RESEARCH ARTICLE

REVISED Turning the tables: A university league-table based on quality not quantity [version 2; peer review: 2 approved]

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Abstract

Background: Universities closely watch international league tables because these tables influence governments, donors and students. Achieving a high ranking in a table, or an annual rise in ranking, allows universities to promote their achievements using an externally validated measure. However, league tables predominantly reward measures of research output, such as publications and citations, and may therefore be promoting poor research practices by encouraging the “publish or perish” mentality.

Methods: We examined whether a league table could be created based on good research practice. We rewarded researchers who cited a reporting guideline, which help researchers report their research completely, accurately and transparently, and were created to reduce the waste of poorly described research. We used the EQUATOR guidelines, which means our tables are mostly relevant to health and medical research. We used Scopus to identify the citations.

Results: Our cross-sectional tables for the years 2016 and 2017 included 14,408 papers with 47,876 author affiliations. We ranked universities and included a bootstrap measure of uncertainty. We clustered universities in five similar groups in an effort to avoid over-interpreting small differences in ranks.

Conclusions: We believe there is merit in considering more socially responsible criteria for ranking universities, and this could encourage better research practice internationally if such tables become as valued as the current quantity-focused tables.

Keywords

meta-research, research quality, research reporting, league tables

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REVISED Amendments from Version 1

We have updated the paper to include references to the UK REF and the Scimago Institutions Rankings. We agree with the reviewer that our approach is about rewarding soundness instead of the unachievable goal of excellence, and we have now cited the Moore et al paper in mentioning this. Unfortunately, we were unaware of the Global Research Identifier Database; we have added this to the limitations.

See referee reports

Introduction

League tables are used by universities to advertise their value, recruit staff and students, and attract funding, particularly philanthropic funding. There are many international league tables including the *Times Higher Education World University Rankings*, *QS World University Ranking* and *CWTS Leiden Ranking*. There are also national league tables, such as the *Complete University guide* in the UK, and there are also national ranking systems such as the UK Research Excellence Framework, but in this study we only consider international league tables. We also focus on research, and so we do not consider league tables or criteria that focus on teaching or service. Many universities have dedicated web pages that promote their league table rankings with news stories and graphics¹⁻³. League tables create opportunities for universities to write positive stories based on either: i) their ranking, or ii) a large rise in their ranking as the tables are updated annually. Rankings can also be stratified by country, scientific field, or the league table's criteria (e.g. teaching or research), offering multiple opportunities for positive stories. The league tables are made by groups that are independent of universities, and therefore give an external marker of quality.

Example quotes from university web pages concerning their position in league tables are below and these demonstrate some of the ways universities use league tables for self-promotion.

- “The University’s outstanding performance in the Leiden Ranking sent a strong signal to potential partners and collaborators that top-quality, highly cited research was produced across all disciplines.” <http://tinyurl.com/y94tomgr>
- “Deakin has climbed 62 places to enter the world’s top 300 universities, according to the latest prestigious QS World University Rankings [...] The latest ranking places Deakin in the top 1.1 per cent of universities in the world.” <https://tinyurl.com/y9xzmtpk>
- “The University of Toronto is among the best universities in the world for graduate employability, a new independent study says.” <https://tinyurl.com/ydxju5xu>
- “These results demonstrate that the University of Toronto is a consistent producer of impactful, world-class research across a broad range of disciplines” <https://tinyurl.com/yd3uz83m>

The quotes were selected to illustrate how universities value league tables. They were found by selective searching and are not a representative sample.

University managers often want to maintain a high ranking or increase their ranking in international league tables, and may implement top-down policies that encourage their staff to work in ways that will achieve this. A review of the impact of university league tables in the UK found that they, “appear to be having a significant influence on institutions’ actions and decision-making”⁴. These changes to research practices may have societal costs. For example, encouraging researchers to focus on quantity so that rankings based on publications numbers increase, may lead researchers to cut corners in order to increase their output at the expense of quality⁵.

League tables could potentially be used to promote positive changes in research culture if they included criteria of good research practice, which might then encourage university managers to widely promote good practice.

Criteria used by league tables

The International Ranking Expert Group (IREG) audit university league tables and aim to strengthen public awareness and understanding of university rankings. A recent inventory by IREG found 17 international league tables⁶, although two are based solely on web traffic and one concerns environmental sustainability. Of the remaining 14 tables, 12 use publication numbers, and 12 use citations.

Although papers and citations are commonly used, every league table uses their own method to count them. Variations include:

- Only papers or citations from selected “high quality” journals
- Only relatively highly cited papers
- Only papers cited by industry
- Citation numbers divided by the number of papers
- Paper numbers divided by the number of staff

The differences between league tables could reflect genuine differences of opinion in the best way to use the data. It could also be somewhat due to a desire by league tables to differentiate themselves and so produce novel results. It could also be because papers and citations are imperfect proxies of quality, and so there are multiple opinions on how best to refine them.

Criticisms of league tables

A seminal paper on institutional ranking (including hospitals and schools) in 1996 by Goldstein and Spiegelhalter stated that responsible rankings, “may provide relevant information to universities, students, funders and governments”⁷. However, they also cautioned about the need to consider data quality, uncertainty in the rankings, gaming by institutions, and unwarranted conclusions based on small changes in ranks. A report on the use of public league tables recommended that every table should have an appropriate and prominent “health warning” about their limitations⁸.

The criteria used by university league tables have been criticised for lacking construct validity⁹ and for experiencing implausibly large changes from year to year¹⁰, some of which were due to calculation errors and methodological changes¹¹.

A report on the use of citation statistics warned that “citation data provide only a limited and incomplete view of research quality”¹². An analysis of misprints in citations suggested that most researchers simply copy citations without reading the actual paper¹³, which undermines their face validity as a ranking criteria. Citations and paper numbers can be gamed^{14,15}, and gaming by researchers can greatly alter a university’s ranking¹¹. Concerns about the misuse of simplistic metrics in research led to the Leiden Manifesto in 2015, which set out ten principles for the proper use of metrics for evaluating researchers and institutions¹⁶. In 2017 the Leiden group created ten more principles for responsibly ranking universities¹⁷, which included transparency and acknowledging the uncertainty in rankings.

Good research practice

To our knowledge, only one current international league table includes a measure of best publication practices, by which we mean established methods that increase the robustness, transparency and reproducibility of research. The one example is the *Scimago Institutions Rankings* which includes the percent of Open Access papers, however this is weighted at just 2% and far higher weightings are given to publication numbers and citations. There is an international league table of potentially questionable research practice, which is the *Retraction Watch* table of individual researchers ranked by their number of retracted papers¹⁸.

Examples of good research practice are:

- Including key stakeholders in forming research questions¹⁹
- Publishing a protocol and ensuring that the results presented match those planned in the protocol²⁰
- Publishing results even when they are statistically negative or potentially commercially damaging²¹
- Using reporting guidelines to write-up the results²²
- Sharing data and code where available²¹

Unlike the traditional metrics, such as the number of publications, used by current league tables, these metrics are prerequisites to solving recognised problems in science. Recent evidence points to a growing reproducibility crisis in many fields of research, which is only possible to examine when sharing of data, code, materials and methods takes place.

Good research practices help reduce research waste, which can occur when researchers cut corners in order to progress in the “publish or perish” game. Avoidable research waste is an enormous problem and an estimated 85% of the current investment in health and medical research is wasted due to poor research practice, which is billions of dollars per year²³.

In this paper we examine one of these good research practices by examining when authors cited an EQUATOR reporting guideline²⁴. EQUATOR stands for: Enhancing the Quality and Transparency Of health Research, and they are a wide-ranging suite of more than 400 guidelines that cover every common research study design. There is evidence that using a reporting guideline improves the quality of the published paper^{25,26}. Our key

assumption is that citing the guideline is an indicator of good research practice. Our aim is to reward research “soundness” rather than the typical aim of rewarding “excellence”, an approach which has failed to improve research quality and has instead fueled hyper-competition by rewarding the quantity of research²⁷. An important difference from our approach compared with previous league tables, is that we reward the universities whose researchers give the citation, not the universities of researchers who receive the citation.

There are four EQUATOR centres around the world (UK, France, Canada and Australasia) with the aim of promoting the use of the guidelines worldwide. Many of the most commonly used EQUATOR guidelines have been translated into multiple languages.

There is a wide literature on rankings and university league tables including discussions of policy²⁸, design²⁹ and statistical critiques⁷, as well as systematic reviews³⁰ and books³¹. We do not review this literature in detail, as our primary aim was to identify whether a league table could be constructed based on good research practice.

Methods

We use the phrase “university rankings” to be consistent with the existing league tables. However, “institutional rankings” would be more accurate because we include research institutes that may be affiliated with universities but do not graduate students, such as the “Baker Heart and Diabetes Institute”.

Papers included

We counted papers that cited one of the EQUATOR guidelines for clinical trials (**CONSORT**)³², systematic reviews (**PRISMA**)³³, and observational studies (**STROBE**)³⁴. We chose these three guidelines because they cover three commonly used study designs. Each guideline was published simultaneously across multiple journals, which was done to increase their reach into multiple fields. We therefore counted citations to any of the original papers or updates to the guidelines (see Supplementary List 1)³⁵. If a paper cited multiple EQUATOR papers, then only one was counted.

To include only papers that adhered to the first item on the CONSORT and PRISMA guideline check-lists, which is to include the study design in the title, we only included papers that included the following in their title:

- For CONSORT papers: “randomised trial” OR “randomized trial” OR “RCT”
- For PRISMA papers: “systematic search” OR “systematic review” OR “systematic literature review” OR “scoping review” OR “meta-analyses” OR “meta-analysis” (including versions without hyphens)

We did not include a restriction for STROBE papers because there are many observational study designs and any list we created might exclude valid papers.

To focus on original research, we included publication types of Articles or Reviews, and excluded Editorials, Commentaries and Corrections.

We aimed to sum citations per year and we examined the two most recent complete years of data by using papers published in 2016 or 2017.

We used *Scopus* to identify citations because it is a recognised database for citations that is used by four international league tables, and because of the ease of extracting the data using the *rscopus* package in R³⁶ (Version 0.6.3). We used the *rentrez* package in R (version 1.2.1) to extract meta-data on the papers from *Pubmed*³⁷. Papers were excluded if they did not have a digital object identifier (DOI), because this was the key linking variable for extracting the affiliation data. The data extraction from *Scopus* was performed on 19 December 2018.

Cleaning affiliations

We extracted all authors' countries and affiliations. The affiliation data is free text and required extensive cleaning to extract a standardised set of universities. Affiliations were changed to:

- Remove departments, for example, "Mansoura University, Urology and Nephrology Center" to "Mansoura University"
- Include non-Roman letters, for example, "Universite de Montreal" to "Université de Montréal".
- Remove locations, for example: "Massey University, Auckland" to "Massey University". The exception was where the location was needed to differentiate the university, for example the University of Newcastle in the UK and Australia.
- Remove unnecessary prefixes, for example: "The University of Sydney" to "University of Sydney"
- Spell-out acronyms, for example: "UCL" to "University College London"
- Consolidate dual names, for example: "University of Reykjavik" to "Reykjavik University"
- Consolidate institutes associated with a university, for example: "The Ottawa Hospital" is associated with the "University of Ottawa". We used the list of 1,802 affiliated institutions provided by the 2018 Leiden ranking¹⁷.

We changed vague affiliations to missing, for example "Faculty of Health".

We standardised affiliations to ensure that citations were consolidated into a single university rather than being split over two or more universities and hence creating a falsely low position in our league table.

A flow chart of the data collection and management is in Supplementary Figure 1³⁵.

Creating our league table

To create a score per university, we summed the total number of citing papers per university per year. To better divide the credit from a citation, we used an organisational-level fractional count of author affiliations per paper³⁸. So, for example, if a paper had two affiliations in the address list, one from Queensland University of Technology and one from Ottawa Hospital Research Institute, then each university would gain 0.5. A fractional count

avoids the situation where universities gain a full point even when their staff member was only one of multiple authors.

We examined the amount of missing affiliation data by country to look for biases in the affiliation data that may disadvantage particular universities or geographic regions in our league table. We also included "Missing" as a separate university, in order to show the relative importance of missing data.

We accounted for uncertainty in our league table using a bootstrap procedure³⁹. We randomly resampled with replacement from all the citing papers and recalculated each university's score and rank. We repeated this resampling 1,000 times. To summarise this uncertainty we created a bootstrap 95% confidence interval for the rank.

We examined changes over time by comparing the ranks of universities in the top 200 in 2016 and 2017. We used a Bland–Altman plot to examine how ranks changed between these two years⁴⁰. For comparison, we also used a Bland–Altman plot of the *THE World University Rankings* using their research criterion, which combines a reputation survey, data on research income and paper numbers⁴¹.

We qualitatively self-assessed our league table against the ten principles for responsible ranking from the Leiden group⁴².

As a comparison to our good research practice table, we created a standard league table based on counting each university's papers for the years 2016 and 2017. We counted articles only, not books, editorials or letters. To match our good practice table which is focused on health and medical research, we only included papers in the three subject areas of Dentistry, Health Professions and Nursing. These data were from *Scopus*.

Clustering universities into similar groups

We present our results as a table using the total score per university per year and give an integer rank to universities in each year. This implies a monotonic order, where each university performed better than the university below it. This is unlikely to be true, and to give a better impression of performance we used clustering to group universities into five clusters. We chose five as an *a priori* opinion of the number of meaningful clusters. We used a Bayesian clustering model defined as:

$$S(i, t) \sim \text{Normal}(\bar{x}[c(i, t)], \sigma^2), \quad i = 1, \dots, N_t, \\ t = 2016, 2017,$$

$$\bar{x}(1) = \gamma(1),$$

$$\bar{x}(j) = \gamma(j) + \bar{x}(j-1), \quad j = 2, \dots, 5,$$

$$\gamma(j) \sim \text{Exponential}(1), \quad j = 1, \dots, 5,$$

$$c(i, t) \sim \text{Categorical}(\pi),$$

$$\pi(j) = \frac{\delta(j)}{\sum_{j=1}^5 \delta(j)}, \quad j = 1, \dots, 5,$$

$$\delta(j) = \text{Uniform}(1, 99/4), \quad j = 1, \dots, 5,$$

$$\sigma^2 \sim \text{Uniform}(0.01, 1000)$$

where $S(i, t)$ is our score for university i in year t . The five cluster means ($\bar{x}$) are ordered from low to high. For each university we estimate their cluster, $c(i, t) \in c(1, 2, 3, 4, 5)$, which comes from a categorical distribution with five probabilities $\pi(1), \dots, \pi(5)$. These probabilities came from the sum of five uniform prior distributions which were formulated so that the minimum probability for each cluster was 1% ($\pi \geq 0.01$). This was an attempt to avoid small clusters of just a few universities. We only applied the clustering algorithm to universities with a score of 2 or above, which removed the large number of universities with small samples sizes and low scores. We cross-tabulated the median clusters by year to show how many universities changed between 2016 and 2017.

The data extraction and analyses were made using R version 3.5.2⁴³. The clustering model was fitted in WinBUGS (version 1.4.3)⁴⁴ and we visually checked the mixing of the Markov chain Monte Carlo estimates. The data and code that created the tables is available here: <https://github.com/agbarnett/league.tables>.

In summary, the aim of our table was to score universities using the EQUATOR guidelines, with higher scores indicative of better research practice. We also included measures of uncertainty via the bootstrap and attempted to cluster similar universities. We report our results using the STROBE guidelines³⁴.

Results

Our tables included 14,408 papers giving a total of 47,876 author affiliations that could be counted. The average number of affiliations per paper was 3.3.

Missing affiliations

The number and percent of missing affiliation data are shown by country in Table 1. If the country was missing then the affiliation was also likely to be missing. The most amount of

missing data was in the USA. Overall the percent of missing affiliation data was small, at just 0.5% of all affiliations.

Highest ranking regions and countries

Before examining institutions, we first examine the scores by regions and countries, and the top ten regions and countries are shown in Table 2. The rank order of the top ten was the same for the regions and countries, except for the tenth ranked country, which was Denmark in 2016 and Spain in 2017. Every region and country in the top ten had a higher total score in 2017 than 2016, reflecting an increased use of the EQUATOR guidelines. The highest ranking regions and countries in the table are familiar producers of research.

Highest ranking universities

The top ten universities in each year are in Table 3. We have presented the scores in this paper to one decimal place, but would use rounded integers in public tables to discourage readers over-interpreting small differences. The University of Toronto had the highest score for papers citing the EQUATOR guidelines in both years. Although the proportion of missing affiliation data in the entire data set is small (just 0.5%), “Missing” was in the top ten in both years.

Table 2. Total good research practice scores for the top ten regions and countries in 2016 and 2017.

These results exclude “Missing” as a nominal country or region.

Rank	Region	2016	2017
1	Western Europe	2,459	2,986
2	Northern America	1,521	1,807
3	Asia (excluding Near East)	1,279	1,658
4	Oceania	593	727
5	Latin America and Caribbean	325	424
6	Near East	86	109
7	Sub-Saharan Africa	61	89
8	Eastern Europe	46	71
9	Northern Africa	35	38
10	Baltics	5	7
Rank	Country	2016	2017
1	United States	1,074	1,269
2	China	871	1,064
3	United Kingdom	719	827
4	Australia	553	668
5	Canada	440	526
6	Italy	319	358
7	Netherlands	296	349
8	Brazil	266	345
9	Germany	220	277
10	Denmark (2016) / Spain (2017)	136	190

Table 1. Number of complete and missing affiliation data by country for the top ten countries. “Missing” is included as a nominal country, that is the affiliation and country data were both missing. Countries ordered by number missing.

Country	Complete	Missing	% missing
Missing	72	55	43.3
United States	8,064	39	0.5
Italy	2,644	22	0.8
United Kingdom	5,223	16	0.3
Australia	4,187	14	0.3
Brazil	1,609	12	0.7
Canada	3,817	12	0.3
Germany	1,606	12	0.7
Spain	1,306	10	0.8
China	4,098	8	0.2
All other countries	14,991	59	0.4
Total	47,617	259	0.5

Table 3. Top ten ranking universities in 2016 and 2017 for our good research practice table. Universities are ordered by their score in each year. The cluster column is the median cluster from the Bayesian model, with '5' the highest cluster. The rank is the median rank and 95% bootstrap confidence interval in brackets. The standard rank is based on counting each university's annual papers.

University	Score	Cluster	Good practice Rank (95% CI)	Standard rank
2016				
University of Toronto	82.8	5	1 (1 to 2)	2
University of Sydney	75.8	5	2 (1 to 2)	5
Missing	47.3	4	4 (3 to 12)	— ^a
King's College London	46.5	4	4 (3 to 10)	16
Zhejiang University	42.0	4	7 (3 to 19)	176
University College London	40.7	4	8 (3 to 17)	7
Mayo Clinic	39.7	4	9 (3 to 20)	38
West China Hospital of Sichuan University	39.1	4	9 (3 to 22)	239
Erasmus University Rotterdam	38.1	4	10 (4 to 21)	92
University of Melbourne	37.6	4	11 (4 to 20)	13
2017				
University of Toronto	97.4	5	1 (1 to 1)	1
University of Sydney	67.2	5	2 (2 to 4)	5
West China Hospital of Sichuan University	56.7	5	4 (2 to 10)	206
Missing	56.6	5	4 (2 to 10)	— ^a
University College London	53.8	4	5 (2 to 10)	8 ^b
King's College London	50.3	4	7 (3 to 13)	12
Harvard University	50.1	4	7 (3 to 12)	8 ^b
University of Ottawa	47.4	4	9 (4 to 14)	95
Monash University	47.2	4	9 (4 to 15)	25
University of Oxford	46.8	4	9 (4 to 16)	64

^a There was no standard rank for missing affiliations. ^b Tied.

The University of Toronto was ranked highest for good research practice in both years, and there was little uncertainty in this top ranking as the bootstrap confidence intervals were rank 1 to 2 in 2016 and rank 1 to 1 in 2017. The University of Sydney was ranked second in both years.

The clustering model selected only a small number of universities to be in the highest category of '5', despite our attempt to avoid small clusters by formulating a minimum prior probability of 1%. Summary statistics for the five clusters are in Supplementary Table 1³⁵.

There was relatively little movement in clusters between years for the best clusters of '3' to '5' (Table 4). There was more movement over time between the lowest two clusters of '1' and '2'. Only two universities moved by two or more clusters, which was from '1' to '3'.

The 95% bootstrap intervals were wider for universities outside the top ten. For example, for the university ranked 100 in 2017, the 95% interval was from rank 63 to 176. The width of the

Table 4. Cross-tabulation of estimated clusters for universities in 2016 (rows) and 2017 (columns). The diagonal numbers in bold correspond to no change from 2016 to 2017. '5' is the highest cluster with the best score.

2016 \ 2017	1	2	3	4	5	Total
1	120	80	2	0	0	202
2	48	129	30	0	0	207
3	0	10	42	9	0	61
4	0	0	2	16	2	20
5	0	0	0	0	2	2
Total	168	219	76	25	4	492

interval increased by an average of 13.6 for every 10 increase in rank (95% CI 13.0 to 14.1 using linear regression; see Supplementary Figure 2³⁵). This increase was due to the

reduced sample size (number of papers) for lower ranked universities.

The universities in our top 10 had varied results using a standard ranking, with some being in the top 10 and others outside the top 100. Two Chinese universities ranked in the top ten in our good research practice ranking, but were outside the top 100 using the standard table. Erasmus University and The University of Ottawa also did much better on the good research practice ranking than the standard ranking. The Spearman's rank correlation between the standard ranking and our good practice ranking was 0.59.

Complete tables for all universities with a score of two or above are available online: <https://aushsi.shinyapps.io/equator> (available until 2020). These interactive tables allow examination of the results by year, geographical region and selected countries. The top 50 universities per year are shown in Supplementary Tables 2 and 3³⁵.

Agreement in ranks between years

We show the agreement in university ranks between years using Bland–Altman plots in [Figure 1](#). For both our league table and the *THE* table, there was less change in the highest ranking universities, and more movement between years at lower ranks. The Bland–Altman limits of agreement were –60 to 60 in our table and –46 to 43 for the *THE* table.

Assessment against the ten Leiden principles for ranking universities

We assessed our Good Research Practice league table against the ten Leiden principles in [Table 5](#).

Discussion

Current league tables place a high value on the quantity of research outputs and citations. The irony is that the biomedical literature is littered with publications that cannot be reproduced, have substantive reporting biases and mistakes in study design, making much of such output unusable²⁰. It is hard to imagine why most universities continue to support the current ranking schemes given that they may be reducing the positive value universities have on society. We believe there is merit in considering alternative more socially responsible criteria for ranking universities.

We have created a league table based on a good research practice criterion that shows which universities are performing well and which could improve. We aimed to include all eligible universities, and so our results should be inclusive and generalisable.

Future ranking criteria

Lindner et al recently examined whether metrics and incentives could be developed to encourage scientists to use high-quality methods and publish “negative” studies⁴⁵. They concluded that, “If rigorous, innovative studies of significant issues and publication of valid, reproducible results are desired, the best way

Figure 1. Bland–Altman plots of the agreement in university league table ranks between 2016 and 2017 for our good research practice league table and the *Times Higher Education* league table for research. We only examine universities in the top 200 in both years, which is 161 in our table and 184 in the *THE* table. The dashed horizontal lines are the Bland–Altman limits of agreement.

Table 5. Self-assessment of our Good Research Practice league table against the ten principles for the responsible use of university rankings⁴².

#	Principle	Self-assessment
1	A generic concept of university performance should not be used	We did not use a composite measure and detail what our score measures
2	A clear distinction should be made between size-dependent and size-independent indicators of university performance	Our score is size-dependent and we acknowledge that universities with larger health and medical research departments have more potential to achieve higher ranks
3	Universities should be defined in a consistent way	Some universities had varying affiliation wordings and we tried to appropriately combine affiliations. This was challenging and there may be combinations that we have missed.
4	University rankings should be sufficiently transparent	We have openly shared our R code that produced the tables and described our methods in this paper
5	Comparisons between universities should be made keeping in mind the differences between universities	This is a matter of how readers interpret differences between universities. To aid comparisons we could potentially add an estimate of this size of each university's health and medical research staff.
6	Uncertainty in university rankings should be acknowledged	We used a bootstrap procedure to estimate the uncertainty in ranks.
7	An exclusive focus on the ranks of universities in a university ranking should be avoided; the values of the underlying indicators should be taken into account	We used clustering to try to more sensibly group universities by performance compared with ranks. A change in cluster between years will more likely reflect a real change compared with a change of a few league positions.
8	Dimensions of university performance not covered by university rankings should not be overlooked	We acknowledge that our table has a specific focus on health and medical research. Within this field it will be biased towards researchers producing quantitative papers, and does not currently recognise qualitative work.
9	Performance criteria relevant at the university level should not automatically be assumed to have the same relevance at the department of research group level	Our scores may be the amalgam of multiple schools in the same university, e.g., schools of public health and medicine. Care should be taken about interpreting how scores reflect the performance of individual schools or researchers (the ecological fallacy).
10	University rankings should be handled cautiously, but they should not be dismissed as being completely useless	We aimed to provide a different ranking system to current league tables, and one that might encourage good research practice.

to achieve those objectives is to explicitly evaluate and reward scientists based on those criteria.”

Lane suggested that new metrics should capture “the essence of what it means to be a good scientist”⁴⁶ and future league tables could include:

- the percent of papers that are open access (as suggested by Nichols and Twidale⁴⁷),
- papers where the data and/or code have been openly shared,
- studies that were pre-registered and published in a timely manner,
- papers with a published protocol.

However, league tables generally rely on large volumes of data to create scores, meaning these criteria would need to be automated. At present we could only likely automate whether matching data or protocol paper existed, and not whether the data was complete or whether the authors followed the protocol. Detailed data that cannot be automated can be collated on a smaller scale using audits^{48,49}.

We could expand our criteria to include more of the EQUATOR guidelines, such as the STARD guidelines for diagnostic accuracy studies⁵⁰. Including more EQUATOR guidelines would increase the sample size per university and so would likely reduce some of the variation between years shown in Figure 1.

We did not adjust for the size of the university to produce a relative measure of performance. Hence our table is biased towards larger universities that have more staff, an issue recognised by the Leiden manifesto on metrics¹⁷. An ideal standardisation would be to adjust for the number of papers that failed to cite an EQUATOR guideline when appropriate. This could be used to give an indication of performance regardless of size, and would also show the potential improvement for each university.

One surprising result from our tables was the high rank of “Missing”. This shows the importance of correctly completing affiliations, and universities could increase their rankings (in our table and others) by promoting a clear and consistent affiliation to their staff. We recommend that all league tables report the amount of missing data and show its ranking in their tables. We also recommend, as have others^{7,17}, that all league tables include a measure of ranking uncertainty.

Limitations

There are many limitations to constructing a university league table, and our tables should be treated as suggestive rather than definitive⁷.

It is impossible to numerically validate our table because there is no gold standard ranking against which we can compare our results. We qualitatively assessed our own performance against the ten Leiden principles, but others may be more critical.

A valid concern with our table is that it would be gamed, with researchers simply citing an EQUATOR guideline without engaging with it. This is very likely to happen, but we cannot estimate the scale of this problem. This is less likely in journals that appropriately implement reporting guidelines because there is an internal check. The harms from such gaming could be outweighed by the number of researchers and universities that genuinely engage with the EQUATOR guidelines. Benefits would likely include greater awareness of the guidelines, and prompting researchers who were already aware of them to use them more rigorously. Complete and transparent reporting has been indicated as an essential prerequisite in dealing with the reproducibility crisis⁵¹. Some token engagement with a guideline could be spotted by the paper’s peer reviewers, although peer reviewers often have limited time and have an imperfect record of spotting mistakes in papers⁵². It may be possible to automate how the paper has adhered to the guidelines and produce a report that is shared with the authors, reviewers and editor(s), and there is an ongoing trial at the journal *BMJ Open* of such a tool⁵³.

The free text affiliation data from *Scopus* were challenging to process as they were often incomplete and inconsistent. Some universities have multiple versions of their name, including acronyms and English-language versions. We made extensive searches and asked international colleagues to check where consolidations could be made. However, we are very likely to have missed some consolidations, and hence some universities may be too low in our tables because their data has been spread across multiple names. Unfortunately we were unaware of the *Global Research Identifier Database project* <https://www.grid.ac/> which helps to standardise institution names, and incorporating this data could improve our table accuracy.

We tried to examine a correlation in ranks between our tables and those of the *Times Higher Education World University Rankings* and *CWTS Leiden Ranking*. However, it was very difficult to correctly merge the data because of the large variation in affiliation names. Just one of many examples is we use “Mayo Clinic”, whereas the *Times Higher Education* uses “Mayo Medical School”, and this institute is not included in the *CWTS Leiden Ranking*.

Related study

We could only find one previous related study, which was an international ranking that aimed to measure research quality by using membership on academic editorial boards of professional journals⁵⁴. They extracted researchers’ names from the websites of 115 economics journals creating a sample of over 3,700 researchers, and created league tables of researchers and universities. Their conclusion was that their table could be used to find experts to evaluate research quality.

Conclusions

International league tables are fuelling a hyper-competitive research world that values quantity over quality. We attempted to create the first international league table that focused on good research practice. This is part of a long recognised need to focus

on quality over quantity, which was raised by Doug Altman in 1994 when he said, “We need less research, better research, and research done for the right reasons”⁵⁵. Our table is not a perfect measure of research quality, but we hope that such tables will become valued by right-thinking universities whose goal should be to produce robust research rather than simply the most amount of research.

Data availability

Underlying data

A random selection of 500 rows of the data has been made available (see below). The public sharing of data for the purpose of reproducibility with a specific party is permissible upon written request and explicit written approval and the dataset remains with the customer/research. Requests can be made to: integrationsupport@elsevier.com. Zenodo: [agbarnett/league.tables](https://doi.org/10.5281/zenodo.2594016): Ready for journal submission. <https://doi.org/10.5281/zenodo.2594016>³⁵.

Extended data

Zenodo: [agbarnett/league.tables](https://doi.org/10.5281/zenodo.2594016): Ready for journal submission. <https://doi.org/10.5281/zenodo.2594016>³⁵.

- Supplementary List 1. List of papers for which citations were counted.
- Supplementary Figure 1. Flow chart of the data collection and management steps.
- Supplementary Table 1. Summary statistics for the five clusters from the Bayesian model. Estimated probability for each cluster (π), mean scores $\bar{x}$, and 95% credible intervals for means.
- Supplementary Table 2. Top 50 ranked universities in 2016.

- Supplementary Table 3. Top 50 ranked universities in 2017.
- Supplementary Figure 2. Scatter plot of the width of the 95% bootstrap interval against rank using the top 200 universities in both years.

Where appropriate, extended data are held under the [MIT License](#).

Software availability

Source code used for analysis available from: <https://github.com/agbarnett/league.tables>.

Archived data and code at time of publication: <https://doi.org/10.5281/zenodo.2594016>³⁵.

Licence: [MIT License](#)

Author contributions

AB and DM conceived the original idea and designed the league table. AB did the data extraction and statistical analyses. AB and DM interpreted the results. AB wrote the first draft of the paper with input from DM.

Grant information

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The funders had no role in study design, data collection and analysis, decision to publish, or preparation of the manuscript.

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No further comments.

Competing Interests: No competing interests were disclosed.

Reviewer Expertise: Open access; scientometrics

I confirm that I have read this submission and believe that I have an appropriate level of expertise to confirm that it is of an acceptable scientific standard.

Version 1

Reviewer Report 04 July 2019

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This paper explores a new approach for ranking universities through a proxy for good research practice.

A positive aspect of the paper is that rather than simply complaining about the methods of existing ranking systems the authors have attempted to practically provide an alternative. I agree that no other ranking attempts to rank mainly (or entirely) by best practice, and this is a novel contribution of this paper. As such the paper provides a valuable counter-balance to the current dominant ranking methods. Although the paper focuses on the global rankings the same arguments would seem to apply to national ranking systems such as the REF (UK) and the PBRF (New Zealand). It would be good to add a note to this effect.

One linkage to prior work which could be added is the discussion around research soundness in Moore *et al.*¹. In discussing “soundness” rather than “excellence” they say: “... our focus should be on thoroughness, completeness, and appropriate standards of description, evidence, and probity rather than flashy claims of superiority—presents an alternative to the existing notions of “excellence” ... “Soundness” can be assessed by how it supports socially developed and documentable processes and norms.”¹

These goals seem to be similar in spirit to the EQUATOR guidelines used in this paper; indeed, this paper could be regarded as an exploratory attempt to implement the “soundness” concept.

The variability of institution names is a perennial problem in these types of study: did the authors consider standardising via the Global Research Identifier Database (GRID)?

This public domain data set of institutions has been produced by Digital Science as part of their Elements/Altmetrics work and is designed for this type of application.

Scopus does have an open access indicator which is viewable in their web interface: does this value come through the API that was used? If so, it might be worth noting this data as one way to investigate alternative indicators.

Also worth mentioning is that at least one university ranking exercise, the SCImago Institutions Rankings, does (from 2019) include a measure that rewards more Open Access publications: find [here](#).

“It is hard to imagine why most universities continue to support the current ranking schemes given that they may be reducing the positive value universities have on society.”

I don't find this hard to imagine at all, reasons could include: inertia, perceived lack of ability for an individual university to alter the rankings environment, historical autonomy of universities and consequent difficulty of coordinated global action. The institutions at the top of current rankings are probably fairly content with their position and those further down tend to have less influence/power. The paper's criticism of universities “support” for current ranking schemes can be equally levelled at governments who organise national ranking systems: why should they not evaluate research on the grounds of good practice?

I would include the term ‘Scopus’ in the Methods section of the Abstract as the data source is a critical aspect of scientometric studies.

Clustering is an appropriate method to use to address the issue of small movements in ranks between years essentially being noise. The clustering definition appears fine although I don't have experience with Bayesian Clustering so cannot give a fully informed judgement on that specific aspect. However, the key point of the paper does not depend on whether this clustering method is the best or most appropriate. Any broadly equivalent method would be fine. I do not anticipate

that the precise numbers/ranks/clusters in this paper would be actually used for ranking institutions in any consequential manner.

The key message of the paper is that alternatives to the current ranking systems are feasible. As such it makes a useful contribution to research policy.

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Is the work clearly and accurately presented and does it cite the current literature?

Yes

Is the study design appropriate and is the work technically sound?

Yes

Are sufficient details of methods and analysis provided to allow replication by others?

Yes

If applicable, is the statistical analysis and its interpretation appropriate?

Yes

Are all the source data underlying the results available to ensure full reproducibility?

Yes

Are the conclusions drawn adequately supported by the results?

Yes

Competing Interests: No competing interests were disclosed.

Reviewer Expertise: Open access; scientometrics

I confirm that I have read this submission and believe that I have an appropriate level of expertise to confirm that it is of an acceptable scientific standard.

Reviewer Report 13 May 2019

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Ellen Hazelkorn

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This paper presents an interesting perspective on rankings with particular attention given to quality vs quantity argument. There is an extensive literature on rankings and research; the authors refer to some of the key texts. The issue of citations is arguably more problematic than referenced here; the problem of citations includes self-citation and poor practice as well as whether it is a meaningful measure of quality. However, there is a wider debate around whether citations are a meaningful or appropriate measure of 'impact' given that policy attention is increasingly on impact beyond the academic community.

The authors use examples of research best practice to ask about the extent to which rankings - which predominantly measure research output - are 'genuinely' concerned about the quality of the research or simply the number of papers or the number of citations, etc. This is an admirable attempt to get behind the rankings.

As part of the methodological steps taken, the authors encounter a major default with the research data as evidenced by the way in which authors describe their own institutional/university affiliation. This is a major problem for institutions; on the other hand, it can also be one of the cheapest ways to improve in the rankings simply by cleansing the data as well as ensuring that the institutional data supplied is accurate. There are examples of universities which have changed position, up and down, because of this. Surprising how much institutional data is either inaccurate or indeed 'gamed'. The extent of the cleansing problem revealed is nonetheless staggering.

The results are particularly interesting, particularly the positioning of China in the country and university rankings. This comes at a time when China is being accused of poor practice, this is a very interesting result. It also reflects the increasing multi polarity of global science. While previous decades saw the EU, Japan and the US dominate, as Leydesdorff, Wagner, & Adams (2013)¹ argue, today the number of scientific nations now includes more than 40 nations. This is an interesting finding and may challenge perceptions of the scientific world.

The paper gives us food for thought albeit it is unlikely to affect the main rankings - Times Higher Education and QS - or even Shanghai's Academic Ranking of World Universities given the level of complexity. Nonetheless, it asks valid questions about whether what is measured is what we think is measured.

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Is the work clearly and accurately presented and does it cite the current literature?

Yes

Is the study design appropriate and is the work technically sound?

Yes

Are sufficient details of methods and analysis provided to allow replication by others?

Yes

If applicable, is the statistical analysis and its interpretation appropriate?

I cannot comment. A qualified statistician is required.

Are all the source data underlying the results available to ensure full reproducibility?

Yes

Are the conclusions drawn adequately supported by the results?

Partly

Competing Interests: No competing interests were disclosed.

Reviewer Expertise: Higher education policy, with a particular focus on globalization and university rankings having published and advised on these matters.

I confirm that I have read this submission and believe that I have an appropriate level of expertise to confirm that it is of an acceptable scientific standard.

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