- F** Higher education sport (S)



20 – 25 indicators ...

Rankings have to build groups instead of league tables. This ensures substantial differences between the groups.

Please select a sort sequence

	Students' opinion	Duration of Studies	Equipment	Research	Professors' tip
<a href="#">RWTH Aachen</a>	red	yellow	yellow	yellow	green
<a href="#">Uni Augsburg</a>	green	yellow	yellow	red	yellow
<a href="#">Uni Bayreuth</a>	yellow	yellow	green	red	yellow
<a href="#">FU Berlin</a>	yellow	yellow	green	yellow	yellow
<a href="#">HU Berlin</a>	yellow	yellow	yellow	yellow	yellow
<a href="#">TU Berlin</a>	red	yellow	red	yellow	yellow
<a href="#">Uni Bielefeld</a>	grey	red	yellow	yellow	yellow
<a href="#">Uni Bochum</a>	yellow	yellow	yellow	yellow	yellow
<a href="#">Uni Bonn</a>	yellow	red	yellow	yellow	yellow
<a href="#">TU Braunschweig</a>	yellow	red	red	yellow	yellow
<a href="#">IU Bremen</a>	grey	grey	grey	grey	grey
<a href="#">Uni Bremen</a>	grey	red	yellow	green	yellow
<a href="#">TU Chemnitz</a>	yellow	grey	yellow	red	yellow
<a href="#">TU Clausthal</a>	grey	grey	yellow	red	yellow
<a href="#">BTU Cottbus</a>	grey	grey	yellow	red	red
<a href="#">TU Darmstadt</a>	yellow	green	yellow	yellow	yellow
<a href="#">Uni Dortmund</a>	green	green	yellow	red	yellow
<a href="#">TU Dresden</a>	yellow	green	yellow	yellow	yellow
<a href="#">Uni Duisburg-Essen/Duisb.</a>	yellow	yellow	red	yellow	yellow
<a href="#">Uni Duisburg-Essen/Essen</a>	grey	grey	green	yellow	yellow
<a href="#">Uni Düsseldorf</a>	yellow	red	yellow	red	red

top  
 medium  
 bottom

Rankings have to find indicators and measurement approaches which create a good balance between different perspectives.

## Aspects of balance

study duration  
+ satisfaction

facts  
+  
opinions

students, profs,  
graduates, facul-  
ties, databases

infor-  
mation  
sources

teaching  
+  
research

specification  
of teaching  
+ research

ranked indicators  
+ informations

bibliometry,  
3rd party funds,  
reputation

Rankings do only work if they are accepted by the HEI as a useful and necessary tool. To ensure this a variety of activities is needed.

- disciplinary advisory boards and feedbacks to adapt indicators to field culture (especially in the research context)
- maximum transparency of methods
- provide useful information tools for internal management of HEIs (SWOT, benchmarking...)
- permanent communication
- measures against manipulation (and no use for funding)

Rankings of all European HEI are not useful. International rankings have to focus on comparable institutions and relevant markets.

- enlargement of German ranking: German speaking or by German students frequented programs in neighbour countries (relevant market) – other European clusters?
- excellence ranking: focus on master and Ph.D. studies in HEIs of outstanding research excellence, Europe-wide (relevant market + comparable institutions)

[www.excellence-ranking.eu](http://www.excellence-ranking.eu)

- European rankings have to be based on classifications (comparable institutions)

# Thank you very much!

More information:

[www.che-ranking.de](http://www.che-ranking.de)

Mailto: [frank.ziegele@che-concept.de](mailto:frank.ziegele@che-concept.de)

**Feasibility study for creating a  
European university data collection**  
*A joint European Commission project  
by  
DGs Research, Eurostat, Education and Culture*

Michel Glaude

Director of Social Statistics and Information Society,  
Eurostat, EU Commission

[Michel.Glaude@ec.europa.eu](mailto:Michel.Glaude@ec.europa.eu)

# Universities

- Are central as producers, transmitters, transformers of knowledge
- Are nowadays asked for new missions, - in new types of national and international environments
- Are identified as significant elements for the EU's strategy for growth and jobs; including for the European Research area and the Education and Training 2010 initiatives
  - but
- are poorly described and known, from a statistical perspective

# Data on universities

- Are aggregated at national or regional level (from official statistics)
- Are difficult to collect in a harmonised way, due to the numerous barriers (lack of common definitions, language and country barriers)
- Have been collected conscientiously by a couple of research projects with limited country coverage
- - But have not been the object of a systematic and sustainable statistical data production

# Objectives of the feasibility study for creating a European university data collection

- At best: to provide regularly data on individual universities, based on a sustainable data collection mechanism, harmonised at the EU level
- Basic data are targeted, which could form the structure of potentially more elaborated data bases by researchers
- The basic data should allow analyses by researchers and policy makers over time
- The intention is not another ranking neither another typology
- - but reliable, validated and repeated basic data, comparable at EU level

# Data availability and methodology

- In a majority of Member States, these data are available at statistical offices or/and education/research ministries
- - But, often they are partly or totally confidential due to the nature of the statistical system.
- No common typologies (concepts and definitions) exist throughout the EU.
- - But the statistical infrastructures exist for overcoming such issues.

# Feasibility Study for creating a European university data collection

- Launched by DG Research, supported by Eurostat and with the participation of DG Education and Culture
- Aiming at
  - Proposing a sustainable infrastructure for collecting the data on a regular basis
  - Developing the methodological components (concepts, definitions, variables and breakdowns to collect)
  - Collect first set of data on a pilot basis
- 15 months duration. Scheduled to start in early 2009.

## After the feasibility study

- Depending on its results, the idea would be that Eurostat collects and makes data available regularly
- Information on single universities (Eurostat has the infrastructure for protecting and treating confidential data)
- Preferably through data collection by national authorities
- That could be complemented by data from other sources (bibliometrics, patents, ...)
- To allow researchers and policy makers to analyse the database for policy purposes.....both from a research and an educational point of view

# Contact points at Eurostat

- Jean-Louis Mercy and Lene Mejer  
Unit F4 Education, Science and Culture statistics

[Jean-Louis.Mercy@ec.europa.eu](mailto:Jean-Louis.Mercy@ec.europa.eu)

[Lene.Mejer@ec.europa.eu](mailto:Lene.Mejer@ec.europa.eu)

- Thank you for your attention -



## Atelier 2 : Enseignement supérieur Typologie et classement des établissements d'enseignement

### Session 3: Table Ronde - Repères pour l'action

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- The "Berlin Principles" and the Politics of European Rankings  
**presentation\_gero\_Federkeil**
- Typology and Rankings for the European HEIs: conclusions of the Scientific Committee  
**presentation\_ghislaine\_Filliatreau**
- Diversity in Higher Education!: the role and impact of rankings and classifications  
**presentation\_marijk\_Vanderwende**

# The „Berlin Principles“ and the Politics of European Rankings

Gero Federkeil  
CHE – Centre for Higher Education Development

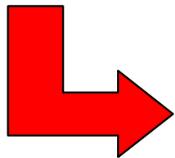
"INTERNATIONAL COMPARISON OF EDUCATION  
SYSTEMS: A EUROPEAN MODEL?  
Paris, 13th/14th November 2008

- formulated in 2006 by IREG – International Observatory on Academic Ranking and Excellence
  
- IREG: joint platform of
  - people/institutions who are doing rankings
  - people who are doing research on rankings
  
- to have exchange and discussion on rankings (methodology, impacts, politics)
  
- started as an informal group; 2007 more formal structure: turning into a membership organisation

- first attempt to define minimum standards of good ranking practice for evaluation and improvement of rankings
  
- 4 aspects:
  1. Purposes and goals of rankings
  2. Design and Weighting of Indicators
  3. Collection and processing of data
  4. Presentation of ranking results

## Background for European rankings: Emergence of the European Higher Education Area (EHEA)

- growing mobility of students (mainly from Bachelor to Master ?)
- growing mobility of academic staff
- interplay of co-operation and competition between institutions



Growing demand for transparency & information about EHEA

*Principle 2: Rankings should:*

*“Be clear about their purpose and their target groups. Rankings have to be designed with due regard to their purpose.”*

Both students and researchers are interested in information about „their“ field/programme

➔ Rankings should be field-based, not for whole institutions

*Principle 2: Rankings should:*

*“Be clear about their purpose and their target groups. Rankings have to be designed with due regard to their purpose.”*

Students have different preferences/priorities

➔ Rankings should be multi-dimensional and leave the prioritisation of indicators to users

*Principle 3/5: Rankings should:*

*“Recognize the diversity of institutions and take the different missions and goals of institutions into account.”*

and

*“Specify the linguistic, cultural, economic, and historical contexts of the educational systems being ranked”*

As a „market instrument“ rankings should refer to defined markets or groups of „products“/ programmes

- common ranking of all European (4.000?) HEIs does not make sense
  
- definition of types/clusters of universities as basis for European rankings: European classification
  - e.g. ranking of top European research universities, CHE Excellence Ranking
  - MBA ranking

As a „market instrument“ rankings should refer to defined markets / groups of „products“/programmes

- undergraduate education: consortium of *regional* European rankings  
e.g. Germany, Austria, Switzerland, Netherlands (CHE ranking), Scandinavia, French speaking HEI systems etc.
- regional institutions: European rankings are more interesting for institutions themselves in terms of benchmarking and hence need different indicators

# The „Berlin Principles“ and the Politics of European Rankings

Gero Federkeil  
CHE – Centre for Higher Education Development

"INTERNATIONAL COMPARISON OF EDUCATION  
SYSTEMS: A EUROPEAN MODEL?  
Paris, 13th/14th November 2008



# Typology and Rankings for the European HEIs: conclusions of the Scientific Committee

On behalf of the Scientific Committee for the Paris Conference  
Ghislaine Filliatreau (OST, Paris, France)



To prepare this event of the French Presidency, an international Scientific Committee (SC) has been set up in november 2007, in order to

- **make a point about typologies and rankings used in Higher Education and Research,**
- consider the opportunity to use such an exercise, primarily **targeted to internationally mobile students and young scholars,**
- propose an **action** which could be implemented **at the European level.**

## The composition of the Committee

- **Prof. Jean-Marc MONTEIL, Président** , ancien Président de l'Agence d'Evaluation de la Recherche et de l'Enseignement Supérieur (AERES), ancien Directeur Général de l'Enseignement Supérieur (DGES), ancien Recteur, ancien Premier Vice-Président de la Conférence des Présidents d'Universités (CPU), France
- **Prof. Louis CASTEX**, Directeur de l'Institut National des Sciences Appliquées (INSA), Toulouse, France
- **Dr. Eric CHARBONNIER**, Organisation de Coopération et de Développement Economiques (OCDE), Paris, France
- **Dr. Denis DESPREAUX**, Directeur Adjoint à la Direction de l'Evaluation, de la Prospective et de la Performance (DEPP), ministère de l'Enseignement Supérieur et de la Recherche, Paris, France
- **Dr. Béatrice D'HOMBRES**, Union Européenne (UE), Ispra, Italie
- **Prof. Eric ESPERET**, Délégué Général de la Conférence des Présidents d'Universités (CPU), France
- **Dr. Gero FEDERKEIL**, Center for Higher Education Development (CHE), Gütersloh, Allemagne
- **Dr. Ghislaine FILLIATREAU**, Directrice de l'Observatoire des Sciences et Techniques (OST), Paris, France
- **Prof. Philippe NEDELEC**, Agence d'Evaluation de la Recherche et de l'Enseignement Supérieur (AERES), Paris, France
- **Prof. Jan SADLAK**, Directeur du Centre Européen pour l'Enseignement Supérieur-UNESCO (CEPES), Bucarest, Roumanie
- **Prof. Claude Sauvageot**, Direction de l'Evaluation, de la Prospective et de la Performance (DEPP), ministère de l'Enseignement Supérieur et de la Recherche, Paris, France
- **Prof. Marijk VAN DER WENDE**, présidente de l'IHME, OCDE
- **Prof. Philippe VIDAL**, Direction Générale de l'Enseignement Supérieur (DGES), ministère de l'Enseignement Supérieur et de la Recherche, Paris, France



## The Scientific Committee's analysis

- There is no one-size-fits-all approach regarding **quantitative** information (typology, ranking, benchmark ..)
- Ranking especially must be carefully designed in order to answer the **specific goals and target** groups while respecting the **diversity** of the European higher education institutions and systems.
- **Europe has to create the appropriate quantitative instruments** to promote its values,
- **Internationally mobile graduate students** are likely to use international rankings.

- **Rankings are popular among students**, because they are **easy-to-use** and because they are not challenged by more reliable information
- Most rankings are too simplistic, based on poor data, unable to tackle the diversity of the European HEIs and their institutional contexts
- In this respect, **multidimensional rankings**, which **are by far more informative** about the various institutions **while remaining easy-to-use**, could be the most appropriate answer
- A very attractive exemple is the multidimensional ranking created by the german Center for Higher Education Development (CHE), to help **prospective students** and their family to make better informed choices



- One of the main issue regarding multicriteria ranking is that, the more precise they are, the more country-specific they remain.
- This will require a collaborative efforts to establish reliable, comparative European measures in the field of information for students on all the missions of the European HEIs that deserve consideration



- The **SC** also considered **typology/classification exercises** and concluded that they can be used to enrich the exploitation of the ranking exercises, since **they allow to compare the performances of institutions with similar missions**, and help to avoid meaningless comparisons,
- The question of the comparability, which again is a major issue, is currently tackled up by the project supported by the EC (DG EAC), "Mapping Diversity", coordinated by the Dutch research centre CHEPS and based on the experiences of the US Carnegie Classification.



- Therefore, the SC proposes to build a multidimensional ranking, which would provide a “**mapping of excellence(s) in Europe**”, and mainly **targeted to the internationally mobile graduate students and young scholars**, to whom it will offer a pertinent, reliable and customizable information.



Since it is mainly targeted to internationally mobile students, this mapping should :

- cover all the three cycles of education (Bachelor, Master, PhD) –beginning with the **Master and PhD** degrees
- provide information at the level of **field/discipline/programme**,
- provide additional data on the **local-regional integration** of each HEI (included are scientific and educative partnerships, socio-economic environment and facilities . ),
- include universities in **other regions** of the world.



it should also :

- follow the Berlin principles,
- best be build with the HEIs on a voluntary basis, and be steered by an **independent consortium**
  - able to cooperate with a **network of national partners** through which **national data** will be processed using **shared** methodologies,
  - able to take advantage of the know-how and existing practices in Europe, as well as of the projects currently supported by the EC.



- Hence the invitation made by the French Presidency to the European Commission to **launch a Call for Tender to test the feasibility of this “mapping of excellence(s)” exercise, in order to provide the first results in 2010.**



- **This mapping of excellence(s)** will contribute to promote European values and enhance **the transparency** about the HEIs while preserving their valuable **diversity**,
- Hence, it will **contribute to the next phase of the Bologna Process**
- Being targeted mainly **to the internationally mobile students and young scholars**, it will encourage their mobility and help them to focus on what is really important for their formation.

# Diversity in Higher Education: the role and impact of rankings and classifications

Prof. dr. Marijk van der Wende  
Presidente IMHE

# Mission and diversity of higher education institutions

- As the number of students has grown, the number of higher education institutions, and the diversity of their mission is growing too.
- It has become difficult to consider them as a homogeneous group, and with massification and the emergence of the knowledge society, diversity of institutional profile and mission in HE becomes important.
- Prioritization of activities and choice of mission have become a strategic concern of institutions in many countries.
- Governments increasingly seek to enhance excellence and diversity at system level.

# Questions and Issues

- How are rankings affecting public perceptions of higher education?
- What is their impact on institutional and governmental behavior and strategy?
- How could rankings be improved?
- How should institutions be compared and grouped?
- What is the relationship between classifications/typologies and ranking?
- How do the various regional approaches to classification compare and can they be linked to develop into a global scheme?

# Insights from a series of studies and seminars

- Globalization leads to increasing competitive pressures on institutions, in particular related to their position on global university rankings (“reputation race”), for which their research performance is almost exclusively the measure.
- Global rankings suggest that there is in fact only one model that can have global standing: the large comprehensive research university.
- Adverse effects on diversity: academic and mission drift.
- Jeopardize the status of activities that universities undertake in other areas, such as teaching, innovation, their contribution to regional development, to lifelong learning, etc.
- Vertical stratification versus horizontal diversification.
- Develop / improve indicators for measuring performance in areas other than basic research.

# Rankings and Classification

- Because rankings only make sense within defined groups of comparable institutions, classification is a prerequisite (condition) for sensible rankings.
- Classifications should be multi-dimensional, in order to get a better grip on diversity
- Classifications should stimulate higher education institutions to develop distinct institutional profiles and to excel in a variety of domains rather than in one dominant area.
- I.e. provide a tool for institutional development and strategic planning.

# Next Steps and Challenges

- Mapping:
  - Classification – diversity of mission (U-MAP)
  - Ranking – performance (“CHE model”)
- Aggregation levels and information needs
  - Study programmes / degree levels (teaching)
  - Disciplinary fields (research)
  - Flexibility in applying indicators
- Multidimensional and transparent
- Filling the gaps:
  - Indicators for teaching & learning, esp. learning outcomes (AHELO)
  - Research performance measurement in social sciences, humanities
  - Knowledge exchange/transfer & innovation
  - Community services, etc.
- Better data for mapping the European HE sector
- Connect to developments in other regions of the world; develop an international scope.

# **Comparaison internationale des systèmes éducatifs : un modèle européen ?**

**Rapport atelier 2 :**

**Enseignement supérieur : typologie et classement  
des établissements d'enseignement supérieur**



- **13 experts ont présenté les principaux enjeux et l'état de l'art**

**Ils représentaient :**

- **Des instances internationales (Commission européenne, Banque mondiale, OCDE)**
- **Des universités (EUA)**
- **Des opérateurs européens (Allemagne, France, Pays-Bas)**
- **Et l'université de Shanghai**

**Manquaient :**

- **des représentants des étudiants et des enseignants**

- **Sujet complexe, qui avance lentement et qui suscite de vives réactions,**  
**entre « amour et haine »**
- **Sur lequel il reste de nombreuses interrogations, même très basiques comme :**  
**« qu'est-ce qu'une université? » (EUA);**  
**« quelles sont ses missions ? »**
- **Mais qui doit être traité, qu'on ne peut ignorer**

## **Plusieurs points d'accord :**

- **Il faut plus d'informations, valides, transparentes, cohérentes, comparatives à l'échelle européenne**
  - **Principal groupe cible : les étudiants (mobilité)**
  - **Autres cibles, autres usages, moins clairs**
  - **Avec un risque : leur usage pour l'attribution de financements**
- **Outils actuels sont imparfaits, voire très imparfaits ; pas de liaison avec l'assurance qualité**

- **La diversité est un atout qui doit être préservé, alors que les classements peuvent induire de l'uniformité ou l'enfermement dan un groupe**
- **Identification plusieurs étapes :**
  - **Collecte de données**
  - **Mapping ou classification**
  - **Classement ou ranking**

# Propositions concrètes

- **Collecte de données :**
  - **projet Eurostats**
- **Mapping ou classification**
  - **Projet CHEPS : classification type Carnegie, caractéristiques et performances**
  - **Travaux AERES : caractéristiques versus performances, proximité versus différences**
- **Classements**
  - **Multidimensionnel/choix de pondération des critères**
  - **Vers un cible précise,**
  - **Sur un objet, un champ, une dimension internationale, des missions clairement spécifiés**

# Proposition du conseil scientifique

- **Travail entre pays européens**
- **Cartographie de l'excellence en Europe**
- **Pour des étudiants et des chercheurs à un horizon international**
- **Consortium indépendant construit comme un réseau de partenaires nationaux**
- **Méthodologie partagée**
- **Appel d'offre étude de faisabilité**