U-Map and U-Multirank:

Two new transparency tools

Frans van Vught
Context

- European (supranational) policies regarding higher education and research
  - European Research Area (ERA)
  - Bologna Process
  - European Higher Education Area (EHEA)
- ‘diversity’ as a major strength
- wish to increase ‘transparency of diversity’
  - Bologna conference, Leuven, April 2009
  - Belgian EU-presidency, 2010
The rise of global rankings

- **Academic Ranking of World Class Universities (ARWU)**
  Shanghai Jiaotong University, since 2003
- **Times Higher Education Supplement World Rankings (THE)**
  Times Higher Education, since 2004
- **Higher Education Evaluation and Accreditation Council of Taiwan Ranking (HEEACT)**, since 2007
- **The Leiden Ranking (LR)**
  Leiden University, since 2008
Critique of existing rankings

- focus on ‘whole institutions’ (ignoring internal variance)
- concentrate on ‘traditional’ research productivity and impact
- focus on ‘comprehensive research universities’
- aggregate performance into composite overall indicators
- use constructed ‘league table’
- imply cultural and language biases
- imply bias against humanities and social sciences
Designing an alternative: the EC Call for Tender (2009)

- development of concept and feasibility study
- *global* ranking (not only European)
- multi-dimensional
  - teaching and learning (incl. employability)
  - research
  - knowledge transfer
  - internationalisation (incl. mobility)
  - community outreach
- institutional and field-based (disciplines)
- *all* types of higher education and research institutions
- multiple stakeholders
<table>
<thead>
<tr>
<th>Project partners</th>
<th>URL</th>
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<tbody>
<tr>
<td>Center for Higher Education Development (CHE)</td>
<td><a href="http://www.che.de">www.che.de</a></td>
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<td>Center for Higher Education Policy Studies (CHEPS)</td>
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<td>Centre for Science and Technology Studies (CWTS)</td>
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<td>International Centre for Research on Entrepreneurship, Technology and Innovation Management (INCENTIM)</td>
<td><a href="http://www.incentim.com">www.incentim.com</a></td>
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<td>Observatoire des Sciences et des Techniques (OST)</td>
<td><a href="http://www.obs-ost.fr">www.obs-ost.fr</a></td>
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<td>European Foundation for Management Development (EFMD)</td>
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<td>European Federation of National Engineering Associations (FEANI)</td>
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Conceptual approach

• one common ranking of all higher education and research institutions worldwide does not make sense for any group of stakeholders
• identify institutions that are comparable
• use the *U-Map classification* tool to find comparable ‘institutional profiles’
• apply ranking instrument to sets of comparable institutions or fields
Classifications in Higher Education

- instruments to group higher education institutions
- and to characterize similarities and differences
- based on the actual conditions and activities of institutions
Functions of Classifications

• transparency tool (various stakeholders)
• instrument for institutional strategies (mission, profile)
• base for governmental policies
• tool for research
• instrument for better ranking
US Carnegie Classification

• initial objective (1973): improve higher education research
• over time several adaptations: 1976, 1994, 2000, 2006
• labels and categories
• impacts on higher education system dynamics
• multi-dimensional approach (2006)
European Classification

- interactive design process (stakeholders approach)
- basic design principles
- tests on validity, reliability, feasibility

- see: www.u-map.eu
Design Principles

U-Map is:

- based on empirical data
- based on a multi-actor and multi-dimensional perspective
- non-hierarchical
- relevant for all higher education institutions in Europe
- descriptive, not prescriptive
- based on reliable and verifiable data
- parsimonious regarding extra data collection
- offers two on-line tools: profile finder & profile viewer
U-Map dimensions

1. Teaching and learning profile
2. Student profile
3. Research involvement
4. Knowledge exchange
5. International orientation
6. Regional engagement
Institutional Profiles

"University F"

- regional engagement
- research involvement
- international orientation
- knowledge exchange
- teaching and learning
- student profile

"University K"

- regional engagement
- research involvement
- international orientation
- knowledge exchange
- teaching and learning
- student profile
Institutional Profiles

• sets of ‘scores’ on the dimensions and indicators
• actual institutional activities, not performance
• full or partial institutional profiles
• information for external stakeholders
• instrument for strategic institutional management
• base for benchmarking, for inter-institutional cooperation, for effective communication and profiling
U-Multirank Design principles

• Multidimensional
• Multilevel
• Comparing comparable institutional profiles
• Stakeholder driven
U-Multirank Dimensions

- Teaching and learning
- Research
- Knowledge transfer
- International orientation
- Regional engagement
U-Multirank Logic of institutional rankings

- U-Map
  - Descriptive institutional profiles on six dimensions

- U-Multirank
  - Performance profiles of each dimension, no aggregated institutional rankings

To be called: Focused Institutional Rankings
Pilots focused institutional rankings

- U-Map Profile Finder
- Stakeholders
- Dimensions: Teaching & learning, Research, Knowledge exchange, Internationalisation, Regional engagement

Subset of comparable institutions (A, B, C, D)
- Main stakeholders: National policy makers

Subset of comparable institutions (E, F, G, C)
- Main stakeholders: HEIs/HEI managers
U-Multirank Logic of field-based rankings

- **U-Map**
  - **U-Multirank**

  - Descriptive institutional profiles on six dimensions
  - Performance profiles of specific field in institutions with comparable profiles

  **to be called: Field-based Rankings**
### Pilots field-based rankings

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#### Business studies
- Subset of comparable HEIs (example: many MA, internationally oriented, research intens.)

#### Engineering
- Subset of comparable HEIs (example: regionally oriented, innovation-oriented, many BA)

#### MA/PhD students

#### HEIs/HEI managers

### U-Multirank U-Map Profile Finder Stakeholders Dimensions

- **Teaching & learning**
- **Research**
- **Knowledge exchange**
- **Internationalisation**
- **Regional engagement**
U-Multirank

‘multiple excellences’

- multidimensional perspective of ‘institutional profiles’
- no overall ‘league tables’
- no composite institutional indicators
- two-level analysis (institutional and ‘field’)
- stakeholders driven approach
U-Multirank

‘Pilot project’

- Identification and selection of relevant indicators per dimension
- Pre-test of instruments (10 institutions)
- Two-level pilot test (150 institutions worldwide)
U-Multirank Indicators

Teaching and Learning

Focused Institutional
- Graduation rate
- Relative employment rate
- Expenditure on teaching
- Time to degree
- Interdisciplinarity

Field based
- Student staff ratio
- Relative employment rate
- Graduation rate
- Quality of staff
- Interdisciplinarity
- Student satisfaction scores
U-Multirank Indicators

Research

Focused Institutional

- Research publ output
- Expenditure on research
- Citation impact
- Highly cited publications
- Research income from competitive sources

Field based

- External research income
- Research publ output
- Stud satisfaction: research orientation of programmes
- Citation impact
- Doctoral productivity
U-Multirank Indicators

Knowledge transfer

Focused Institutional

- Size of TTO
- Incentives for knowledge exchange activities
- Joint research contracts with private sector
- Patents
- Third party funding

Field based

- Ac staff with experience outside higher education
- Joint research contracts with private sector
- Patents
- Spin-offs
U-Multirank Indicators

International orientation

Focused Institutional

- Programmes in foreign language
- Internat academic staff
- Joint degree programmes
- Internat joint research publications
- Internat partnerships

Field based

- % internat students
- Mobile students
- Stud sat.: opportunity to stay abroad
- Internat academic staff
- Internationalisation of programmes
- Joint international projects
U-Multirank Indicators

Regional engagement

Focused Institutional
- Income from regional/local sources
- Graduates working in the region
- Joint R&D with regional enterprises
- Stud internships in region

Field based
- Stud internships in region
- Joint R&D with regional enterprises
- Regional intake of students
- Graduates working in the region
- Courses for sec ed students
- Regional part in cont. ed
U-Multirank Pilot

Plan

150 institutions

Focus on feasibility analyses

Starting October 2010, ending Spring 2011
• F.A. van Vught, F. Kaiser a.o. (2010) U-Map, the European classification of higher education institutions, CHEPS, Enschede

• F.A. van Vught (ed.) (2009), Mapping the higher education landscape, Towards a European classification of higher education, Springer
Publications

Thank you for your attention!

www.u-map.eu

www.u-multirank.eu