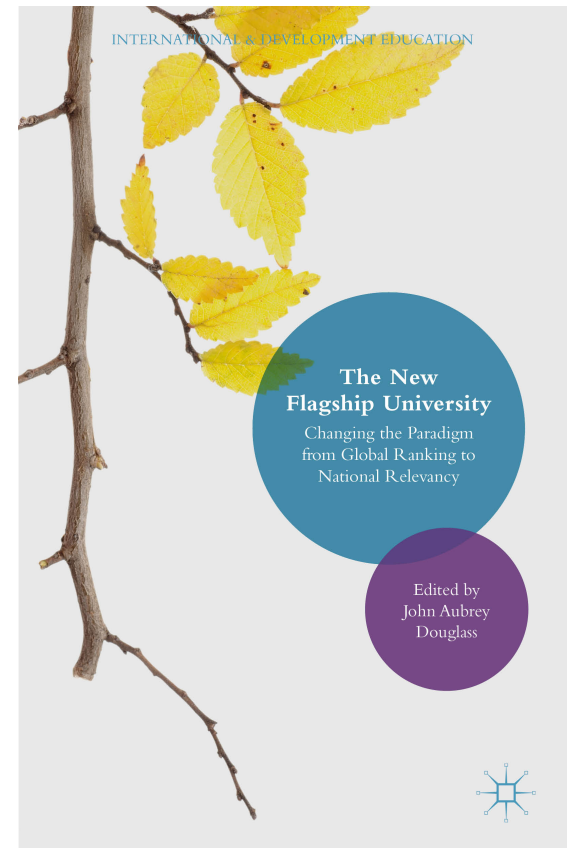


# ***The New Flagship University Model: Changing the Paradigm from Global Rankings to National Relevancy***

**AiIG Riunione Scientifica Annuale  
Bergamo University  
October 13, 2016**

**John Aubrey Douglass  
Center for Studies in Higher Education  
Goldman School of Public Policy  
UNIVERSITY OF CALIFORNIA -BERKELEY**



# ***1. The Ranking/WCU Paradigm***

*It's a familiar if not fully explained paradigm.*

*A “World Class University” (WCU) is supposed to have highly ranked research output, a culture of excellence, great facilities, and a brand name that transcends national borders.*

*But perhaps most importantly, the particular institution needs to sit in the upper echelons of one or more world rankings generated each year by non-profit and for-profit entities.*

*That is the ultimate proof for many government ministers and for much of the global higher education community.*

***What is wrong with this model for leading national universities?***

## ***2. The Ranking/WCU Paradigm***

*It is not that current rankings are not **useful and informative**.*

*The problem is that they represent a very **narrow band of what it means to be a leading, or what I call a “New Flagship” university within a region, within a nation.***

*Further, WCU advocates do not provide much guidance, or knowledge, on what organizational behaviors and methods can lead to greater productivity in research, teaching, and public service **TO best meet the needs of the societies they serve.***

# ***The Presentation Tour***

- ***Some Familiar Complaints About Ranking***
- ***The Ranking and WCU Psychology***
- ***A Brief Profile of the “New Flagship University” Model***
  - ***Asia***
  - ***Russia***
  - ***Scandinavia***
  - ***South America***

**A Consistent Bunch: Shanghai  
Jiaotong Academic Ranking of World  
Universities 2014**

1. Harvard University
2. Stanford University
3. MIT
4. UC Berkeley
5. University of Cambridge
6. Princeton University
7. CalTech
8. Columbia University
9. University of Chicago
10. University of Oxford
11. Yale University
12. UCLA
13. Cornell
14. UC San Diego
15. University of Washington
16. University of Pennsylvania
17. Johns Hopkins University
18. UC San Francisco
19. ETH Zurich
20. University College London
21. University of Tokyo
22. Imperial College
23. University of Michigan
24. University of Toronto
25. University of Wisconsin

## ***Rankings: The Usual Suspects***

- **Marginal changes at the top – marginal differences between, say, 203 and 253**
- **Biased towards sciences and engineering**
- **Limits and declining meaning of citation indexes**
- **Times Higher Ed and others - strong bias on reputation**

**Citation  
indexes  
heavily  
weighted to  
STEM fields**

**+ research  
income**

**+ Nobel or  
other  
internationally  
recognized  
research  
awards**

**+ oftentimes,  
reputational  
surveys**

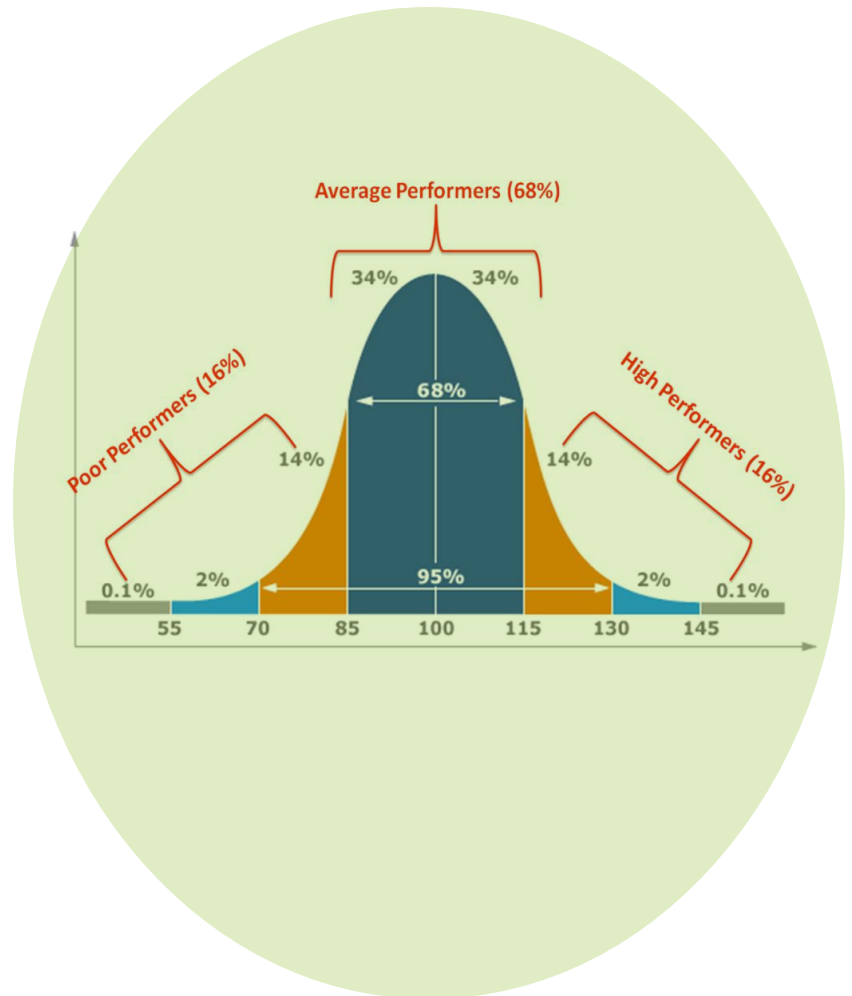
**+ %  
International  
students**



## A Consistent Bunch: Shanghai Jiaotong Academic Ranking of World Universities 2014

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## Rankings: The Usual Suspects





# ***The World Class University Paradigm and Frenzy***

- ***Lack of Trust!*** - For ministries concerned with the overall quality and efficiency of their national higher education systems, rankings provide some form of internationally recognized evidence of the effects of these and other reforms.
- ***Governments Like/Need Goals*** – Neoliberal search for accountability!
- ***Besides Everyone is Doing It!***





# ***The World Class University Paradigm Frenzy***

- ***There Are Benefits!***
  - New Resources – targeted, in theory
  - Competition – For these resources among HEI's
  - Inducing New Campus-wide Strategic Academic Planning Efforts
  - Faculty Advancement - performance vs. civil service
  - Can the Old Dog Learn New Tricks? - Tradition of academics leveraging government \$ and program demands to meet institutional and personal desires



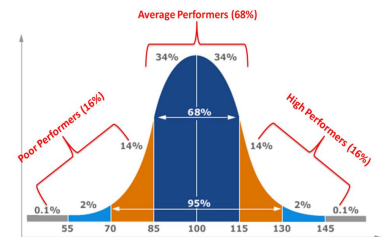
# ***The World Class University Paradigm Frenzy***

## ■ **Government Policies**

- *Germany's Excellence Program—10 to become elite WCU - €1.9b*
- *Australia to have 10 in the top 100*
- *France - €2.0b “Initiatives of Excellence”*
- *China – 20 to match MIT*
- *Russia – 5 in top 100 WCU – Internationalization Strategy*
- **DO THE MATH!**

## ■ **Institutional Behaviors**

- *National Policies on Faculty Advancement*
- *Gaming – UK Example*
- *WCU Narrative Dominates – Altering institutional sense of purpose*





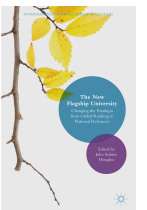
## ***Observations on Top Performers***

- *Current top ranked research-intensive universities, and particularly the public universities in the US, were **not built around a narrow band of quantitative measures** of research productivity or reputational surveys.*
- *Path to national and **international** productivity, relevance and competitiveness (RANKING) **rooted in their larger socio-economic purpose . . .***
- *And to **internal organizational cultures and practices focused on self-improvement.***

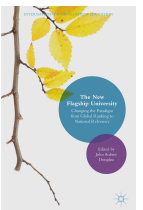
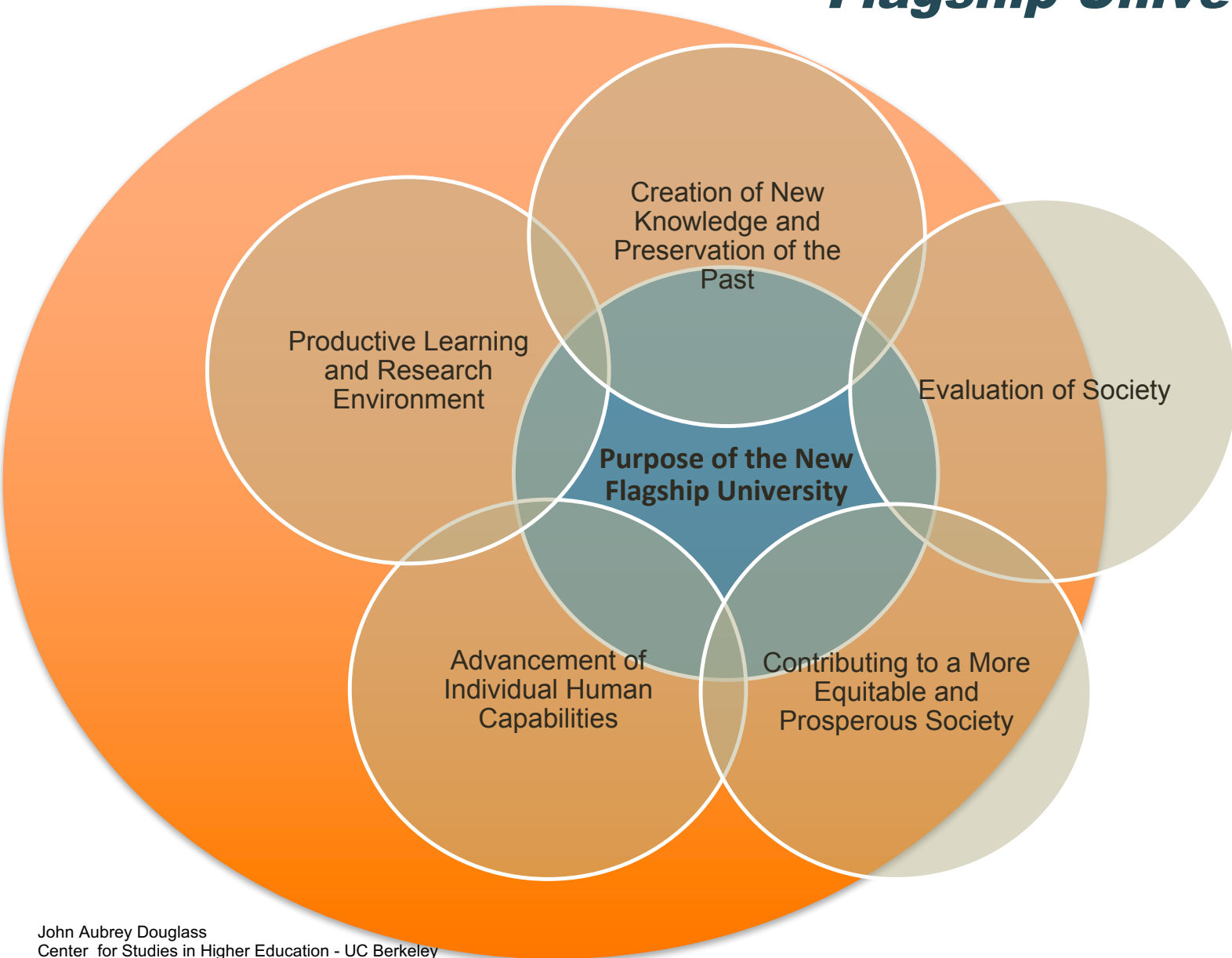


# ***The Flagship University***

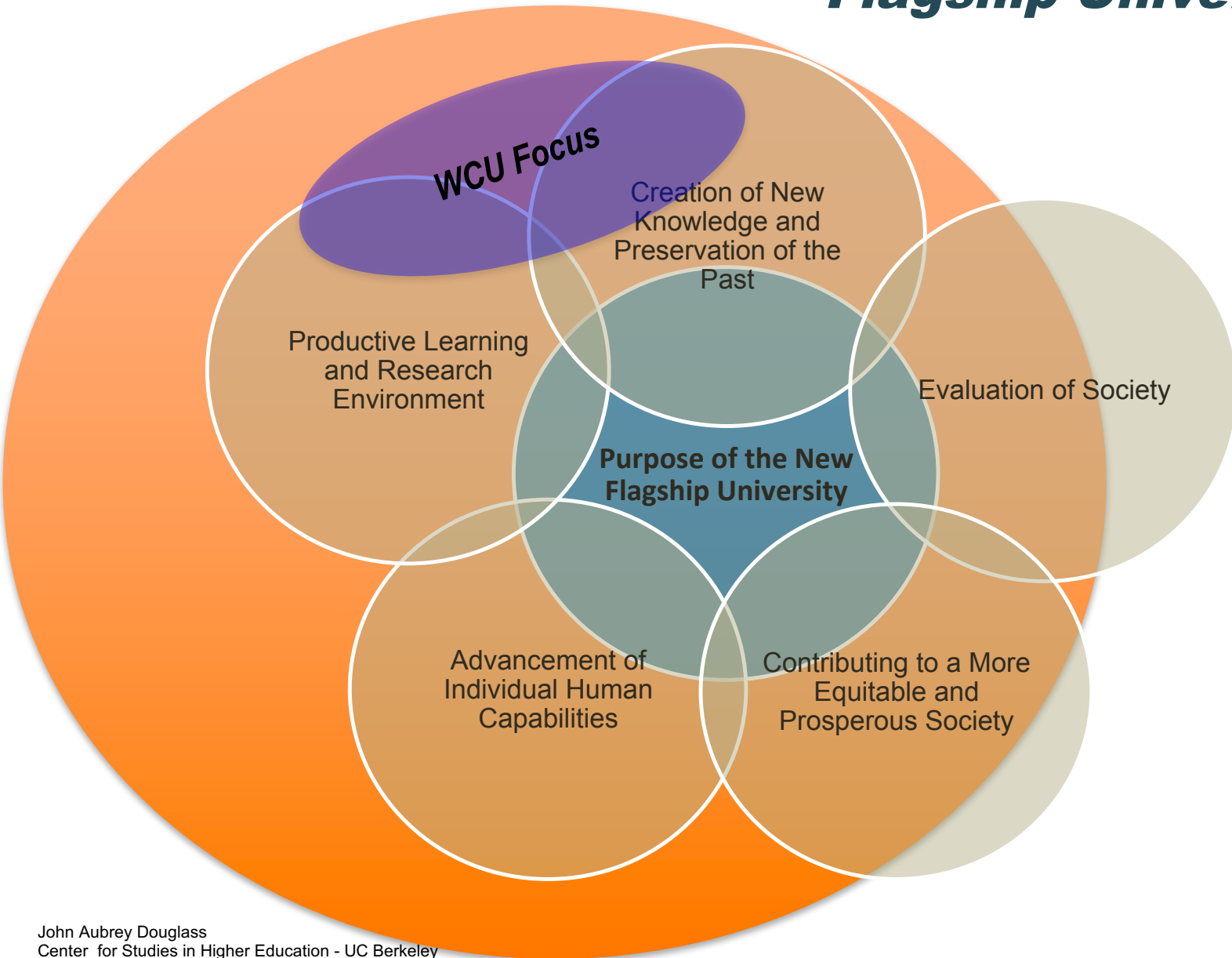
For What Purpose?



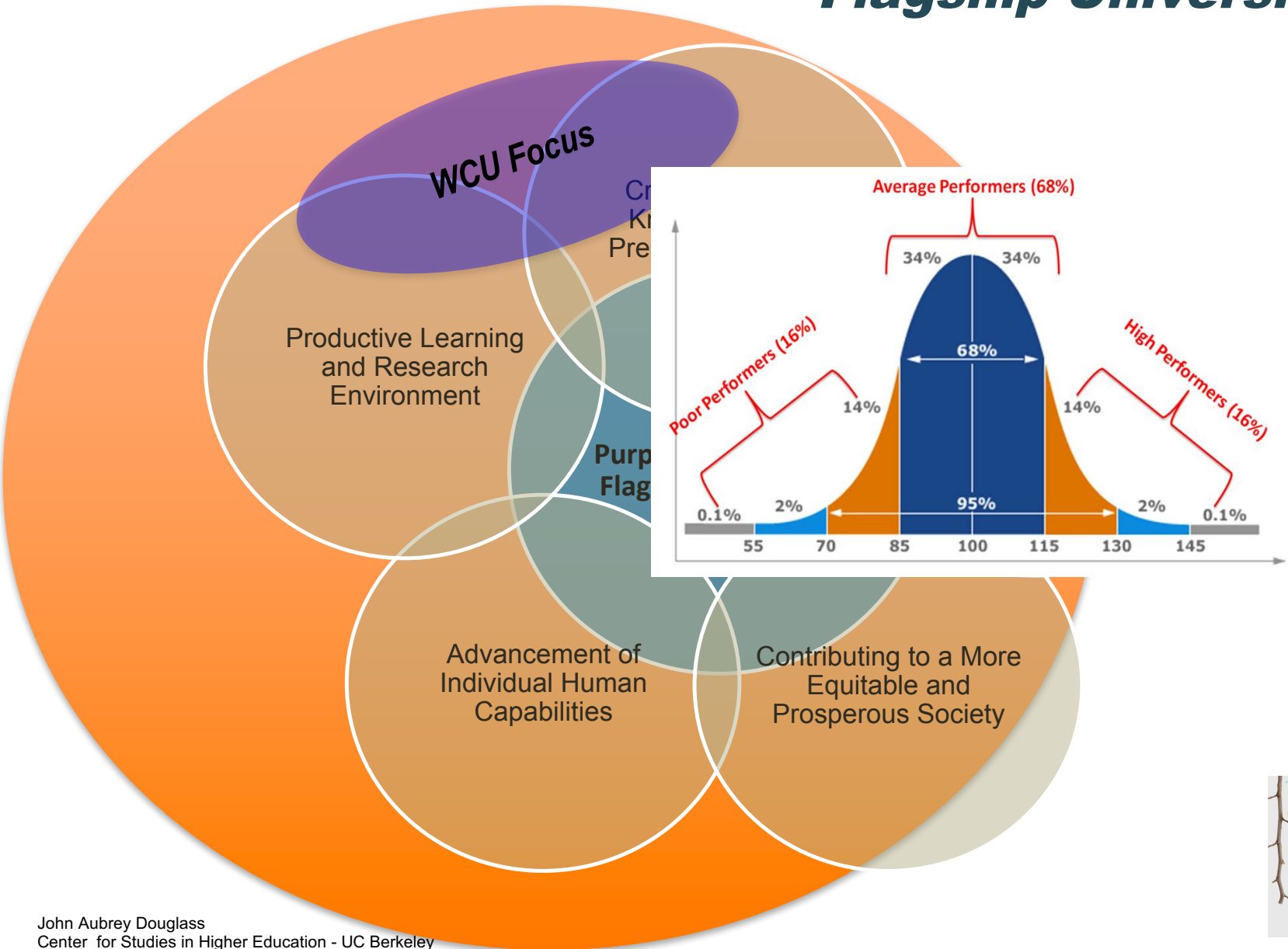
# ***The Purpose and Objectives of the New Flagship University***



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# ***New Flagship University as an Aspirational Model***

- *In the face of the dominant WCU and ranking paradigm, **most academic leaders and their academic communities have had difficulty conceptualizing, and articulating, their grander purpose and multiple engagements with society.***
- *The New Flagship University model attempts to provide an **alternative narrative via a holistic and ecological vision of what constitute the best and most influential national universities.***
- *The NFU is **not intended as a set of required attributes and practices** or a single template or checklist, but an expansive array of characteristics and practices that connects a selective group of universities—**an aspiration model.***



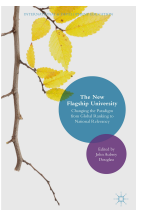




# ***The Flagship University***

**Hard Part #1**

**How to Define it?**





## ***Flagship Assumptions***

- **Leading National Universities Are Evolving** – *Their importance, range of programs and activities, and expectations of stakeholders is larger than ever before.*
- **Only So Many** - *A nation/region can realistically achieve a limited number of productive research-intensive universities – room for other types of important HEI's!*
- **Role In Nurturing National HE Systems** – *“Flagship” universities should take a leadership position in nurture and providing best practices that influence the quality and performance of other HEI's.*



# ***Flagship Characteristics***

- ***Research intensive, but equally committed to teaching/learning and public service.***
- ***Comprehensive Institutions*** – seeking strength across the disciplines.
- ***Internationally engaged, but focused first on Regional/National Economic development and public service across the disciplines.***
- ***Broadly Accessible*** – selective but also representative of the population they serve.
- ***Sufficiently Autonomous and Publicly Financed*** – easy to say!
- ***Internal Culture of Evidence-Based Management*** and focused on ***Institutional Self-Improvement.***
- ***A Common Narrative*** – but not all the same – Flagship's are necessarily tied to the political, cultural and socio-economic world they serve.

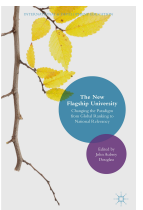




# ***The Flagship University***

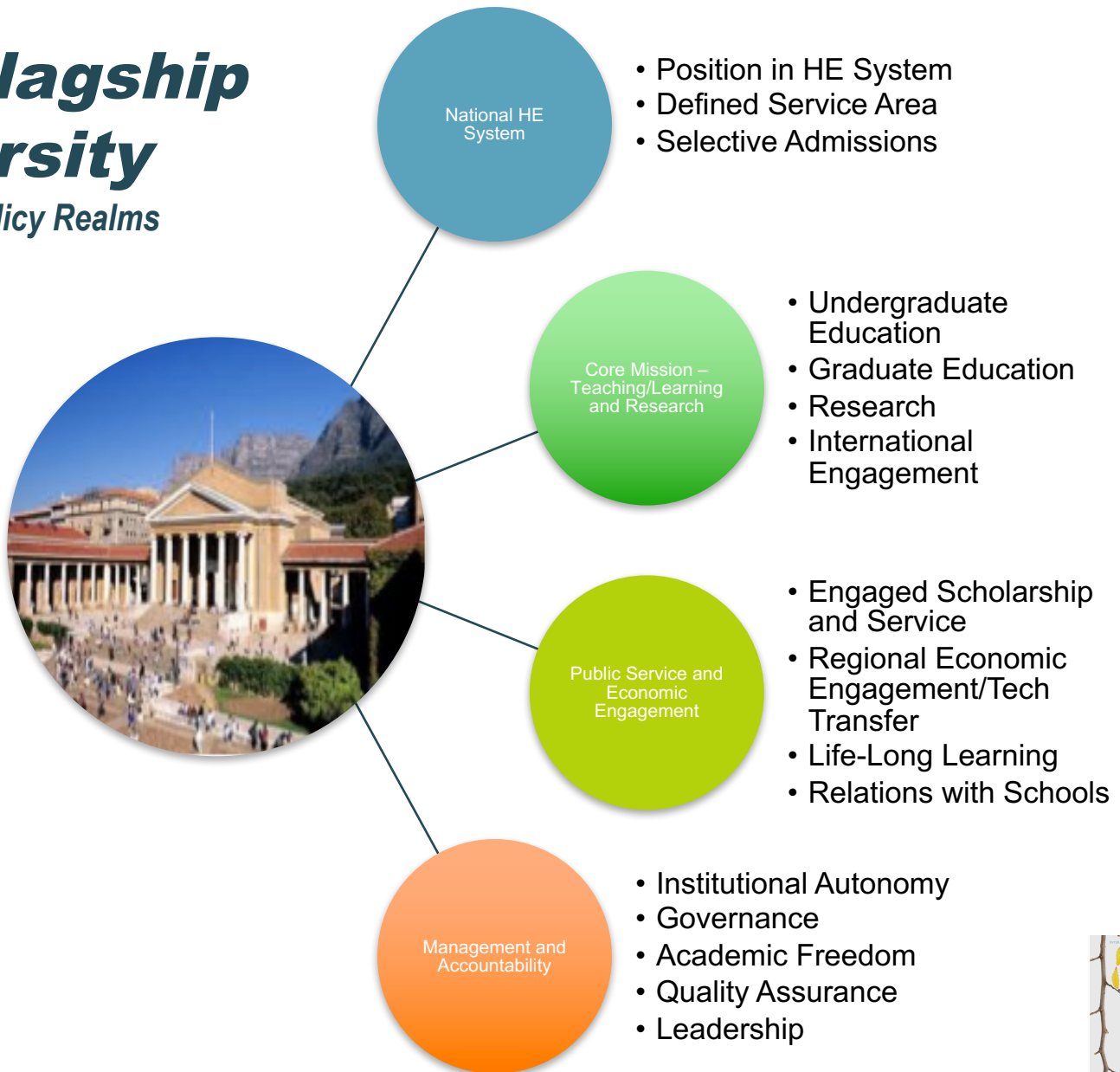
## **Hard Part #2**

**The Ecology of the  
Flagship University –  
Its Culture, Policies  
and Practices**

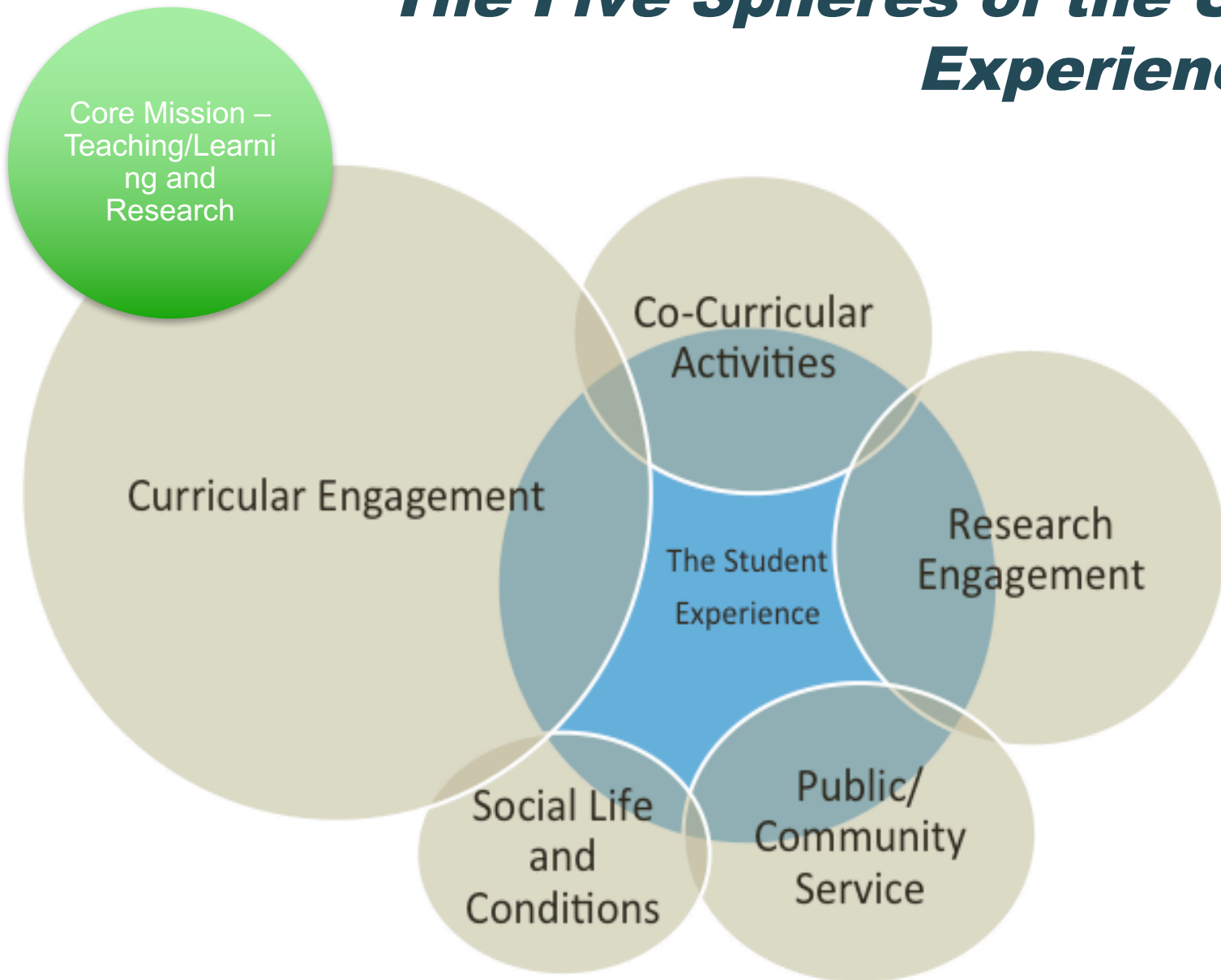


# ***The Flagship University***

## ***Profile and Policy Realms***



# ***The Five Spheres of the UG Experience***



# ***UG Research Engagement***

**Figure 9 - CASE EXAMPLES: Undergraduate Research Programs**

**•University of Michigan – UG Research Opportunity Program**

Creates research partnerships between first and second year students, and faculty, research scientist, and staff from across the University of Michigan community. Begun in 1989 with 14 student/faculty partnerships, today, approximately 1100 students and over 700 faculty researchers are engaged in research partnerships.

**•UC Berkeley - Undergraduate Research Apprentice Program URAP and SMART Program**

Undergraduates can apply for semester or year-long opportunities to gain skills working on faculty-led research projects under URAP; more than 1200 students from all majors participated yearly.

Administered by the Graduate Division, the SMART Student Mentoring and Research Teams Program enables doctoral students to provide mentored research opportunities for undergraduate students at UC Berkeley and is designed to broaden the professional development of doctoral students and to foster research skills and forge paths to advanced studies for undergraduates at UC Berkeley. Graduate mentors who work under the guidance of a faculty adviser will each receive a stipend of \$5,000. Doctoral students selected as SMART mentors must complete the one-unit course, Mentoring in Higher Education GSPDP 301. Each undergraduate mentee will be funded in the amount of \$3,500 for approximately 200 hours of work.

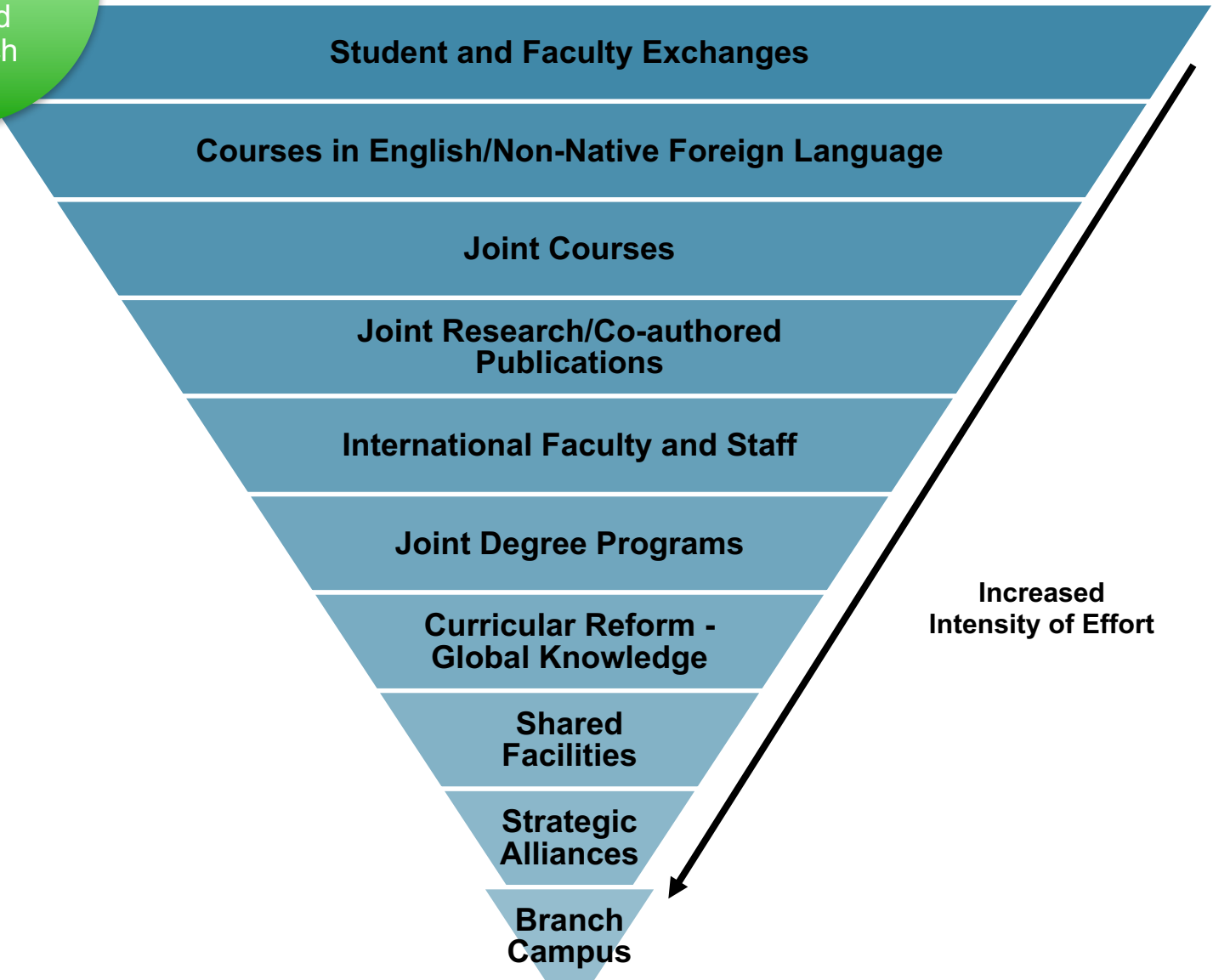
**•University of Campinas (Unicamp) - Brazil – Undergraduate Research Scholarships**

The office of the Vice President for Research PRP is responsible for selecting the best undergraduate students who wish to engage in scientific research projects under the supervision of faculty members, an activity for which they receive a monthly scholarship. The program, which exists since 1992, is supported by funds from Unicamp and from the Brazilian federal research agency CNPq. Currently 2010 about 1,000 students are supported each year through these funds. Coupled to the independent program of the state re-agency FAPESP, which provides about 500 other scholarships each year, this ensures that approximately 10% of the student engaged in formal supervised research activities in all areas while doing their undergraduate studies. At least a quarter of these students go on to pursue graduate studies, highlighting the nurturing role played by this program, perhaps unique in the whole world.



Core Mission  
—  
Teaching/Learning and  
Research

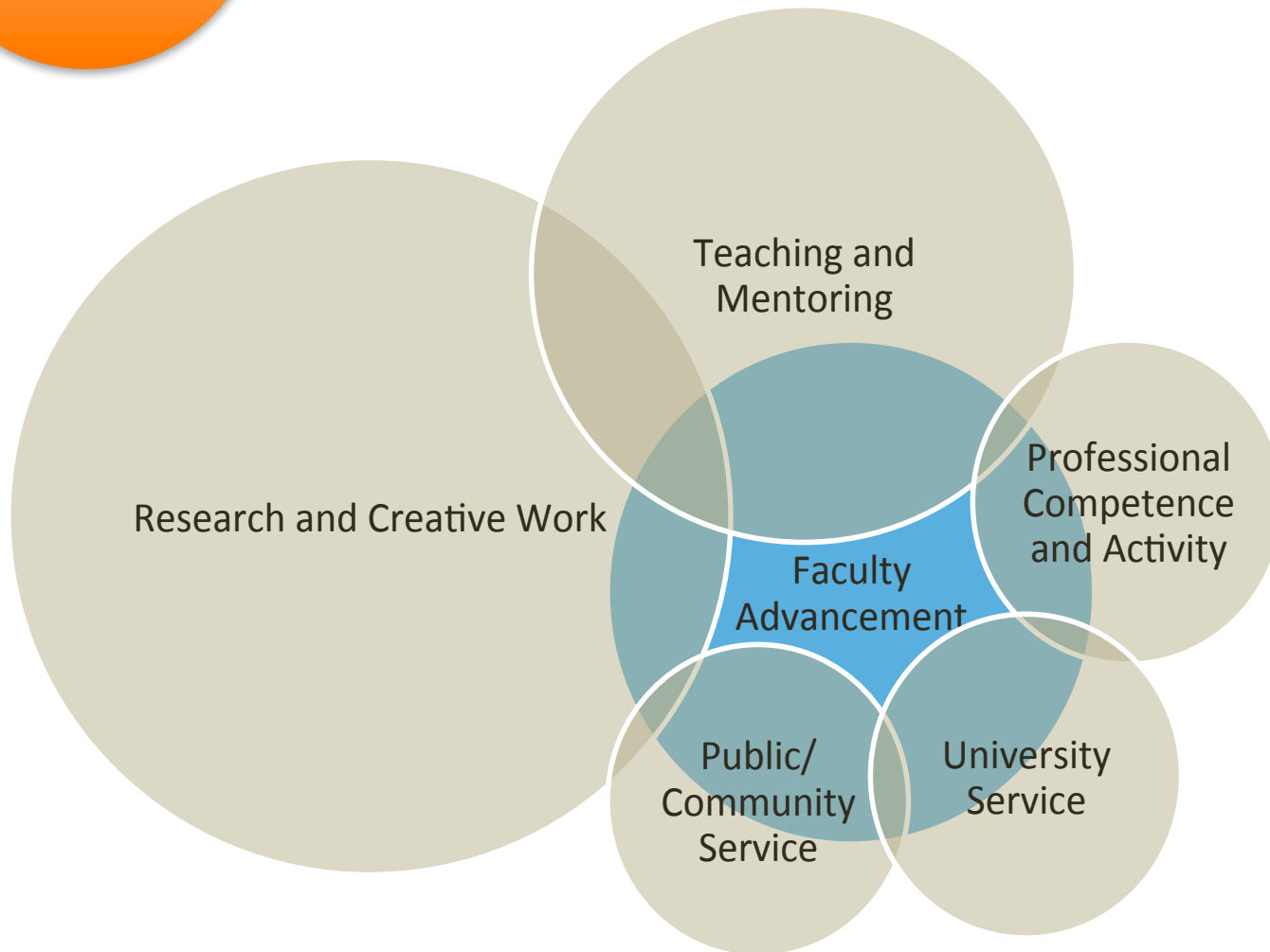
## ***Mapping of University Internationalization by the Least to the Most Institutional Effort***





# ***Faculty Hiring and Promotion – Setting Expectations***

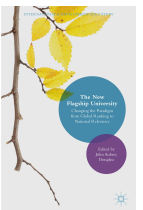
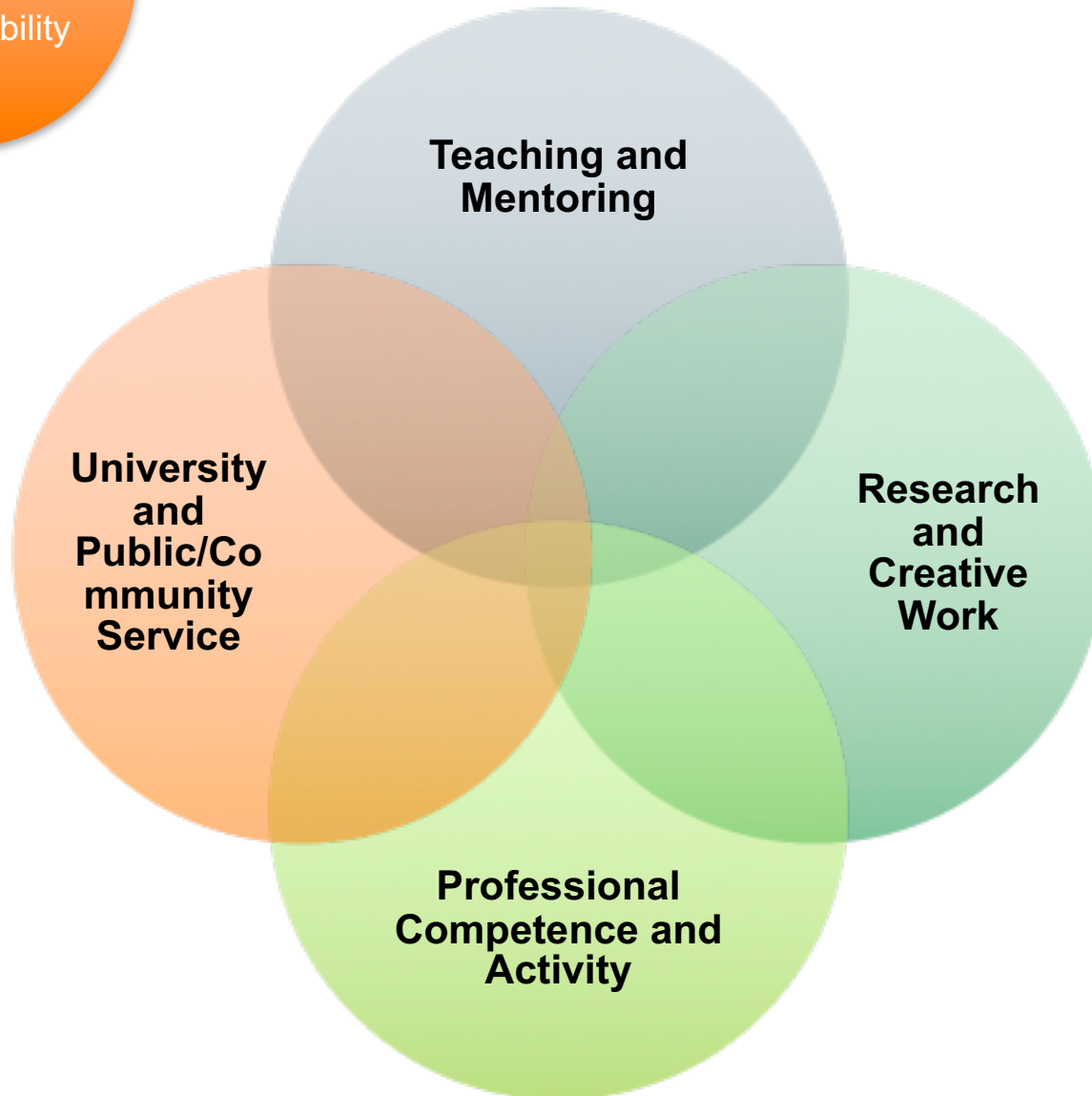
Governance,  
Management  
and  
Accountability





Governance,  
Management  
and  
Accountability

## ***Faculty Hiring and Promotion – Setting Expectations***



# ***Shared Governance Example***

Governance,  
Management  
and  
Accountability

**Faculty**

**Executive Academic Leader and  
Administration**

**Shared Responsibilities**

Curriculum  
and Degree  
Programs

Review of  
Faculty  
Advancement

Faculty  
Conduct

Budget and  
Operations  
(including  
Contracts  
and Grants)

Appointment of  
Non-Academic  
Administrators

Liason  
with  
Governin  
g Board

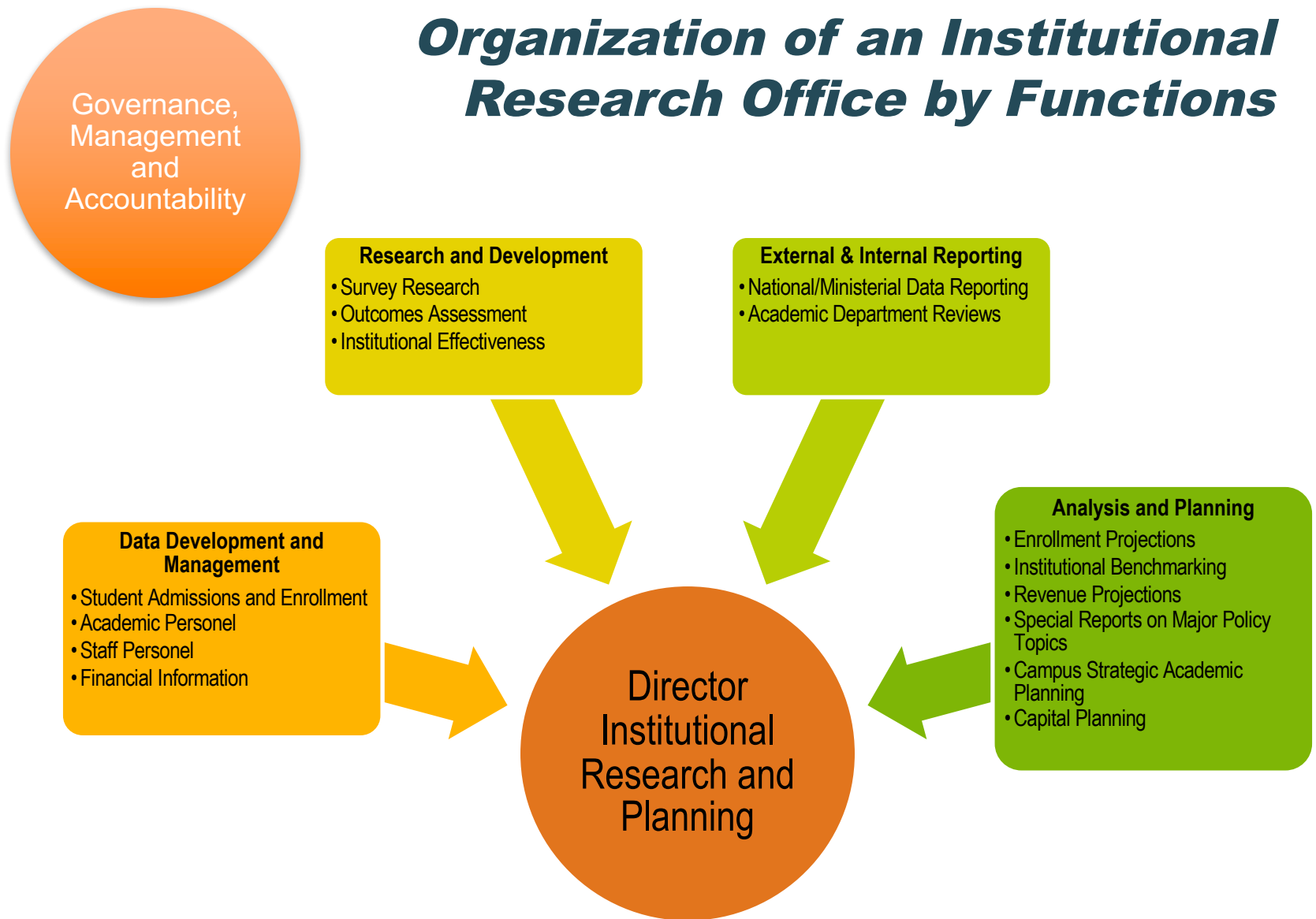
Primary liasion  
with  
Government,  
Private Sector  
and the Public

Faculty  
Appointments

Academi  
c Budget  
Decisions

Admissions  
and  
Enrollment

# ***Organization of an Institutional Research Office by Functions***

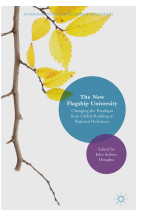


*Source: Adopted version based on Volkwein, Liu, and Woodell 2012. "The Structure and Functions of Institutional Research Offices," in Howard, Richard D., Gerald W. MacLaughlin, and William E. Knight ed, The Handbook of Institutional Research, San Francisco: Josse-Bass*



## ***Flagship Conundrums***

- ***Implies High Level of Policy and Practice Convergence -***
  - *Is there a Russian way to have a research-intensive University?*
  - *A Chinese way?*
  - *A German way?*
- ***Again, not meant as a Litmus Test – different answers and configurations***
- ***But there has to be enough commonality in intent, effort, and practice to give it meaning – An HEI would need to embrace the Flagship title and articulate its version***
- ***Therefore a self-appointed designation? Or eventually Ministerial designation in the race for resources and prestige?***





# ***Flagship Final Thoughts***

## ***My Hope:***

***That the Flagship model provides a path for some universities to explain and seek a revised institutional identity, to help them build a stronger internal culture of self-improvement and, ultimately, a greater contribution to economic development and socioeconomic mobility rates that all societies seek.***

***But for that to happen, some groups of institutions will need to embrace some version of the model on their own terms and articulate it clearly.***



# ***New Flagship Universities - NFU***

**Socially Relevant**

**Economically  
Engaged**

**Excellence in Research,**

**Excellence in Public  
Service/Community  
Engagement**

**Globally/Internationally  
Engaged –  
research/talent**

**Excellence in  
Teaching and  
Learning,**

**Internal Culture  
and Practices of  
Self-Improvement**



INTERNATIONAL & DEVELOPMENT EDUCATION

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Edited by  
John Aubrey  
Douglass

