



## Planned Change for the Basic Carnegie Classification Doctoral Universities Categories

Since its inception, the Carnegie Classification has employed every degree type except the professional practice doctorates in the algorithms that determine the Basic Classification. While it is true that these degrees were considered for the Graduate Instructional Profile Classification, they have been either uncounted or treated like master's degrees within the Basic Classification.

Professional practice doctorates, previously referred to as “First Professional Degrees,” include professional degrees awarded in Medicine (MD), Veterinary Medicine (DVM), Osteopathy (DO), Optometry (OD), Law (JD), Ministry (DMin), Divinity (DDiv), as well as an increasing number of additional health fields, such as Physical Therapy (DPT), Audiology (DAud), Occupational Therapy (ODT), Nursing Practice (DNP), Psychology (PsyD), and other areas. Moreover, because institutions decide what category to report each doctorate they confer, there is inconsistency regarding how some of these degrees are reported, especially with such degrees as the Education Doctorate (EdD), Doctor of Business Administration (DBA), Doctor of Public Administration (DPA), and additional “other than PhD” doctorates. Nonetheless, the exclusion of professional practice doctorates has been one aspect of the Basic Classification that we determined is worth addressing in the forthcoming 2018 update of the Carnegie Classification.

The general design of this change is a re-crafting of the existing doctoral university categories to accommodate the inclusion of what we now estimate will be between 125 and 175 institutions (depending on the thresholds we establish) into the existing categories, which included 334 institutions in the 2015 update. The vast majority of these institutions will come from the Master's Colleges and Universities categories, which included 763 institutions in the 2015 Classification. We expect there will also be changes due to increased research/scholarship doctorate production among other institutions that were classified in the Master's Colleges and Universities categories in 2015.

It is also possible that some institutions currently classified within the baccalaureate colleges categories would qualify as doctoral universities under this change; however, we will extend application of the “Exception Rule” that enables such institutions to remain classified as baccalaureate institutions if they are primarily small, residential, undergraduate institutions that have one or few post-baccalaureate program(s).

### Plan for Restructuring the Doctoral Universities Categories

Our working plan is to designate what is currently the “R3: Doctoral Universities – Moderate research activity” category into a yet to be officially named, “Doctoral/Professional Universities” category. The other two categories will be labeled something like, “Research Universities,” with a yet to be determined distinction that reflects the differences in levels of research activity, using essentially the same research activity index as in prior years.<sup>1</sup>

We intend to maintain roughly the same number of institutions (115, plus or minus a few) within what is now the “R1: Doctoral Universities – Highest research activity” category. The exact number will depend upon the distribution of institutions across the research activity index. We will be looking for a break point that yields as much space as possible between the institutions above and below that point.

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<sup>1</sup> We are currently planning only two minor changes to the research activity index: 1) standardizing the raw and aggregate indices before determining the composite index (in 2015, we determined the composite index before standardizing); and 2) using average rank for ties in rank on each of the component measures instead of maximum rank.



The second category, currently labeled “R2: Doctoral Universities – Higher research activity,” is going to expand in size considerably, perhaps having as many as 150-175 institutions. The new “Doctoral/Professional University” category would have approximately 200 institutions.

### **Determining the Thresholds for the Planned Change**

To implement this change, we will need to determine two sets of thresholds:

#### **Threshold 1: Criterion for being included within the Doctoral Universities categories**

The first threshold is for inclusion into the doctoral university categories. It would involve a combination (or total) of various types of doctoral degrees conferred. At the most liberal end of the spectrum, we would extend the 20 minimum threshold to include all types of doctoral degrees (research/scholarship, professional practice, and other). We are also considering thresholds such as a minimum of 20 research/scholarship doctorates (the current threshold) or a minimum of 20 professional practice doctorates. Another consideration is whether the institution must confer doctorates of any type in more than one field (four-digit level CIP code category) or general disciplinary area (two-digit CIP code category).

#### **Threshold 2: Distinguishing between Professional/Doctoral and Research Universities**

The second threshold consideration pertains to which institutions will be in one of the two Research University categories. As noted, the distinction within the two categories will continue to be based on the Research Activity Index. Therefore, the most liberal threshold that we are considering is that the institution must have reported data on both the NSF Higher Education Research and Development (HERD) Survey and the NSF/NIH Graduate Student Survey (GSS). However, we may also add in a threshold for minimum total research expenditures (\$5 million, \$10 million, \$20 million, etc.) and/or a threshold for the staffing number (total post-doctorates in science, engineering and health; and non-faculty, doctorate-trained researchers [e.g., >0, 5, 10]).

We currently have the data available to assess the first threshold, but will not receive the NSF HERD survey data until early November.

### **Questions, Comments, and Suggestions**

If you have any questions, comments, or suggestions about these planned changes, please send an email to [ccihe@iu.edu](mailto:ccihe@iu.edu). We will collect and consider those comments carefully as we move forward. We will also create an additional “Frequently Asked Questions” page on our website (<http://carnegieclassifications.iu.edu>) about the planned changes, based on the questions we receive.