University Evaluation and University Rankings:
Globalization of Higher Education and Roles of Government
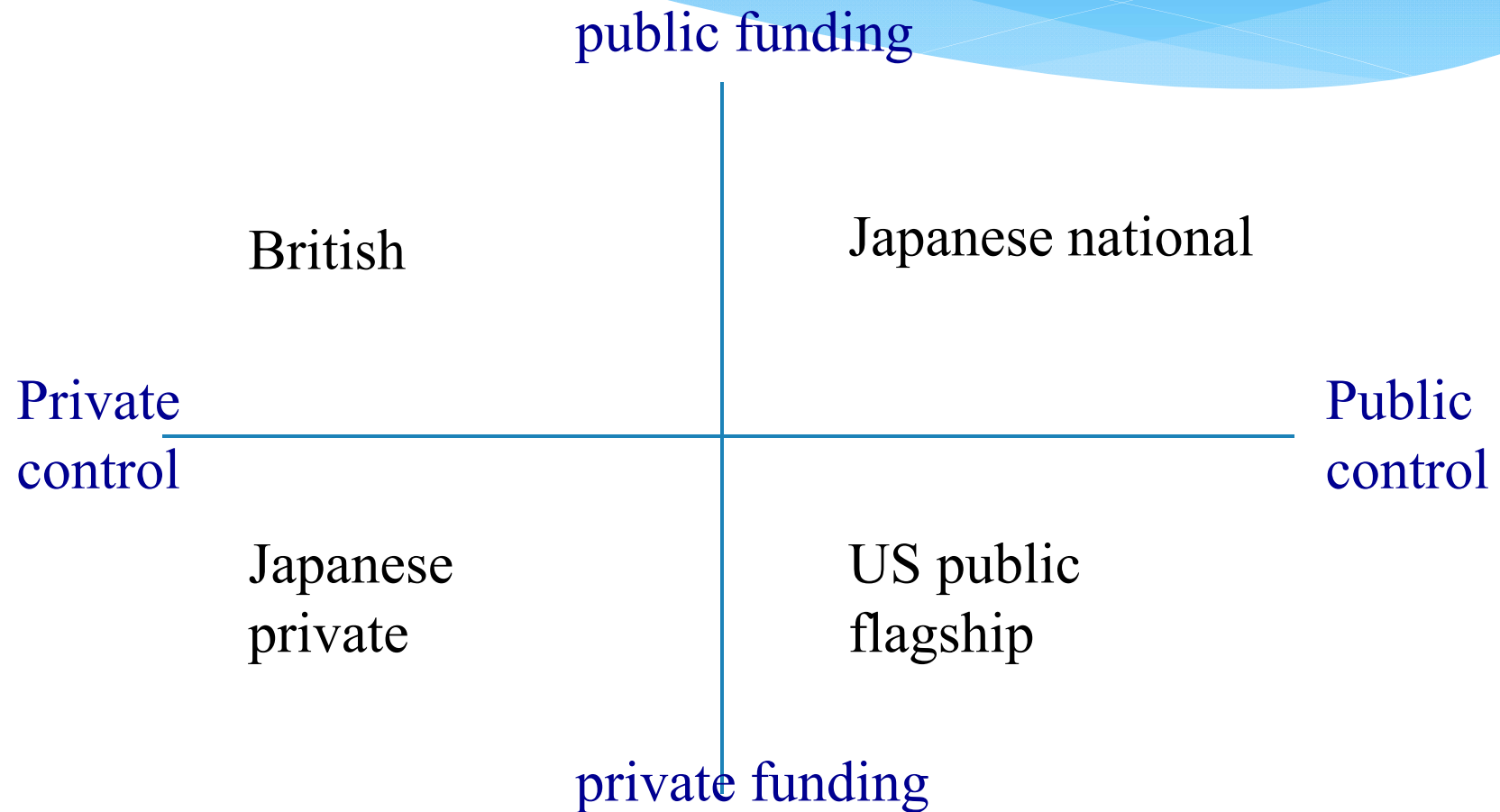
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Issues

* (1) Higher Education Systems and Government
* (2) Competition for Public Funds and Government Control of University
* (3) Institutional Evaluation and Market Evaluation
* (4)World University Rankings
* (5) Policy Implications and University Benchmarking

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I. Higher Education System:
University Types Classified by Control and by Funding

public funding

British

Japanese national

Private control ──────────────────── Public control

Japanese private

US public flagship

private funding

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Four Types of Universities by Control and Funding

* Distinguish Control and Funding
* Public-control and public funding university like Japanese National University, US, Australian, and Chinese National and Public University
* Private-control and private-funding like Private University in Japan, US, Australia, and China
* Private-control and public-funding like British University
* The state appropriation to US flagship public universities are less than ten percent of their revenue.
* *distinguish privatization of university from private funding*

# Most Income of Japanese National Universities Comes From Public Funding

* For example, in case of The University of Tokyo gathering the largest private funds in Japan, the private grants and gifts are only a few percent of its income.

* Income from tuition and fees is nine percent, though it is the smallest proportion among Japanese National Universities.

* Almost half of the income comes from tuition and fees in small National Universities.

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II. Acquisition of Public Funds: The Market Driven Reform

* Japanese Government takes various incentives for competitive funds to universities.
* COE, the Center Of Excellence Programs for R &D, etc.
* GP, Good Practice programs for teaching, student support, and regional contribution etc.
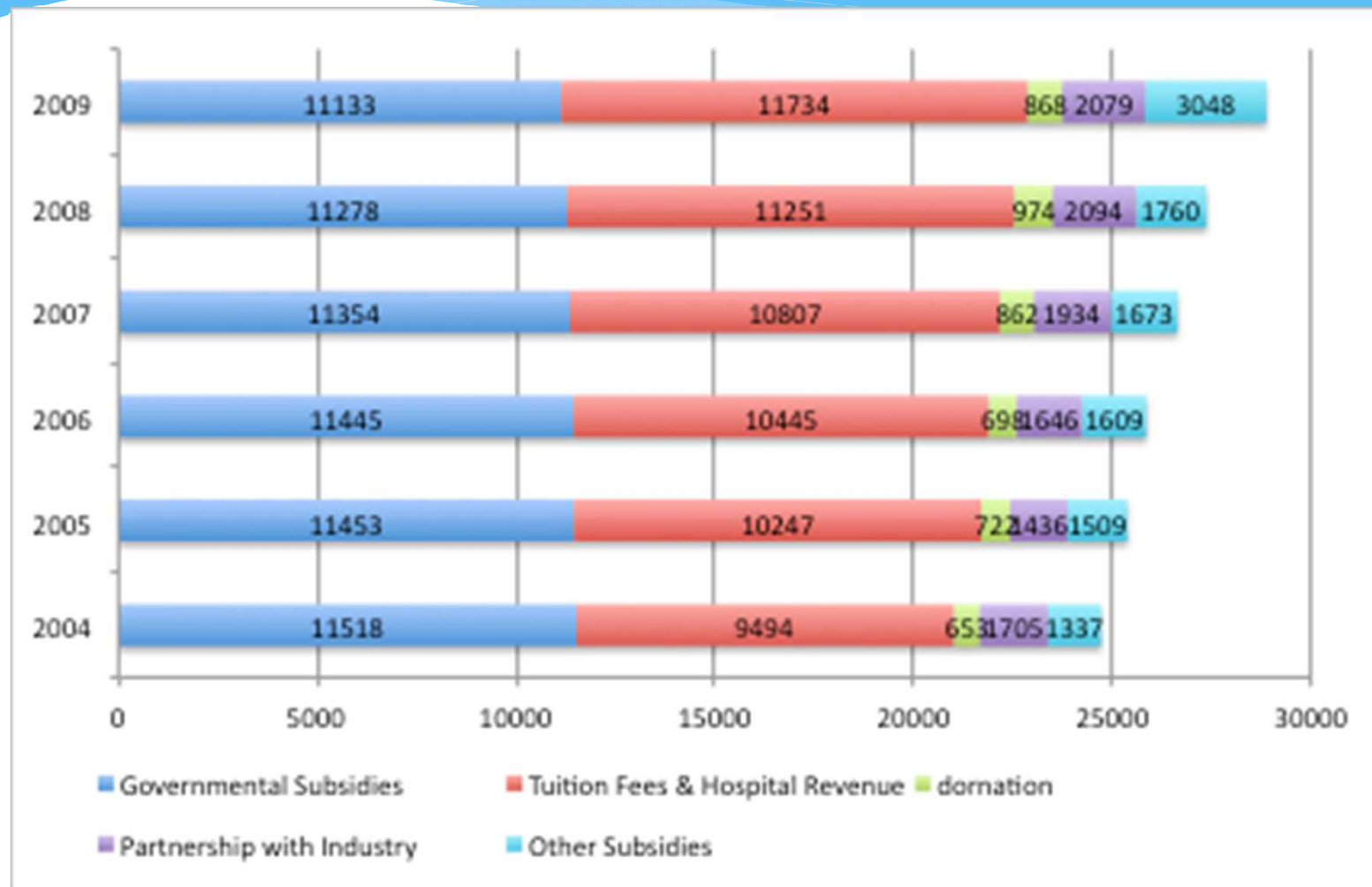* For Globalization of Higher Education, Global COE, Global 30, etc.

Changes in Governmental General Subsidies to Universities and Sciences, Current Yen
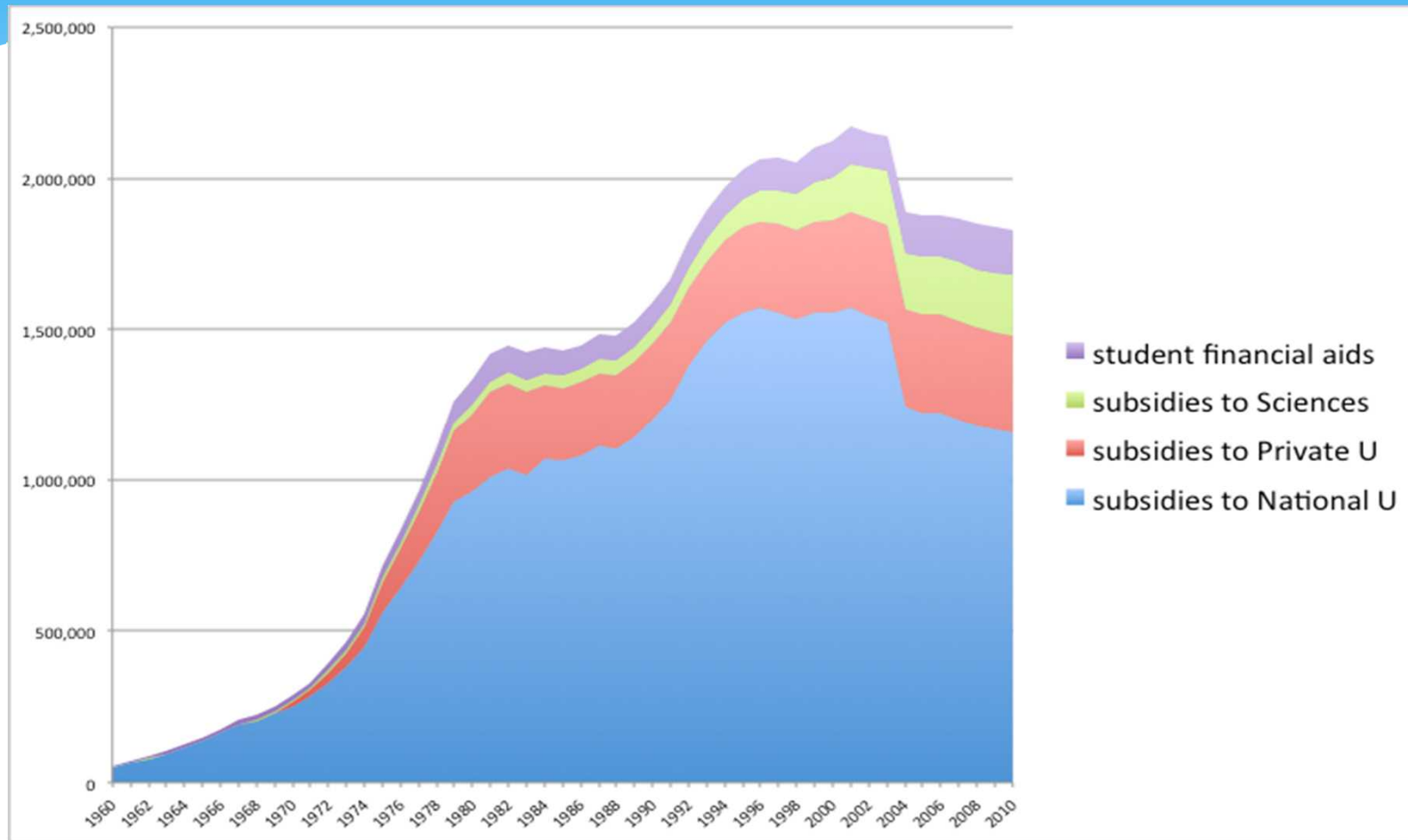
Data: MEXT (Ministry of Education).

Data: Research Institute for Higher Education, Hiroshima University

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Changes in Revenue of National Universities

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Data: MEXT (Ministry of Education)

Government Control of University

* The shift of funding form the government appropriations, to tuition and fees, and to external funds (donations, endowments, grants and contracts)
* Government control of universities shifts from *ex ante* control by the Council on University Establishment to *ex post* check by university evaluation agencies.
* Ministry of Education (MEXT) accredits accreditation organizations, and they accredit each university every seven years (indirect control of university through university evaluation).
* University evaluation has become more important to enhance the quality of university and resource allocation

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This shift will make university more autonomous or controlled by government or market-driven ?

* The policy aims to enhance the quality of university by this competition through university evaluation
* The competition for the acquisition of external funds will be harder, too.
* The competition for the acquisition of public funds will make the control power of the government stronger.
* Up to now, the allocation of subsidies from the government to universities has not directly linked to the university evaluation.

The Matthew Effect or The Winner-Take-All Society in Public University Sector?

* Another serious problem may occur by this policy. It is the problem of "The Matthew Effect " by R. K. Merton: The rich get richer, and the poor get poorer.

* The disparities of financial resources have been a serious matter not only among universities but also within universities.

* As a result of market competition we may face the emergence of "The Winner-Take-All Society" even in the public university sectors, which is the worst scenario of market-driven reforms.

Tuition Fees and External Funds in National Universities 2009
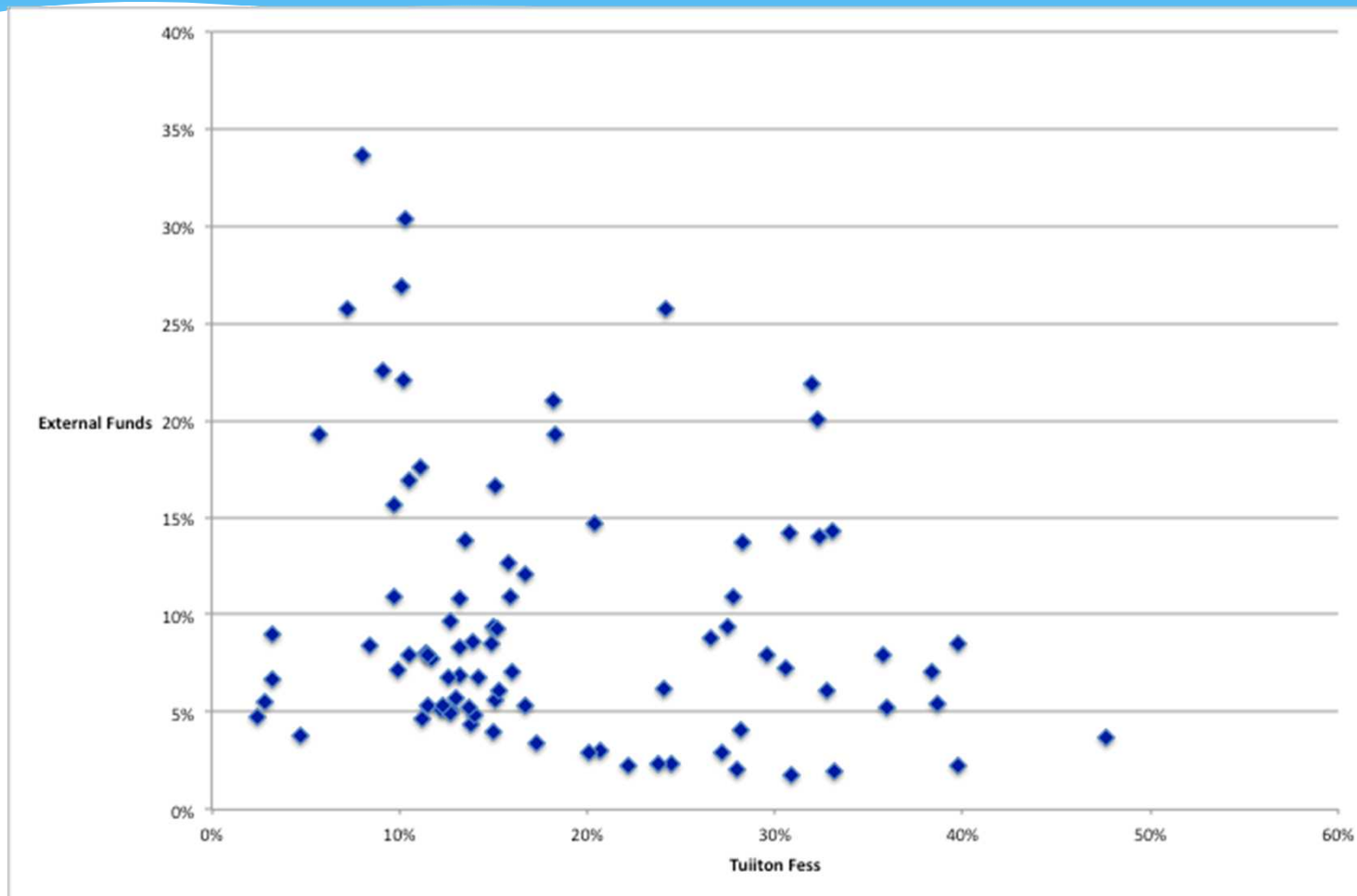
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Data: National Center for University Finance and

III. Institutional vs. Market University Evaluation

* **Institutional Evaluation**
  * Self Evaluation or Accreditation or the third-party evaluation
* **Market Evaluation**
  * Commercialized Evaluation
  * Typical: University Rankings (Kaneko 2000)
* **Difference**
  * Institutional Evaluation=Public Goods
  * Market Evaluation=Commercial Goods

Characteristics of Institutional Evaluation

* Evaluation itself is not a purpose.
* The purpose is quality assurance and to improve and enhance the quality of university.
* But the data of institutional evaluation are often used in university rankings.
* The controversial issue of institutional evaluation is whether to link it with resource allocation or not.

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Characteristics of Market Evaluation

* Plural evaluation bodies
* Evaluation of the "market evaluation" is done by market, i.e., how much sold is matter.
* It reflects the demands and expectations of the consumers.
* It provides useful information to students and parents, especially to foreign students.
* University ranking is a typical case.
* However the World University Ranking of Shanghai Jiao tong University is an institutional ranking.

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University and Market Evaluation

* The universities themselves constitute another major background factor contributing to the demand for market university evaluations.

* Universities frequently use high ranks for their own publicity purposes. They are in no position to criticize the rankings if they do so only when their rank declines, but immediately incorporate rankings into admissions pamphlets the moment their rank shoots up.

* The social prestige of market university evaluations is actually rising as a result of such changes in university behavior.

Socioeconomic Background to University Evaluation

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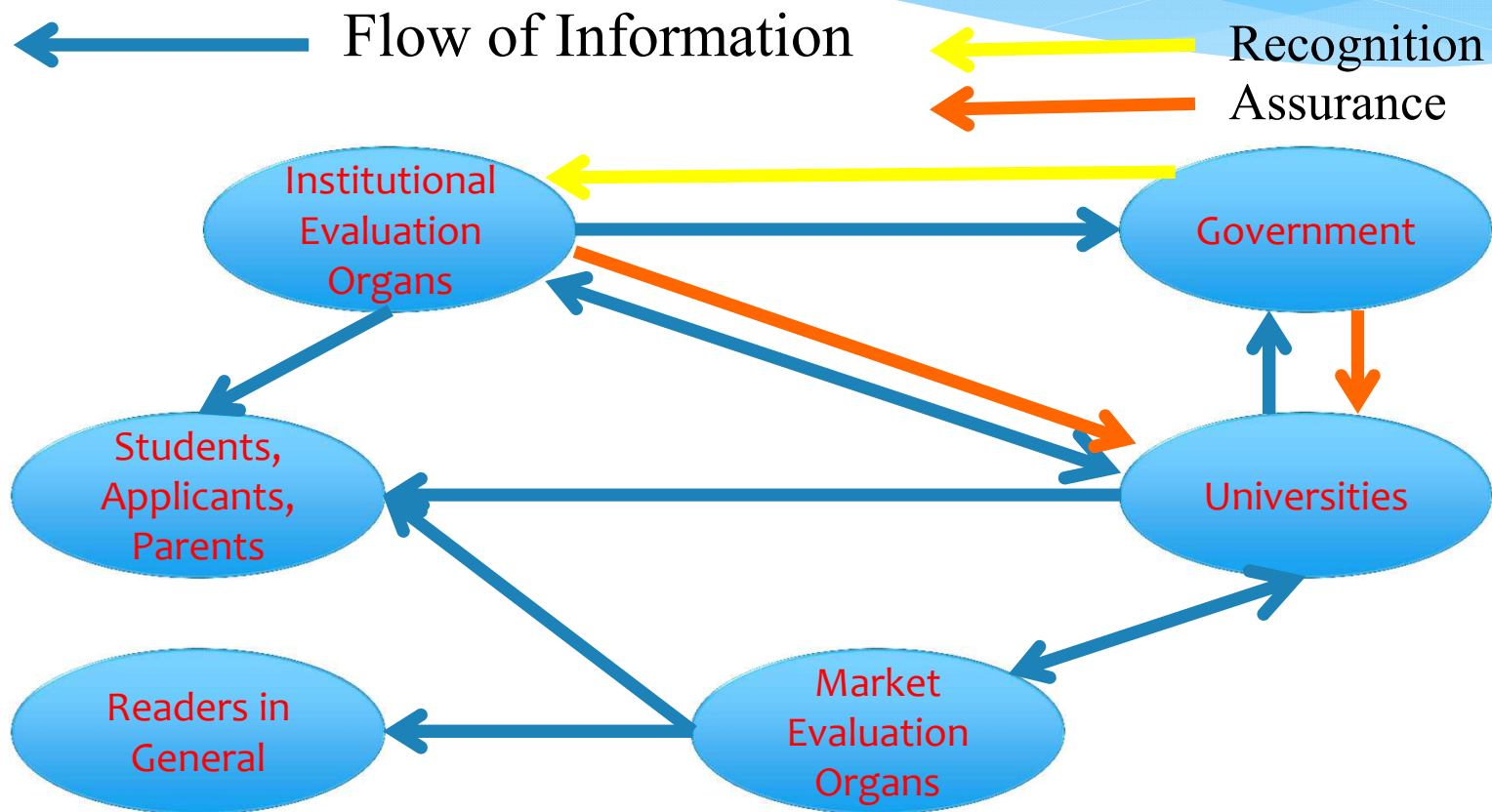
Safety Blanket

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Market vs. Institutional Evaluation

	Market Evaluation	Institutional Evaluation
Reviewer	Single	Plural
Responsibility	Clear and Definite	Unclear
Criteria	One dimensional	Multi dimensional
Contents	Easy to evaluate	No Market Value
Purpose	Quality enhancement	Quality enhancement
Reliability	Poor	Rich
Example	Rankings	Accreditation

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Criticism of Market Evaluation

* There has been a great deal of criticism that university evaluations and rankings do not precisely evaluate university education and research.

* Some also hold that the ranking of universities is fundamentally impossible in and of itself. One factor causing the debate to easily become confused is the mix-up and combination of the concepts regarding university evaluations and university rankings. This is especially true for university rankings.

* Since these rankings are not a scientific concept to begin with, they are applied inconsistently without any strict definition, and this brings confusion to the discussion.

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Criticism 1

* There are various criticisms of this approach, and these are problems not only with university rankings, but with rankings in general.

* The rankings tend to take numerical approach.

* The first criticism is that with the numerical approach items that cannot be quantified are completely ignored. There is also strong criticism regarding items that can be quantified, such as the number of research papers or the percentage of exchange students, since objectively these may not be appropriate measures to indicate the quality of research or the level of internationalization. In particular, many have noted the difficulty of quantifying indicators concerning education, as opposed to research.

Criticism 2

* Criticisms of the subjectivity of the peer reviews or reputation (expert opinions) adopted by many university rankings.

* Many research findings indicate that such peer reviews are rather stable, and tend not to change. This has also been criticized by those who hold/ that the peer evaluations do not change enough/ because they are heavily influenced by past rankings.

Criticism 3

* Overall, there is no limit to the criticisms of the individual indicators used to compile university rankings.
* Yet even if we do not deny the possibility of quantification using individual indicators, there is still a more important issue. Even if there were objective indicators to numerically measure and rank the quality of various aspects of university education and research, would it then be possible to combine these into overall scores and rankings of entire universities? Overall scores use multiple evaluation criteria, calculate the scores for each of these criteria, assign weights to each of the scores, and are then computed as weighted averages.

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Apple or Orange?
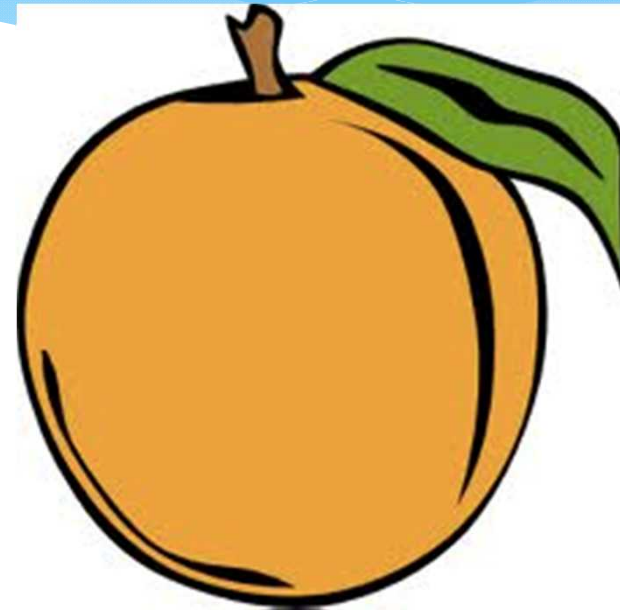
Criticism 4

* The comprehensive rankings are determined based on these overall scores. Under this approach, as explained above, the evaluation criteria are an important issue, but the weights used for the weighted averages are also problematic.

* In fact, overall scores and the rankings based on them are highly sensitive to changes in the weightings.

* Despite this, the bases for the weights given to the individual indicators in all the comprehensive university rankings are unclear. This also holds true for the two global university rankings analyzed here.

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Comparison of Institutional and Market Rankings

* Market Ranking is commercial good, and must be sold. To sell it the ranking must change in each year, though some stability is required to make readers think the ranking reliable.

* Institutional Ranking is public goods. The rank of each university does not change so drastically.

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IV. World University Rankings

* *One example of globalization and university evaluation.*
* Times Higher Education (THE) World University Ranking
* The Academic Ranking of World Universities by Shanghai Jiao Dong University.

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For International Students and Scholars

* University Ranking is very useful for students, in particular international students
* Factors of growing world university rankings
* (1) Asymmetry of information
* (2) Needs of university evaluation to apply
* (3) Efficient investment: very cheap, though the cost of study abroad is very high

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Domestic Higher Education Hierarchy

	Japan	USA	AUS	CHN
Public Sector	modest	very large	very large	very large
Private Sector	very large	small but strong	small	small
Structure	hierachical	diversified	devided?	hierachical
prestageous universities	Former Imperial	Overlap Group	Group of Eight (former sand-stone univs)	211, 985 programs

Rankings are reflected by these domestic higher education hierarchy.

Formation of Global Higher Education Hierarchy

World class Universities have a cosmopolitan characteristics in its nature.

∗ Both competition among universities and student mobility facilitate the formation of global university hierarchy (Cf. Marginson 2004)

Competition among universities to get grants and excellent students and international student mobility require more demands for university evaluation

∗ World university ranking may be imprecise but reflect this hierarchy.

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Policy Implications 1

* We need to improve the university evaluation by making it more transparent.
* So many problems in Market Evaluation
    * Cf. UNESCO, 2006, *Berlin Principles on Ranking of Higher Education Institutions*
* But we do not neglect the positive influence of market university evaluation to enhance the quality of universities and university evaluation itself.

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V. Benchmarking University

* I think the benchmark of the university is more fruitful than the rankings.

* Benchmarking is very useful to perform the social accountability of university as well as university information disclosure.

* The tentative university benchmarking by using data open to the public

Examples of University Benchmarking: History, Control and Funding

	Oxford	Cambridge	Harvard	Yale	Stanford	Berkeley	Tsinghua	Tokyo	Peking	SNU	VNU
Established	1096?	1209	1636	1718	1891	1849	1911	1877	1898	1904	1906
Control	Private	Private	Private	Private	Private	Public	National	National	National	National	National
Funding (main)	Public	Public	Private/Public	Private/Public	Private/Public	Public /	Public	Public	Public	Public	Public

Data: Home pages of each university

Note: years of establishment are not precise because they depend on the definitions of establishment

Examples of University Benchmarking: Student and Faculties Numbers

	Oxford	Cambridge	Harvard	Yale	Stanford	Berkeley	Tsinghua	Tokyo	Peking	SNU	VNU
Under-graduates	11,766	11,608	6,648	5,247	6,878	25,530	14,258	14,172	14,160	21,766	21,806
Graduates	6,293	6,003	18,898	6,169	8,441	10,313	21,084	13,820	20,531	12,006	10,334
total	18,059	17,611	25,546	11,416	15,319	35,843	35,342	28,992	34,691	33,772	32,140
Faculties	4,431	2,952	2,287	979	1,910	1,575	2,424	3,827	3,081	2,074	1,878

Data: Home Pages of each university

Data definitions are not same.

Benchmarking of Japanese, Chinese and Korean Universities

Data: website of each university, Korean Council for University Education, Department of Education in China
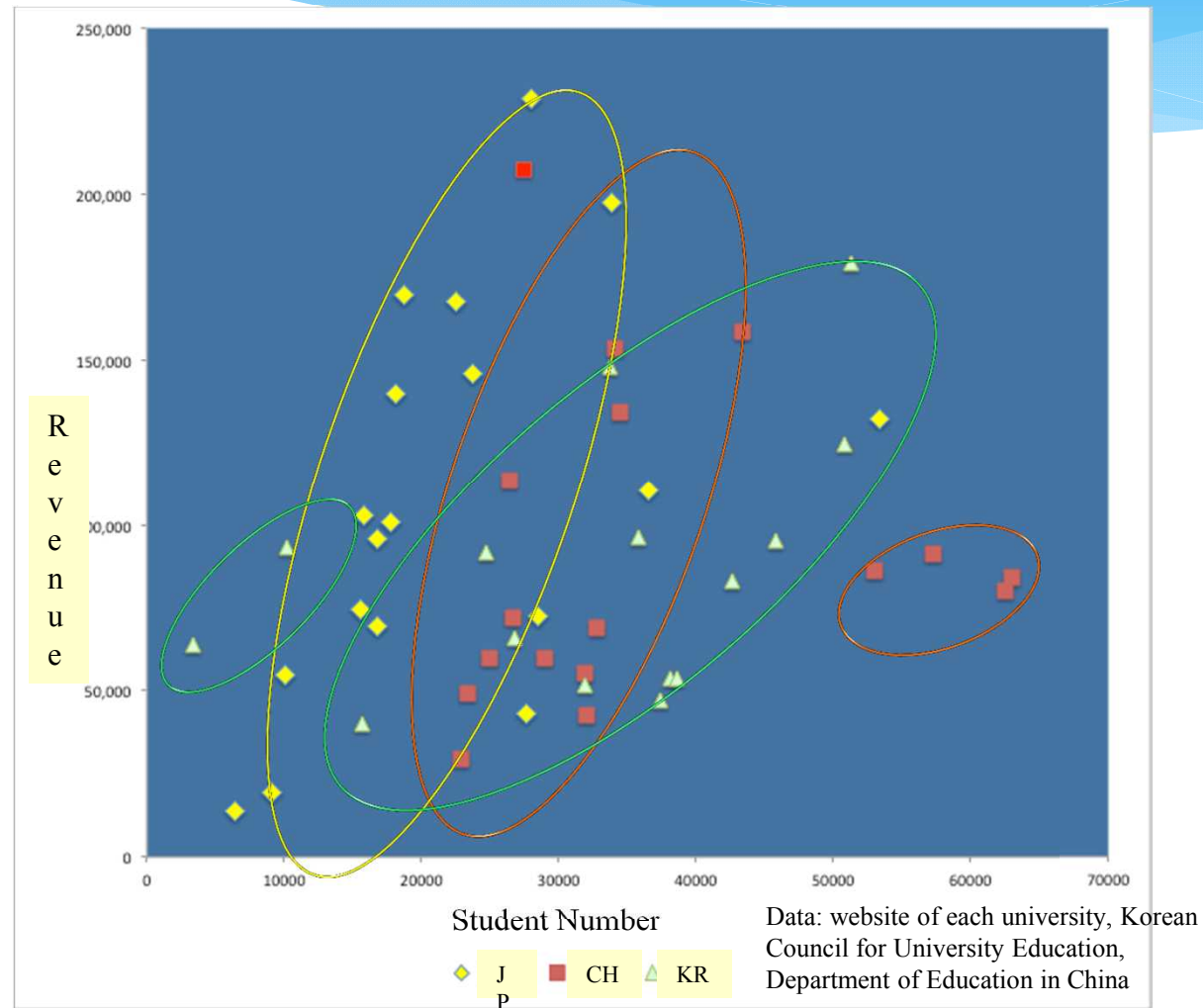
Policy Implications 2

* Benchmarking is a useful tool to assure and enhance the quality of university.

* To make a precise benchmarking, the reliable data of universities are inevitable.

* MEXT has a plan to establish "University Portrait (tentative name)" which aims to individual university data open to public by 2014.

* I hope this will increase the accountability of university for stakeholders.

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