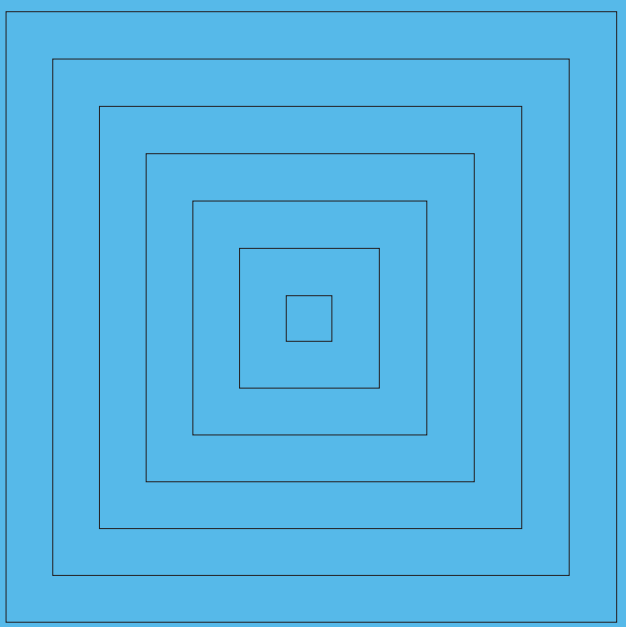
■Japan-UK Higher Education Programme of Collaboration■

Managing Change

Report of the study Visits to UK Universities by Japanese National Universities



Joint Steering Group for the Japan-UK Higher Education Programme of Collaboration

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Japan

Ministry of Education, Culture, Sports, Science and Technology (MEXT)
Center for National University Finance (CNUF)
Japan Society for the Promotion of Science (JSPS)
The Japan Association for National Universities (JANU)
National Institution for Academic Degrees and University Evaluation (NIAD-UE)

●

UK

Department for Education and Skills (DfES)
Higher Education Funding Council for England (HEFCE)
The British Council
Universities UK (UUK)

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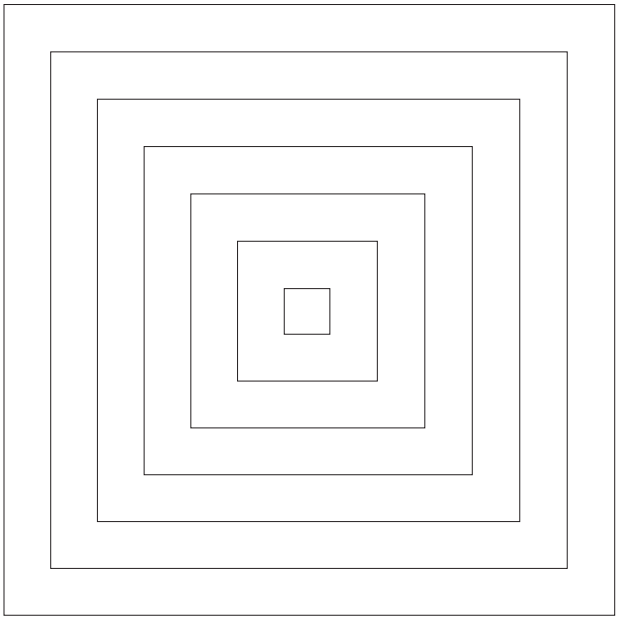

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Preface

Background

The idea of the Japan-UK Collaboration in Higher Education Programme was originally conceived based on a proposal by the then UK Minister of Education, Baroness Blackstone, to his Japanese counterpart, Hirofumi Nakasone, at the G-8 ministers of education meeting held in Japan in April 2000. Mr. Blackstone further suggested a need for discussion among stakeholders of higher education in the two countries.

In May 2001, the Japan-UK Forum of Higher Education Policies was held in Tokyo, focussing on the theme, 'Goals of Higher Education in the 21st Century: Quality of Higher Education and University-Industry Links'. At this gathering, several topics such as 'quality assurance', 'autonomous management of universities', 'assessment in higher education and research' and 'university-industry links' were discussed. A meeting of executives of organising institutions from the two countries was held on the second day of the forum, and the need for continuous development of mutual collaboration between UK and Japanese higher education was agreed upon. In November 2001, the UK formally proposed the establishment of the Japan-UK Collaboration in Higher Education Programme to Japan.

Through intensive discussion among members, 'Japan-UK Collaboration in Higher Education Programme' was established in February 2002. This three year programme, scheduled to continue through February 2005, has been implemented based on the agreement of the steering committee, composed of the National Institution for Academic Degrees and University Evaluation (NIAD-UE), Ministry of Education, Culture, Sports, Science and Technology (MEXT), Centre for National University Finance (CNUF), Japan Society for the Promotion of Science (JSPS), Japan Association for National Universities (JANU) from the Japanese side and the Higher Education Funding Council for England (HEFCE), Department of Education and Skills (DfES), Universities UK (UUK), and the British Council from the UK side.

'Managing Change' Project

Under the collaborative programme, the 'Managing Change' project has been implemented since March 2002, focusing on the process of management change in Japanese national universities as a core part of higher education reform in Japan. This project aims to contribute to higher education reform in Japan in terms of institutional

leadership, governance and management, and in particular to financial management, human resource management and internal quality assurance mechanisms.

The project has the following components:

- Stage 1: Planning, preparation and introductory workshops: March-July 2002
  - Selection of participating institutions
  - Introductory workshop (15-16 July in Tokyo; 17-18 July in Kyoto)
  - Meeting of Joint Steering Committee from the UK and Japanese sides with participating institution case studies (19 July 2003: Tokyo)
- Stage 2: Japanese case studies and study visits: July 2002 to September 2003
  - Discussion of current situation and future of national university management in Japan (July 2002-)
  - Study visits by Japanese universities to UK universities (9-13 December 2003)
  - Reports on study visits (until September 2003)
- Stage 3: Dissemination and evaluation of project outputs in Japan and discussion of future course (October 2003)
  - Dissemination seminar (6 October 2003)
  - Distribution of the report (October 2003)

Participating Institutions

Topic	Japanese side	UK side
Finance	University of Tokyo	University of Sheffield, University of Oxford
	Tokyo Institute of Technology	Loughborough University
Human resources	Hirosaki University	University of York
	Kobe University	University of Brighton
Quality assurance	Nagoya University	University of Warwick
	Kyushu Institute of Technology	University of Surrey

This report is a collection of study visit reports by the six participating Japanese national universities. From the steering committee, Professor Tsutomu Kimura, President of NIAD-UE and Mr. Hitoshi Osaki, Director General of CNUF and Mr. Fujio Omori, Inspector of MEXT visited the UK in addition to representatives from participating institutions. Several secretarial staff also accompanied the study visits.

As can be readily understood from the reports, the visits to the UK collaborating institutions were highly organised and historically the best with regards to quality and size.

The reports reflect intensive discussion on practical innovation and tasks for effective management between the visiting team and hosting institutions on university management from the view points of leaders and managers in higher education institutions. It is encouraging to see that further collaborations and exchanges have already started between respective institutions, corresponding to the programme's goal to foster further exchange and collaboration between higher education leaders in Japan and the UK.

The future course of this collaborative programme is currently being discussed and planned, with an eye to monitor the incorporation process and management reform of Japanese national universities. Through continuous discussion based on the monitoring study, we are planning to further develop mutual understanding and collaboration between UK and Japanese higher education.

As a member of the steering committee, Professor Seizo Miyata, President of the Tokyo University of Agriculture and Technology and Chair of the Fifth Standing Committee on International Affairs requested early feedback on study visit reports in preparation for incorporation. The Japan-UK steering committee is very pleased that this report promises to be utilised for further innovation in management change in Japanese national universities. Being made available in both English and Japanese, the report is expected to contribute to mutual understanding and exchange between Japanese and UK higher education.

Finally, I would like to thank participating institutions from both the UK and Japan, members of the steering committee, and the staffs of HEFCE, the British Council and NIAD-UE working as secretariat.

6 October 2003

Representing the steering committee from the Japanese side

Tsutomu Kimura

President
National Institution for Academic Degrees and University Evaluation

Reports from Each University

University of Tokyo

Japan-UK Joint Research Project

A New Era in University Management

The University of Tokyo Group

Report

17th August 2003

Preface

A significant turning point has been reached in the coming incorporation of Japan's national universities. The important thing is not simply to alter the organizational structure of the institutions. Reform is also needed in the various ways in which the national universities actually operate. Incorporation is causing questions to be asked about how Japan's national universities will change.

In many ways, the incorporation of national universities was planned with the recent reforms of the UK's universities in mind. So how does the present state of Japanese national universities differ from that of British universities, what does this mean for the social function of the universities, and what clues does it give to the design of Japan's post-incorporation universities?

From this point of view, the timing of the Japan-UK comparison project, which was carried out with the help of Japan's National Universities Association No.5 Permanent Committee, the National Institute for Academic Degrees (NIAD), and their British counterpart, HEFCE, was most favorable, and we are extremely happy to have participated. We would like to thank all those involved.

The research group of the University of Tokyo mostly studied the two universities of Sheffield and Oxford, focusing mainly on financial and administrative aspects. It was extremely useful to study two universities that are so different in character.

The research group consisted of Professor Motohisa Kaneko and Associate Professor Masayuki Kobayashi, both of the Centre for Research and Development of Higher Education. Mr. Hitoshi Osaki, director of the Centre for National University Finance, was also involved in field research. Assistance was provided by another four people, Professor Naoyuki Ogata of the Research Institute for Higher Education in Hiroshima, Associate Professor Akihiro Asonuma of Nagoya University's Department of Educational Sciences, Naoki Otawa, an assistant at the University of Tokyo Centre for Research and Development of Higher Education, and Akiko Morozumi of the University of Tokyo Graduate School and currently a researcher at the National Institute of Advanced Industrial Science and Technology.

The aim of this joint research was to perform a detailed study of three universities from Japan and the UK from this viewpoint. What follows is a comparison between the University of Sheffield, the University of Oxford and the University of Tokyo of the four aspects of (1) university structure, (2) governance, (3) finance and (4) self-evaluation and medium-term planning. Also, in order to examine the characteristics of these three universities, we have added a comparison of the standards that we could obtain, such as graduate characteristics and thesis output.

Further, this report shows the results of the research group's analysis and not the views of, the National Universities Association No.5 Permanent Committee, NIAD. or the University of Tokyo

1. Organization Structure

The subjects of this analysis are the University of Oxford and the University of Sheffield in the UK and the University of Tokyo in Japan. Before analyzing their governance and finance, we first compare the basic profiles and organization structures of these three universities.

History and Profile

The University of Sheffield is located in the city of Sheffield, an industrial city in the centre of England. The University of Sheffield developed from three local institutions: the oldest - the Sheffield School of Medicine, founded in 1828, Firth College and the Sheffield Technical School. From the end of the 19th century to the 20th century, many civic universities, or so-called "red brick universities", were founded in cities all over Britain. Among them, the University of Sheffield was founded in 1905. It has reflected Sheffield's position as the centre of the metal and steel industry, and demonstrated in particular the city's special place in the field of engineering. Since the 1980's, however, the downsizing of these industries has led the university to seek new areas of development focusing on regional changes. In response to this need, the university has become known for taking a very positive stance on university management. As a result, although the University of Oxford still produces a far bigger total number of theses and other papers, the University of Sheffield's percentage increase in academic theses in the 1990's surpassed that of the University of Oxford. In addition, the university has performed favorably in research evaluations (RAE) by HEFCE and other assessments, and ranks highly compared with various other kinds of universities. Two of its graduates have won Nobel Prizes in the last 10 years. The University of Sheffield can be given as a good example of the results of positive university management.

It goes without saying that the University of Oxford, together with the University of Cambridge, is one of the top institutions of higher education not only in Britain but worldwide. Today's University of Oxford inherits a long tradition and its establishment can be dated back to the 12th century. At the same time, it is an institution that has educated the British elite; 47% of all British prime ministers and 17% of the current members of Parliament have been graduates from this university. Of course traditions of research from the Middle Ages still continue to this day, but this was not always the case during the 17th and 18th centuries. But then the tradition of research was revitalized during the restoration of the 19th century. Four graduates of the University of Oxford won Nobel Prizes between 1901 and 1945, and another four between 1946 and 1990. Currently in 2002, the number of essays published by the university in major academic journals is among the top 20 in the world. While the University of Oxford is proud of its tradition, it is also a fact that such tradition may hamper the university as it tries to keep up with new academic developments. However, many important changes are being made, including a sweeping revision of the university regulations on October 1, 2000.

Established in 1877 through the merger of a number of higher education institutions, the University of Tokyo has the longest history of all the Japanese universities. It has since then been a centre for the promotion of academic research in Japan, at the same time fulfilling the function of producing specialists to support the country's modernization. From this point of view, the University of Tokyo plays a role in society similar to that of the University of Oxford, its graduates making up 28% of Japan's prime ministers since the Meiji Restoration and 20% of the current Diet members. However, only one Nobel

Prize winner has graduated from the university. Looking at academic productivity, the number of papers contributed to major academic journals by the University of Tokyo increased significantly from the 1980's and by late 1990's it has ranked number two in the world after Harvard University. Of course there are various problems in comparing the number of theses produced. For example, the University of Tokyo produced far fewer papers quoted in other publications. Moreover, as described later in this paper, the University of Tokyo is in itself a much bigger organization than the two British universities mentioned here. The university's research productivity as an organization, therefore, is not necessarily very high.

Scale

It is important at the outset to have a basic understanding about the sizes of the three universities with respect to enrolment, the number of academic staff, and the number of administrative and supporting staff.

Indices related to the scale of the three universities are shown in Figure 1-1.

Figure 1-1 Comparison of the scale of the three universities

	University of Sheffield (2002)	University of Oxford (2000-2001)	University of Tokyo (2002)
Student numbers			
No. of Sudents			
Undergraduate	17,841	10,979	15,620
Graduate	5,791	4,931	12,469
Others		501	195
Total	23,632	16,411	28,284
Overseas students (among total no. of students)			
Undergraduate		1,069	264
Graduate		2,528	1,789
Others		501	16
Total		4,098	2,069
Teaching staff numbers			
Teaching & research	1,170	1,373	2,826 1)
Teaching	169		
Research	853	2,209	1,291 2)
Total	2,192	3,582	4,117
Non-Academic Employees			
Administrative		2,033 3)	1,475
Technical		832 4)	939
Others		870 5)	-
Medical	-	-	1,085
Total	3,214	3,735	3,499
Total (Except Medical)	3,214	3,735	2,414
Expenditure			
GBP 1 Million	234 8)	388	843
		537 7)	
			713
100 million Yen 6)	548	908	1,972 9)
		1,257 7)	
			1,668 10)

Sources

The University of Sheffield: university data submitted to HEFCE
The University of Oxford: Oxford Outline 2002
The University of Tokyo: Outline of the University of Tokyo

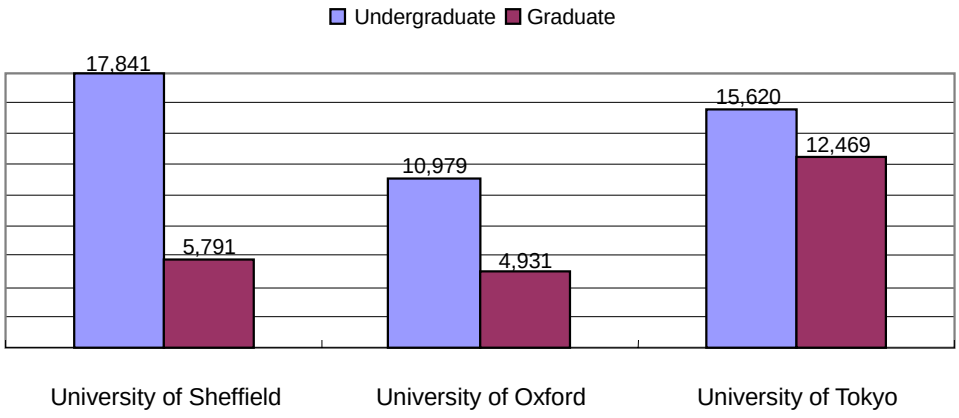
Notes:

1) Total no. of professors, associate professors and lecturers
2) Assistants
3) Academic-related administration or clerical staff
4) Technical staff
5) Computer, library, museum and ancillary staff
6) Calculated at a rate of GBP1 = 234 yen
7) Total expenses of colleges
8) Annual revenue
9) Total of national school special account and general accounts (science research expenses etc.)
10) Except attached hospitals and institutes

Enrolment

Looking at total students numbers (Figure 1-2), the University of Tokyo has the biggest number (about 28,000), followed by the University of Sheffield (22,000) and then the University of Oxford (16,000). There is not such a significant difference in undergraduate numbers, the University of Tokyo and the University of Sheffield having a similar number of undergraduate students. But when it comes to graduate students, the University of Tokyo has 10,000, which is far more than the other two universities with less than 5,000 each. The University of Oxford has less graduate students than other first class universities in the world, something it is trying to change by increasing its number of graduate students. As for overseas students, the University of Oxford has an especially high ratio with approximately one quarter of its students being non-British. It also has quite a lot of overseas students at the departmental level, unlike the University of Tokyo. At the University of Sheffield 19% of students are non-British.

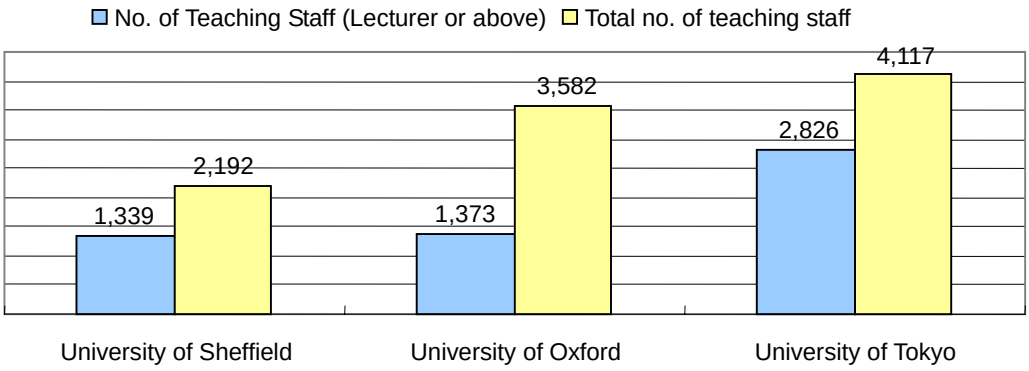
Figure 1-2 Student numbers in the three universities



Teaching Staff

A rigorous comparison of teaching staff numbers is impossible due to the differences in the systems, but the following points can be used as indicators for now. First, looking at the number of teaching staff at the level of lecturer or higher (Figure 1-3), the University of Tokyo has 2,400, significantly more than the two UK universities because it has many attached research institutes. This is also a reflection of its higher ratio of permanent teaching staff. As for the total number of teaching/research staff, the University of Oxford has about 7.500, the most among the three universities, although not much more than the University of Tokyo. This is due to a large number of contract staff hired for fixed periods of time only to conduct research.

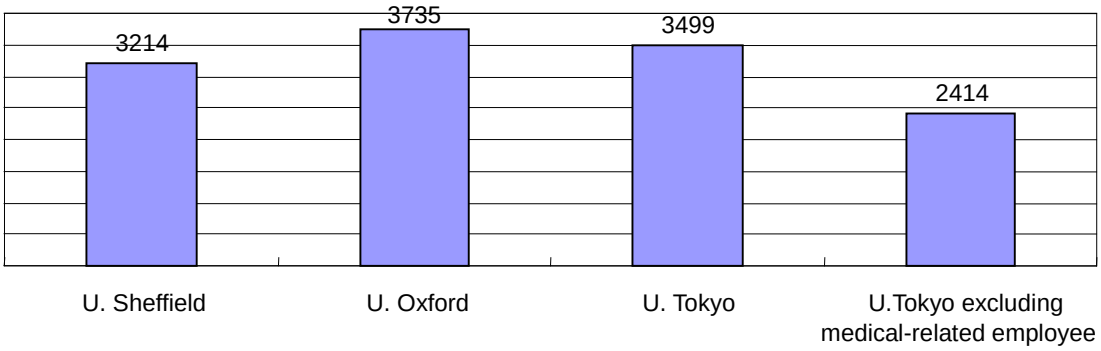
Figure 1-3 Teaching staff numbers in the three universities



Administrative and Support Staff

The total employee numbers are shown in Figure 1-4. The University of Sheffield employs approximately 3,200 people compared with the 3,700 or so people who work for the University of Oxford. The numbers at the two British universities might appear to be almost the same as the approximately 3,500 employees at the University of Tokyo. However, the figure for the University of Tokyo includes medical-related employees in its affiliated hospital. Not including such medical-related staff, the University of Tokyo in fact only employs 2,400 people, which is less than two-thirds of the total number of people working at the University of Oxford. In terms of the total student and teaching staff numbers, the University of Tokyo is the biggest among the three universities. However, it is also obvious that the University of Tokyo has the smallest number of employees.

Figure 1-4 Administrative/support staff numbers in the three universities



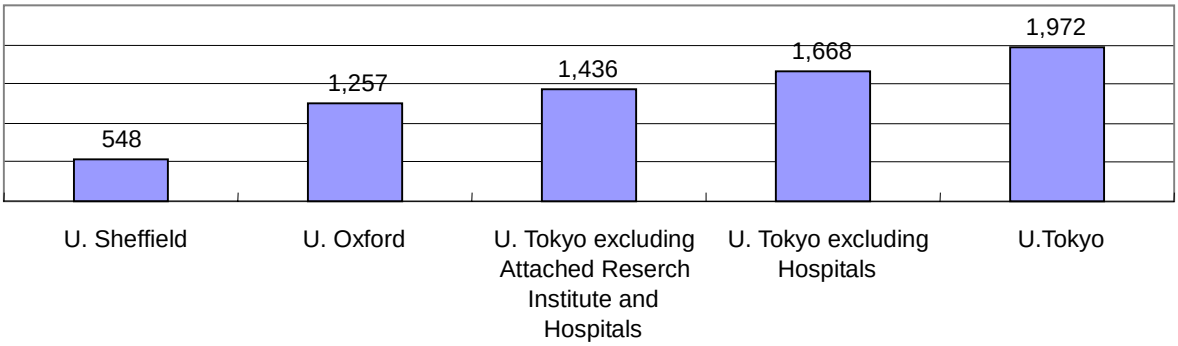
If we take a closer look at the differences among these three universities (as shown in Figure 1-1), it is very clear that the University of Oxford has a relatively smaller number of administration and clerical-related employees compared with the University of Tokyo. On the other hand, the above figure for the University of Tokyo includes mostly government civil servants, in other words officially-hired employees, while in fact there are many other different types of employees in the university. In particular, there are many administration-related employees hired depending on the administration expense budget who are not included in the total number of employees.

Budget Size

Comparing the budget size of the three universities by looking at their total expenses (calculated at a rate of GBP 1 = 234 yen), the University of Sheffield's expenses are 50 billion yen and the University of Oxford's are 100 billion yen, while the University of Tokyo has significantly larger expenses of 210 billion yen. This figure for the University of Tokyo, however, includes the expense of its hospital, unlike the numbers from the two British universities. Not including this hospital-related expense, the total expense of the University of Tokyo still amounts to 170 billion yen. One of the main reasons for the University of Tokyo's huge expense amount is that it also includes the cost of running its attached research institutes. Although the two British universities also have research centres and other affiliated organizations, their sizes are far smaller than those of the University of Tokyo. To compare the University Sheffield and the University of Oxford, the numbers of students are similar, but the University of Oxford has more research functions, which is reflected in the difference in their total expenses. On the other hand, because the University of Tokyo is much bigger while also having more research functions, we can say that it is over three times the size of the University of Sheffield.

Figure 1-5 Total expenses of the three universities

(in 100 million yen; calculated at a rate of GBP 1 = 234 yen)



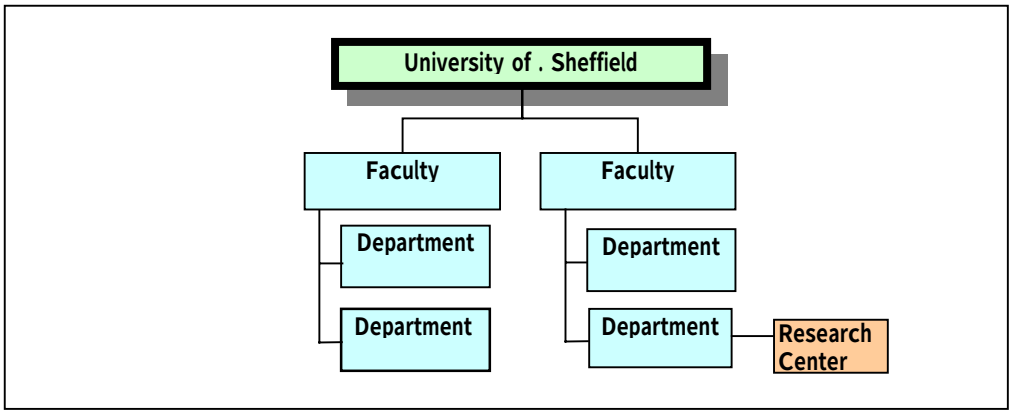
Basic organization structures

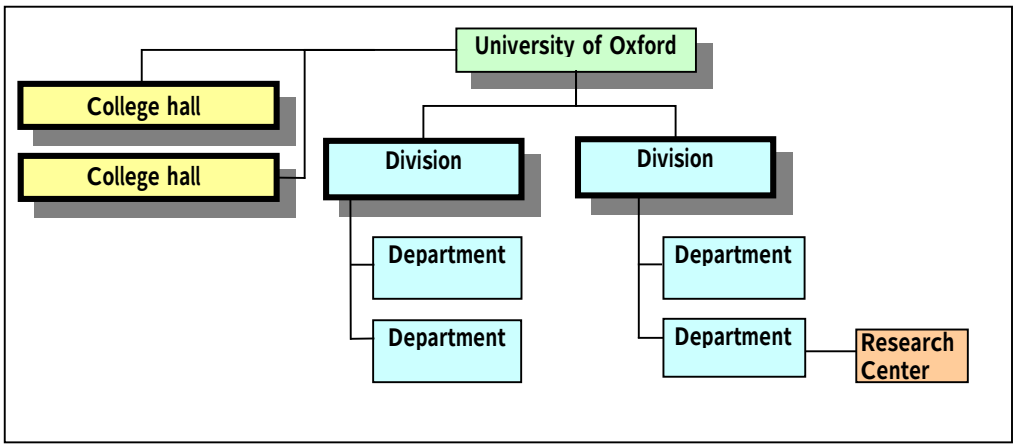
The above differences among the three universities reflect the significant difference in their organization structures. The main features of the organization of the three universities are shown in Figure 1-6. A comparison identifies the following points.

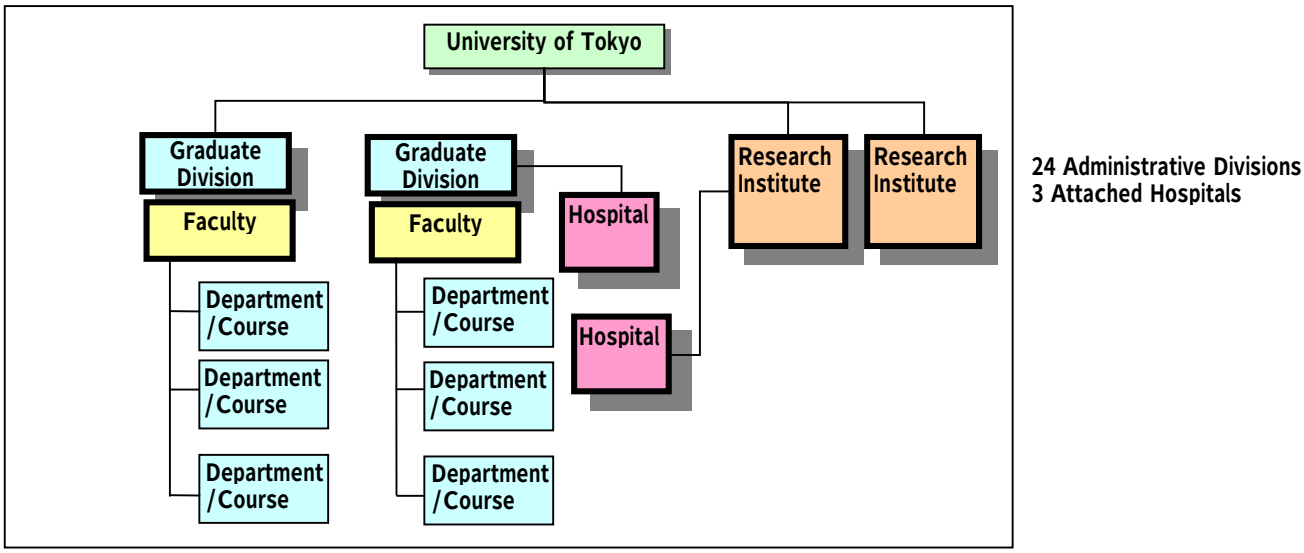
Figure 1-6 Structures of the three universities

		U. Sheffield	U. Oxford	U. Tokyo
Education and Research				
	Basic Bodies	7 Faculties	5 Divisions	13 Graduate Schools/Divisions 10 Undergraduate Department
	Intermediate Bodies		18 Faculties	Department courses, etc.
		41 Funding Units		
	Unit Bodies	75 Departments	46 Departments	Department courses, etc
	Membership Bodies		39 Colleges 6 Halls	
Research				
	Attached Research Institutes			11 Attached Research Institutes
	Research Centres	68	40	24 University Research Centres 28 Divisional Research Centres
Hospitals				
		Affiliated Hospitals	Affiliated Hospitals	3 Attached Hospitals
University Extension				
	Class-room instruction		Department of Continuing Education	None
	On-line		TALL	Information Sciences
Organizations for University-Industry Linkage				
	In the Organization of the University	The Research Office (RO), the Office of Corporate Partnerships (OCP)	Centre for Research Services	Office for Industrial Relations,
	Outside of the University	Sheffield University Enterprises Ltd (SUEL)*	ISIS	TLO
University-Owned Firms				
	Venture-capital	27 firms funded by the University		None
	Others		**Oxford University Press**	

Figure 1-7 Organization patterns of the three universities







Functional scope

First of all, a look at the organization of the universities shows us that the University of Sheffield is the simplest, with its basic research and education structure comprising faculties and departments. The University of Oxford has divisions and departments which are both research and education structures, while at the same time it is composed of 39 colleges and 6 halls which are independent structures. This is a key feature of the University of Oxford. As is widely known, historically the colleges and halls evolved as the students' living quarters, but now they are the residential and assigned structures to which undergraduate students belong, while also performing various other functions. This feature complicates the organization of the University of Oxford and can make it difficult to understand. 'Furthermore, the university is conducting continuing education which it handles via a university department, but closely associated with one of its colleges (Kellogg College)'.

Comparing these three universities, the University of Tokyo has far more functions within its structure. In addition to its research and education bodies, which include 13 graduate schools and 10 faculties, it also has 11 attached research institutes. In any case, the university is on the largest scale and its research bodies have a high degree of independence. Although the University of Sheffield and the University of Oxford have many small-scale "research centres", most of them belong to different departments and are not very independent. Moreover, the University of Tokyo has three attached hospitals. Although they belong to the medical school and medical research institute, as part of the university structure they are bigger than graduate schools and faculties. Although the two British universities have so-called "university hospitals" which are affiliated to the medical schools, organizationally the hospitals belong either to the Ministry of Health or to a foundation and only maintain close relationship with the universities in the areas of research and education.

Basic university structure

The basic organizational unit of the two British universities is the department, as in other universities in the country. In the case of the University of Sheffield, there are 75 departments, several of which together form a unit called a "school". The University of Sheffield also has seven faculties, which are intermediate bodies and basically have the role of classification in terms of education. In contrast, the University of Oxford has five intermediate bodies called Divisions, which not only classify the education fields but also have other functions such as decision-making and budget allocation which makes them highly independent. In this sense, the divisions are the basic organizational units within the university. In the case of the University of Tokyo, the 13 graduate schools and 11 attached research institutes constitute basic Administrative Divisions. They are basic units not only in terms of education and research, but also in decision-making and budget allocation. In other words, they are highly independent. In this respect, the University of Tokyo is similar to the University of Oxford. However, the University of Tokyo also has faculties which are the structures for undergraduate courses and whose relationship with graduate schools is not clear.

The above comparison of basic organization structures allows us to draw the following conclusions.

First, of the two British universities, the University of Sheffield has an organization structure that is

very simple to understand, while the existence of colleges in the University of Oxford complicate its organization structure. The impressive institutional progress of the former institution must have been helped at least partly by the relatively straight forward organizational structure. The latter has recently set upon a course giving priority to the reconstruction of the university structure as a whole..

Second, the University of Tokyo is not only bigger in overall size than the two British universities, it is also significantly characterized by the various functions such as attached research institutes or attached hospitals that are contained within the university structure. Moreover, the management bodies of its graduate schools and undergraduate departments overlap with one other. Because of this, the university's intermediate bodies themselves are lacking in logical consistency This feature makes the university's governance and financial organization enormous, and at the same time extremely complicated.

The third conclusion is about teaching staff. The University of Oxford in particular has a very large number of different teaching titles resulting from its long history and the existence of colleges. Basically, however, although its employment system is relatively flexible, the status of the university's teaching staff is very clearly defined. In contrast, the University of Tokyo has a strictly defined employment system as it hires its staff as government civil servants, although there are also many teaching staff who are employed in different forms. The status and duties of these teaching staff vary extremely and have themselves become difficult to fully understand.

As described above, the University of Tokyo has the most complicated and diversified functions, organization, and staff make-up among the three universities. This is because the University of Tokyo is currently a national university to which it has been possible to add various functions. However, it also demonstrates many irregularities as a result of trying to avoid the heavy limitations of its structure. In one respect the university is securing the foundation of its organization structure, but in many other respects this simultaneously hampers the creation of clarity to the university management. The organization of the University of Oxford also has some complicated aspects which are the result of its historical legacy. The University of Sheffield, on the other hand, has the clearest organization principles, which is believed to be one of the reasons why the university can be managed strategically.

2. Governance

The governance format of British universities has come about through a number of different historical processes. The two forces that have been balanced in one form or another are the independent management of universities by their academic staff on the one hand, and society, that is to say Parliament, the Crown or the government, on the other. However, these universities have been criticized for lacking flexibility in our modern society. Among the criticism, the best known is the Dearing Report (National Committee of Inquiry into Higher Education 1997). Many British universities took the report as an opportunity to radically change their governance structure in the late 1990's. However, the actual changes made have differed among universities. Bearing this point in mind, this chapter will review and compare the governance structures of the University of Sheffield, the University of Oxford and both the present and post-incorporation governance structures of the University of Tokyo. First, we discuss the legal position and the situation regarding the regulations of these three universities, before going on to analyze their basic decision-making mechanisms and execution capacity.

Legal status and basis of the three universities

In general, the legal status of British universities is as civil corporations under civil law. According to the Charities Act of 1993, universities are exempt from paying taxes. The universities with such a legal basis can basically be divided broadly into (1) The University of Oxford and the University of Cambridge, (2) other universities as defined by the regulations of higher education and continuing education in 1992, and (3) the so-called "new universities" which are traditional polytechnics that were given the status of universities in 1992 (Committee of University Chairmen 1998).

The University of Sheffield

The University of Sheffield was founded in 1905 and belongs to the second category of universities described above, and is considered a model, as it were, of the major British universities. The university independently carries out its management and administration by its university structure. It has its own assets and the legal status of a private corporation. This status is recognized under a Royal Charter granted by the King or Queen, and defines the major organization structures of the university. Because of this, the university is recognized by the government as having a public nature. The University of Sheffield's Royal Charter and its statutes were granted at the time of its foundation in 1905 during the regime of Edward VII.

However, there are several points in the postscript to the Royal Charter stating that it should be considered a continuing contract between the Crown and the university rather than a historical document. As long as the university does not contravene the Royal Charter itself or any of its basic regulations, the university shall have the right to make additions or revisions to the statutes according to its own independent judgment. According to the Queen in Council, however, it is believed that the Crown should have a role in decision-making regarding the Royal Charter itself or its basic regulations. Any such revision to the Royal Charter should be first proposed by the university and then given royal approval based on the advice of the Privy Council.

Following the Dearing Report in 1997, the University of Sheffield proposed to strengthen its administration and management structure, and decided to revise its Royal Charter and statutes in the same way as other universities. In 2000, it was granted royal approval for such a revision. In this way, British universities can be considered under civil law as civil corporations with their basic management methods subject to government regulations.

The University of Oxford

The University of Oxford belongs to the first category of universities mentioned previously. Historically, various statutes have been drawn up from a mixture of movements within the university as well as the Crown and the national church. This collection of statutes can be considered the regulations of the university's status, although the university has no specific founder or Royal Charter (Oxford University 2002, p.91). On the other hand, the statutes were formed over time as university regulations. In 1571, the government granted the university the position of a civil corporation within the legal system, based on the Act for the Incorporation of Both Universities (the University of Oxford and the University of Cambridge), which currently forms the direct basis of the foundation of the University of Oxford. Parliament later created a reform committee as a way of reforming both universities' organization structures under the law. Examples of these reforms are the Oxford University Act of 1854 and Universities of Oxford and Cambridge Act of 1923. Although the University of Oxford does not have a Royal Charter as such, the government committee is able to request changes to the university statutes. This portion constitutes the Queen in Council. Reforms therefore require royal approval with the interposition of the Privy Council. It should therefore be noted that although the University of Oxford can be called a private entity, the University is also subject to government regulation as a condition of public funding (which, however, amounts to less than 30% of its income, even excluding the income of its colleges)

University of Oxford set up the North Commission which, after much argument, presented an independent reform bill (University of Oxford 1997 *Commission of Inquiry Report*). Based on this bill, the university's decision-making and organization structure were changed while the university statutes were reformed drastically, and the new statutes came to effect in October 2002. Until then, the management and operation of the university had been based on the 1854 Oxford University Act mentioned above. The latest historical reform was the first major change in the University of Oxford in one and a half centuries.

The University of Tokyo

At present, the mechanism of governance in Japanese national universities is not necessarily provided legally systematic definition. This is partly political, and partly due to the nature of the Japanese national universities which can be classified as a "national government facility" type together with the German universities. On the one hand, it is considered to be independent in terms of its education and research and its management and administration. Faculty meetings of graduate schools and attached research institutes, comprising all the professors and associate professors, have strong

power On the other, in terms of its facilities and staff it is basically a part of the government structure. Its organization is subject to regulations such as the Schools and Education Act and National Schools and Institutions Act. Moreover, the Educational Civil Servant Special Act is also applicable to the university's internal running. The details of its internal running are regulated by the statutes created by the university.

As such a national facility, the University of Tokyo is undergoing drastic changes. That is to say, the institutional basis of the university will be the National Universities Corporation Act, which was passed in July 2003 and is due to come into effect in 2004. However, the university itself will establish accompanying university statutes.

Decision-making structure

The basic decision-making structure in each of the three universities is shown in Figure 2-1. In UK universities there is a Chancellor who serves as the titular head, while the person who acts as the senior officer of the university is the Vice-Chancellor. The equivalent figure to Vice-Chancellor in the University of Tokyo is the President.

Figure 2-1 Basic types of governance

	U. Sheffield	U. Oxford	U. Tokyo - Present	U. Tokyo – After corporatization
Decision-Making/ Execution Bodies				
Decision Making 1	Council	Council	Senate	President
Function	Decision/ Execution	Decision/ Execution	Decision	Decision/ Execution
Member	32	26		9
Lay member	14	2	None	
Chair	Pro-Chancellor	Vice-Chancellor	President	
Frequency in a year	4 Times	6 times		
Decision Making 2		Congregation		Executive Committee
Function		Decision		
Member		about 3600		9
Lay member		None		
Chair		Vice-Chancellor		
Frequency in a year		1 time (11 times in calendar)		
Auxiliary / Consultative Bodies				
	Court	Convocation	Council of Deans'	Management Council
	Convocation		Council of Divisional Heads	
	Congregation			
Decision-Making for Academic Matters				
	Senate	Congregation	Senate	Academic Council
	Faculty Council	Divisional Board	Faculty Meeting	

The University of Sheffield

The governance centre of the University of Sheffield, like other so-called "old universities", is the Council. The university can be said to be structured as a corporation. It functions as the employer of staff and enters into contracts with other organizations, and the Council itself also acts as an executive body, as described later. Before the reforms of 2000, the decision-making body was the Court. After the revision of the contents of its Royal Charter and statutes, however, the power of decision-making has become centralized within the Council, as in other universities in the UK.

The Court is the university's most extensive umbrella body, bringing together representatives of graduate students, graduates and even local residents and professional groups. In this way, the Chancellor

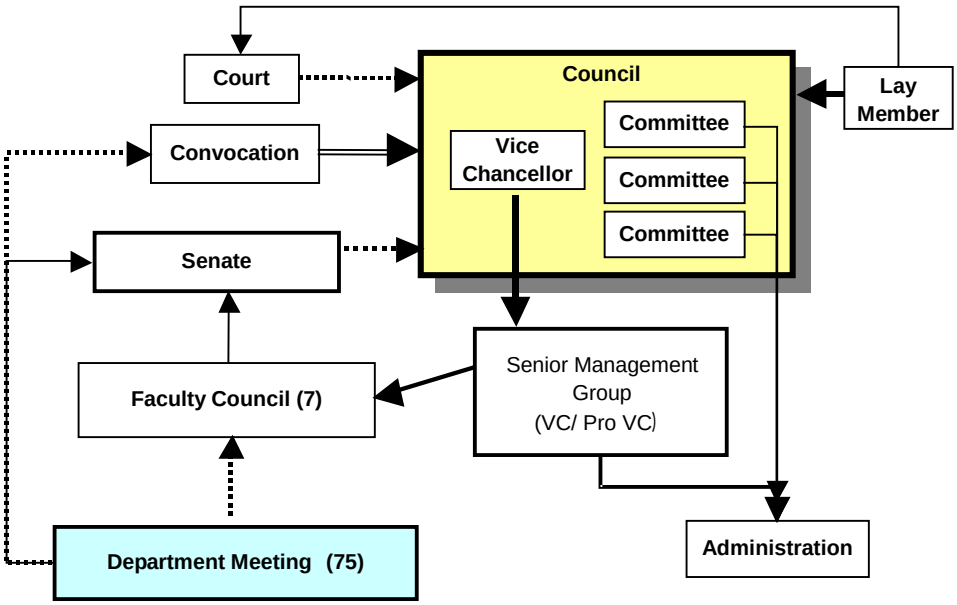
represents the widest range of university members. In the University of Sheffield, the Court was traditionally the most fundamental decision making body. However, it was extremely difficult to reach concrete decisions due to its large number of members. Under these conditions the commonness of typical British universities was diminishing, a problem that the above-mentioned Dearing report pointed out. Based on its revised statutes in 2000, the University of Sheffield limited the Court's authority to mainly formal matters, clearly stating that the Council had become the actual decision making body.

The Council consists of about 30 members. According to the rules, the members the Chancellor, Pro-Chancellors, Vice-Chancellor, Pro-Vice-Chancellors, two of the Deans of the Faculties, 13 people appointed by the Council, five people appointed by the Senate (an education-related discussion body), and representatives of the Student Union. Although there is no specific rule about non-academic members, one of characteristics of the Council is that most of its members are in fact lay members. Conversely, the participation of teaching staff in university management is limited. According to the statutes, the members of the Council should include:

1. Chancellor, Pro-Chancellors (currently three), Vice-Chancellor, Pro-Vice-Chancellors (currently four), and Treasurer
2. Chairman of Convocation
3. Convocation representative
4. Thirteen people elected by the Council
5. Two Deans of the Faculties
6. Five Senate representatives, including no more than four professors
6. One non-academic university employee representative
7. Two representatives of the Student Union

There are roughly 35 members in total, which means that a majority on the Council can be formed by 18 members. However, the Chancellor and three Pro-Chancellors in category 1 are non-academic members, which means that if all the members appointed by the Council in category 4 were non-academic there would be 17 non-academic members, which is already nearly a majority. On the other hand, there are only a total of seven actual academic members to choose from, namely the two Heads of Faculties in category 5 and five Senate representatives in category 6, which is not enough to form a majority. Looking at the actual list of members, those appointed by the Council are almost all non-academic. Also, while the Convocation includes current teaching staff, only alumni not currently registered at the university can become members of the Council.

Figure 2-3 Governance structure of the University of Sheffield



One of the Pro-Chancellors usually acts as the Chairman of the Council. The Council members, including the Pro-Vice-Chancellors, the Treasurer, the Secretary to the Council and so on, hold considerable power and have the authority to appoint very important personnel.

Education-related matters, on the other hand, are discussed and determined by the Senate, which is indirectly composed of academic staff. The Academic Development Committee, established within the council, controls matters such as changing student numbers, reorganizing the education system, and allocating resources to each department.

The University of Oxford

In the case of the University of Oxford, there are two bodies which can be considered to have decision-making powers: Congregation and Council. The former is a participatory legislative body which consists mainly of academic members, while the latter is a decision-making and executive body with fewer members. In the late 1990's, most of the old universities in the UK, of which the University of Sheffield is typical, underwent structural reforms that centralized decision-making authority in Council. The University of Oxford, however, decided to keep Congregation after some debate in the previously mentioned North Commission.

In this sense, Congregation is currently the fundamental decision-making body. The authority of Congregation is mainly concerned with revising statutes and their related regulations, approving Vice-Chancellors selected by Council, and so on. As for matters related to the principles of long-term governance, it is clearly stated that the decisions of Congregation are subject to other decision-making bodies within the university, such as Council. Congregation also has the power similar to that of the Senate of the University of Sheffield to grant academic degrees.

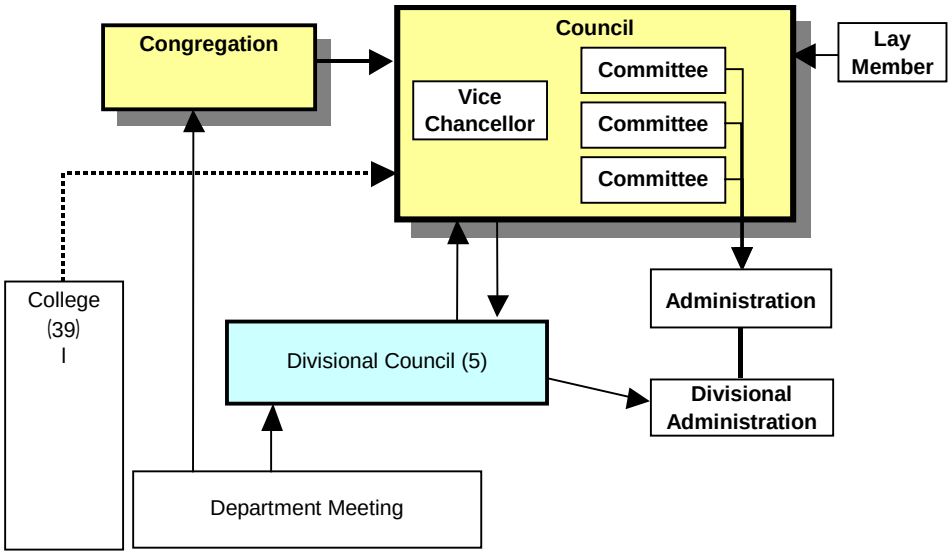
The members of Congregation include (1) the Chancellor, (2) the High Steward, (3) the Vice-Chancellor, (4) the Proctors, (5) all of the teaching staff, (6) the presidents of the colleges and halls, (7) the college management bodies, (8) the treasurers of the colleges and others, and (9) other members deemed necessary by Congregation. There are currently already 3,500 members, the overwhelming majority being teaching staff. Congregation is similar to Court of the University of Sheffield in the sense that its members are directly involved in the organization, but unlike Court, non-academic members are not allowed to join. In fact, Congregation could be called the assembly of the entire teaching staff. According to the university calendar, there are twelve Congregation meetings scheduled per year. Based on the statues, however, the Vice-Chancellor can cancel meetings if there is no particular agenda for Congregation. In 2002 there was in fact only one meeting, which only about 300 people actually attended.

On the contrary, Council is where actual decisions are taken, and is at the same time the executive centre. Council is responsible for the running of Congregation described above as well as university management, finance and asset management. If necessary, Council can delegate its responsibilities to lower-level bodies. Its members are listed below.

(1) Vice-Chancellor
(2) Chairman of the Conference of Colleges
(3) Two Proctors
(4) Assessor
(5) One representative of Congregation elected by the Conference of Colleges
(6) Four lay members
(7) Twelve division representatives (elected by Congregation, with some exceptions)
(8) Three Congregation representatives
(9) No more than three members chosen by Council itself

In total, there are between 25 and 28 members. Among them, even including the three members in category (9) together with the four members in category (6), there are less than seven members who are definitely lay-members. This means that the influence of non-academic members is small. On the other hand, the twelve academic representative members in category (7) constitute nearly half of the council. Although they still do not make up the majority, they can reach a majority with other members elected in other categories. In this sense, we can say that the academic members form the centre of Council, and, what is more, the academic faculty representatives have a particularly significant influence. Council is in this way similar to the Senate in Japanese national university such as the University of Tokyo.

Figure 2-3 Governance structure of the University of Oxford



The Council is scheduled to meet three times each semester. In the 2002-3 academic year, there are eleven meetings scheduled. In order to introduce strong leadership to Council decisions, the North Commission proposed that the Vice-Chancellor act as the chairman, and the policy was realized. This is different to the case of the University of Sheffield.

In the case of the University of Oxford, there is not one body in the whole university that makes education-related decisions like the Senate of the University of Sheffield. As explained above, this is because there is no special need to separate the decision-making of academic matters since academic members are also involved in Congregation and Council, and each division is highly independent. It also reflects the fact that most education/research-related matters can be decided within their fields.

As previously mentioned, following the Dearing Report in the late 1990's, British universities started to reform to strengthen the involvement of non-academic members in university management. In response to this, the North Commission report argued that "appointing a majority of non-academic members to the decision-making body that forms the core of a university, or entrusting major decision-making to a body which consists of mainly non-academics, will not improve accountability or transparency, on the contrary, we believe it will hamper them." (North Committee, 1997, P.71) Based on this argument, the statutes were revised, Council was given stronger authority than before, and the introduction of many non-academic members into Council did not take place.

The University of Tokyo

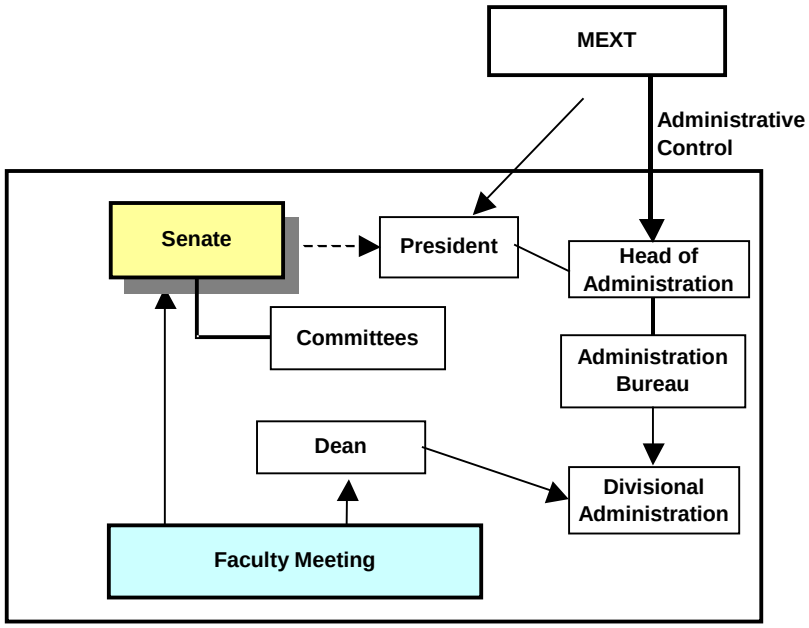
In the case of the University of Tokyo, the Senate is the basic decision-making body (Figure 2-4(A)). This is stipulated in Section 7 of the National School Foundation Act. The members of the Senate are elected from the various faculties, graduate schools and independent institutes. According to the regulations of the Senate of the University of Tokyo, the actual members shall include the President, the Dean of each faculty, two professors appointed by faculty meetings, the directors of various attached research institutes, the chairperson of each Graduate School Committee, and the director of the Research Centre for Advanced Science and Technology. For clarification of the rules, almost all are ex officio members, and only teaching staff may participate, which is a characteristic of the University of Tokyo. Non-academic members are not involved in decision-making at all, in stark contrast to the British universities as described previously. Also unlike the British universities' decision-making bodies, the Senate has no particular capacity to appoint personnel.

In the new system stipulated by the National University Incorporation Law, the basic decision-making of the institution is made by the President. There will be a Board of Directors, in the case of the University of Tokyo, it is stipulated that there are to be no more than seven directors. It is designated, however, to only examine and discuss major decisions (Figure 2-4(B)). For example, when a long-term plan or a budget decision is being made, discussion among the board of directors will be required (National Universities Corporation Act, 11-2. Moreover, all of the directors will be appointed by the President. Even though the Board will assume considerable significance, the legal authority will rest on the President alone.

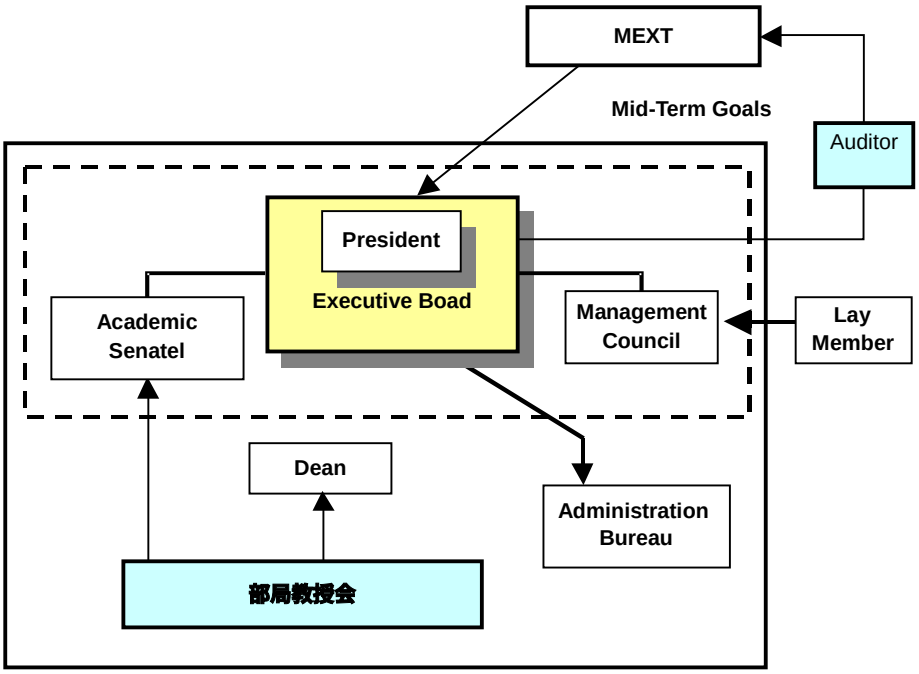
One of the significant changes from before is that non-academic members will play an important role in university management, although it is not clearly stated within the legislative bill. For example, although two kinds of discussion body are due to be formed after incorporation, a Management Council and an Academic Council Senate, it is stated that a majority of the Management Council's members shall be non-academics.

Figure 2-4 Governance structure of the University of Tokyo

(A) Present



(B) After incorporation



Head of Institution and Executive Bodies

An table showing the Vice-Chancellor (or President) and executive bodies of the three universities is given in Figure 2-5.

Figure 2-5 Head of Institution and executive bodies

	U. Sheffield	U. Oxford	U. Tokyo Present	U. Tokyo After Incorporation
Head of Institution				
Name	Vice Chancellor	Vice Chancellor	President	President
Definition	Chief Executive	Chief Executive	“Head”	
Body for Selection	Joint Committee between Council and Senate	Selection Committee	Popular Vote by Professors and Associate Professors	Selection Committee
Final Decision	Council	Approval by Council Decision by Congregation	Academic Council	
Term	7 years + 5 years possible	5 years +2 years possible	4 years no reappointment	
	Previous Position of the present Head	VC at different university	A Dean at different university	Professor (a former Dean at the university)
Assistant to the Heard				
	Pro－Vice－Chancellors (4)	Pro－Vice—Chancellors (3)	Vice Presidents (3)	9 Vice presidents and Executive Councilors
			Special Assistants to the Presidents (13)	
Executive Body				
Principal Executive Body	Council	Council	President/ Senate	President/ Executive Board
Executive Body with Specific Assignment	Council Committees	Council Committees	Senate Committees	
Heard of Administration	Registrar	Registrar	Heard of Administrative Bureau	
	Appointed by Council	Appointed by Council	Appointed by MEXT subject to acceptance by Presidnet	

Function and election of Head of Institution

In both the University of Sheffield and the University of Oxford, Vice-Chancellors have general control of executive function. However, as described previously, these two British universities also have a Council to make certain decisions. (The University of Oxford also has Congregation.) As a result, there may not be many regulations in the statutes requiring the specific authority of the Vice-Chancellor. In the case of the University of Sheffield, the Vice-Chancellor is also a member of the Council, which is the decision-making body, and so voting rights (decision-making) and executive power are not completely separated. In the case of the University of Oxford too, the Vice-Chancellor holds a position of general control over the executive body and also acts as the chairman of Council, so, like in the University of Sheffield, decision-making and executive power are not clearly separated. This feature is different from American universities, where the supervision and basic decisions are carried out by board of governors or directors while execution is delegated to President and his management team that he/she appoints.

The authority of the Vice-Chancellors is clearly stated in the universities' respective statutes, including certain power in personnel management and the chair of various committees. Regarding the power in appointment of major managerial officers, the Vice-Chancellors in both the University of Sheffield and the University of Oxford are given the authority to elect Pro-Vice-Chancellors. Moreover, the Vice-Chancellor of the University of Sheffield has the power to appoint department heads. On the other hand, the Vice-Chancellor of the University of Oxford often delegates power to lower-level positions. In this way, the Vice-Chancellor's power of personnel management is actually limited. Finally, in both of the British universities, according to the statutes, the Vice-Chancellor acts as chairperson of various major committees, especially the important committees within the Council.

Currently in the University of Tokyo, the President has an executive role, but its extent is severely limited due to the very strong autonomy given to the academic divisions. Because the President also acts as chairperson of the Senate, decision-making and executive power in the University of Tokyo are not clearly separated, which is the same as in the British universities. Unlike the British universities, however, the term of office for a President in the University of Tokyo is very short, just two to four years, compared with seven years (extendable to a maximum of twelve years) in the University of Sheffield and seven years in the University of Oxford..

The President is appointed by election of the members of the faculty meetings under the control of the Senate. However, approval is also required from the Minister of Education, Culture, Sports, Science and Technology. In short, the most important feature of the University of Tokyo is that its Administration Bureau, which is under the Directory General of the Administration Bureau, is a government facility and therefore has the direct authority of executive control, a significant power in various aspects of university management and administration. Criticism on this point was one of the bases for the university being incorporated.

After corporatization, the President will act as the chairperson of a board of directors, but voting rights and executive power will still not be completely separated. Not only are they not separated, a planned feature of incorporation is that the President is to have much greater power in both decision-making and in execution compared with Vice-Chancellors in British universities.

The President can appoint directors, members of the Management Council and some members of the education and research committee. Firstly, the appointment of the President will be decided by the President Selection Committee, which consists of members elected from the Management Council and the Education and Research Committee. The board of directors, which will include the President selected as above and directors appointed by the President, will be the basic decision-making body. The President will therefore have considerable power. It has been frequently asked whether anyone can demonstrate such capacity, who would want to be President with so much responsibility, and how the President should be monitored and checked, but no doubt plans are underway that deal with the vast majority of such issues.

It should be pointed out that there will still be government control in the form of approval of mid-term targets and mid-term plans. Just as now, the President needing approval from the Minister of Education, Culture, Sports, Science and Technology is an example partly illustrating this tendency.

Executive bodies

Like other British universities, the University of Sheffield continues to strengthen the power of its Vice-Chancellor and the Senior Management Group which has the Vice-Chancellor at its centre. Although the statutes and other regulations do not define such a Senior Management Group with the Vice-Chancellor at its centre, its plays an important role in university management. The Council and the Senate, either independently or jointly, form various committees. Under the Council, for example, there are a finance committee, monitoring committee, facility management committee, human resources committee, and so on, while under the Senate there are an academic development committee, research committee, student relations committee, and so on. Joint committees of the Council and the Senate include a Strategic Planning Committee, among others. Pro-Vice-Chancellors, the main constituents of the Senior Management Group centred around the Vice-Chancellor, also act as chairpersons of these committees and are key figures in terms of actual execution. This is the enhanced structure of top management.

This trend has become more pronounced in recent years. One typical change is that department heads can now be appointed by the Vice-Chancellor, whereas until eight years ago they were chosen by elections among teaching staff. Although the term of office of a Vice-Chancellor is seven years, it can now be extended to twelve years. Depending on the administration style of the Vice-Chancellor, the structure is arranged so that he or she can utilize their leadership to the full. In such a way, the University of Sheffield continues to strengthen its central executive function.

The University of Oxford has also established important committees under Council, such as a finance committee, monitoring committee, resource allocation committee and risk management committee, in which the Pro-Vice-Chancellors and assistants to the Vice-Chancellor play an important role.

Delegation of authority to subordinate bodies

The nature of a university itself makes it normal to have a certain degree of autonomy in the university's basic structure. The characteristics of this aspect of the three universities are shown in Figure 2-6.

Figure 2-6 Major Divisional Decision Making Bodies

	U. Sheffield	U. Oxford	U. Tokyo Present	U. Tokyo After Corporatization
Name	Boards of Faculties and of Collegiate Studies	Divisional Board	Divisional Faculty Meeting,	
Number	7 Faculties + 1 Undergraduate Board	5 Division + 1 Continuing Education Department	21 Academic Divisions	
	Arts Pure Sciences Medicine Law Engineering Social Sciences Architectural Studies Collegiate Studies	Humanities Social Sciences Life & Environmental Sciences Mathematical and Physical Sciences Medical Sciences Continuing Education		
Discretion over Budget		Planning and Execution	Planning and Execution	
Member	about50	about 20	All Teaching Staff	

The University of Sheffield

In the University of Sheffield, the Council is the decision making body of the whole university, as described previously. Looking from the point of view of faculty units, however, it is the 75 departments that are the basic units of decision making. In short, the university has adopted a structure of delegating authority to quite small units.

Let us explain this further using the example of resource allocation within the university. When the head office of the university (to be more precise, the Resource Allocation Committee) allocates resources, the allocation mechanism completely bypasses the seven faculties in the middle of the structure, and directly allocates to the 41 funding units, which are basically made up of the 75 departments. These 41 small funding units become the basic units of decision-making. Among the funding units, internal subsidies of between –20% and +30% are awarded, with the balance being restored within four years. This structure enables limited resources to be circulated and avoids the tendency for arguments among the lower level bodies to escalate. Therefore, by reinforcing a top management centred around the Vice-Chancellor, as we saw in the previous section, the university attempts to control conflicts of interest which are prone to get heated. This single set, so to speak, combining the decentralization of power with the centralization of power can be seen as a feature of the governance at the University of Sheffield.

The University of Oxford

In the University of Oxford, meanwhile, the authority of management and operation is delegated into the five Divisions, which are relatively large units. It is these divisions that are the basic units for the internal allocation of resources.

Here we will explain using the example of resource allocation within the university. From the head office of the university, resources are allocated to the five divisions, namely the Humanities Division, Life and Environmental Sciences Division, Mathematical and Physical Sciences Division, Medical Sciences Division and Social Sciences Division. Each division allocates at its discretion to the departments, which are the lowest level bodies. Absolutely no internal assistance between divisions takes place at all. As a result, the university's top level staff who we interviewed had no idea how resources were really allocated to the departments after having been allocated to the divisions. In short, this example shows the rather high level of autonomy of the divisions.

To summarize, the feature of the governance structure of the University of Oxford is that authority is completely delegated to relatively large intermediate bodies which are granted a high degree of autonomy. The university has chosen a method in contrast to that of the University of Sheffield, where the power of both the top and the lowest level bodies have been strengthened simultaneously.

The University of Tokyo

No example of internal allocation of resources in the University of Tokyo needs to be given, as it is well-known that the university has delegated its decision-making authority to the faculty meetings, which have a high level of autonomy. From this perspective, we can say that the university shows a considerable resemblance to the University of Oxford.

Although the faculty meetings will continue to be considered the basic units of decision-making after incorporation, we still do not know the details because there is absolutely no mention of the regulations or concepts relating to this point within the National Universities Corporation Act. The kind of structure that is built within the university in future will have a critical effect on the meaning of governance.

From the above discussion, we can identify the following points on the methods of governance.

First, from the perspective of (1) clarification and mobilization of decision-making bodies, and (2) the participation of non-academic members in decision-making, the old universities in the UK have in general been carrying out reforms towards centralizing of authority in the Council and involving non-academic members. We can say that the University of Sheffield has clearly moved in this direction, especially regarding (1) above with decision-making being concentrated in its Council. However, the principal of involving academic staff in management has not necessarily been completely abandoned. It should be noted that the Senate still retains its function, albeit only academically related, for members of the Council too.

In contrast, the University of Oxford has clearly defined the nature of Council as its

decision-making agency, although Congregation has been kept as a final decision-making body. Council itself is also still basically a body of mostly academic members. It should be noted that this decision was made after a number of debates. Congregation, a body that in principle involves all academic staff, still exists as the final decision-maker. On the one hand this recognizes the importance of efficiency, while at the same time it can be interpreted as a move to emphasize the importance of consensus building within the university. Another opinion is that the academic staff's judgment itself will bring about accountability of the university instead.

Second, both of the British universities demonstrate a similar pattern regarding executive function. That is to say, their decision-making bodies and executive bodies are not separated and authority is basically centralized in Councils, unlike American universities. To perform executive functions, small committees are held within the Council. The Vice-Chancellor or one of the Pro-Vice-Chancellors takes part as chairperson of such committees to actually carry out executive functions, particularly creating long-term plans and determining basic budget allocation. The Vice-Chancellor has the role of supervising this process as the person responsible for the execution.

However, there are differences between the University of Oxford and the University of Sheffield regarding the amount of influence over decision-making and resource allocation within the university. In the case of the University of Sheffield, the Vice-Chancellor, Registrar and Secretary, Director of finance and Pro-Vice-Chancellors form a management team, with the Council in the background, that demonstrates extremely strong leadership by bypassing the faculties and allocating a budget for distribution to departments by the Academic Development Committee. In contrast, executive functions on an all-university level are limited in the University of Oxford because the divisions have been handed a great deal of autonomy regarding finance and decision-making.

In comparison, the University of Tokyo is at present characterized by the strong participation by its academic staff in decision-making, as well as its ambiguous executive power and the very strong autonomy of its faculties. In this sense, we can say that the University of Sheffield and the University of Tokyo are at opposite ends of the same pole. Although the University of Tokyo is quite similar in this respect to the University of Oxford, it also shows more than a few similarities to the University of Sheffield. After incorporation, the University of Tokyo is, in a number of ways, going to move in the opposite direction on the above-mentioned pole, according to the regulations within the National Universities Corporation Act. The university may even take on a more extreme form than the University of Sheffield, especially with the authority handed to its President and the influential voice given to its academic members on university management. In this respect, further systematic debate may be required.

3. Financial Structure

The financial structure of each of the three universities is arranged below to show the flow of funds into the university, the composition of the university's financial resources, the internal distribution mechanism and the relationship between the university and society.

The flow of funds into the university

Before comparing the three universities, Figure 3-1 is a simple diagram showing the way that funds move into British and Japanese universities. Funding for universities in the UK can be broadly divided into two portions, that from the government and that from non-government sources.

Approximately 70% of government funding (40% of the universities' income) is made up of institution support via the Higher Education Funding Council for England(HEFCE). This funding is divided into an educational portion and research portion, each one being calculated by a fixed formula. In particular, the formula for the research portion of the grant includes the results of an evaluation of the level of the university's research, so the amount of a university's funding varies according to the standard of its research. The calculation of the education portion of the grant basically combines the numbers of students in each field of study with a unit price. Although this portion should be categorized as teaching support, the HEFCE is not at all concerned with the actual use of this funding between teaching and research.

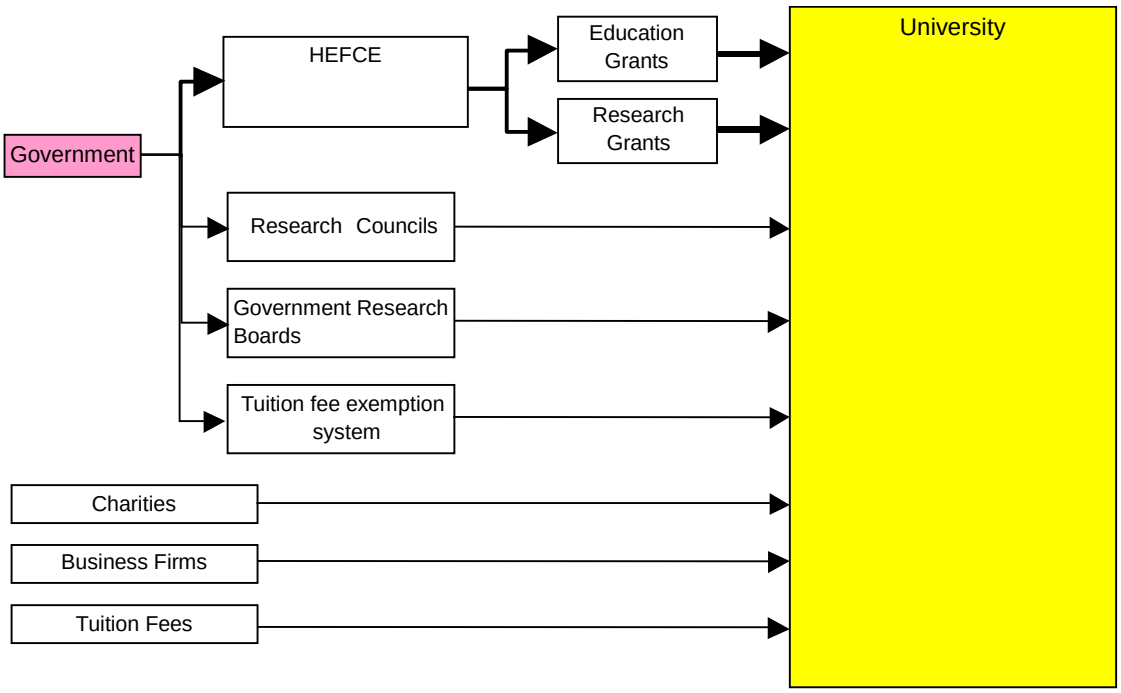
Another kind of government funding is the research grants awarded by a research council to research institutes in general, including universities. Research funding is also provided by various governmental bodies for their own purposes. Then there is a tuition fee reduction and exemption system for students from within the UK and EU, the grants for which are paid for by the government.

Non-governmental funding takes the form of grants from private foundations and contract research fees from companies. In the UK, local education authorities used to bear the cost of university fees so that most students only paid a minimal amount themselves, but recently tuition fees combined with loans have been introduced.

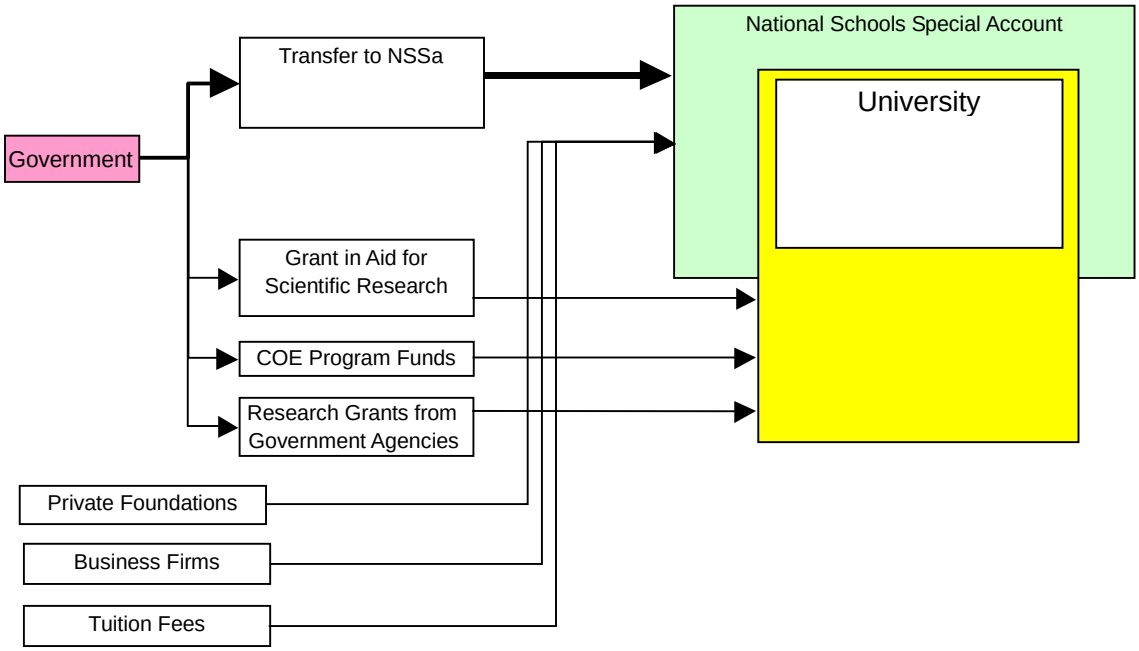
In any case, all of the funding obtained in this way is treated and spent as the university's income as a corporation.

Fig 3-1 Flow of funds to universities

UK universities



Japanese Universities



There is no difference in the case of the national universities of Japan in that their financial resources come from government funding and non-government funding. The big difference, however, is that the financial affairs of Japanese national universities are handled by a National School Special

Account. The main portion of government funding is transferred to this National School Special Account. Private funding and tuition fees are also transferred into the National School Special Account first, before being distributed to each university.

Government funding, however, also includes scientific research grants, funding such as COE operating expenditure, and research funding from agencies other than the Ministry of Education, Culture, Sports, Science and Technology, which is not transferred to the national school special account. As a result, a dual financial system has emerged in which the finances of national universities are divided into two parts, one controlled by the national school special account and the other not.

In the case of national universities that became corporations, such income is all understood uniformly to be the corporation's income. Currently, however, government funding, apart from the conventional national school special account, is recognized as cash flow but is defined as "account receivable" and no longer recognized as the income of the corporation itself. In this sense, differences remain in the way Japanese and British universities obtain their income.

Composition of financial resources

Figure 3-2 gives a breakdown of the financial resources of the three universities. The balance sheets for the two British universities are for a period of one year ended July 2001, and the balance sheet for the University of Tokyo is for fiscal year 2001. Resources are broadly divided into institution support from the government, income from tuition fees, income from research aid and contract research, income from donations and foundations, and others. The balance sheet amounts for each university are given and also expressed as a percentage of the university's total income.

Figure 3-2 Comparison of financial structure

	U. Sheffield		U. Oxford			U. Tokyo	
					Combined with Colleges		
	(GBP 1 Million)	(100 million Yen)	(GBP 1 Million)	(100 million Yen)	(100 million Yen)	(GBP 1 Million)	(100 million Yen)
Institutional support	74	172	128	301	301	449	1050
Tuition & Fees	50	116	42	99	223	60	140
Government Contribution	*16*	*37*	*1*	*2*	*2*	-	-
Domestic Student	*18*	*43*	*26*	*61*	*61*	-	-
Overseas Student	*15*	*35*	*16*	*36*	*36*	-	-
Changes in College	-	-	-	-	*124*	-	-
Research Grants/Contracts	58	137	142	333	342	182	426
Research Council	*20*	*46*	*46*	*109*	*108*	*97*	*227*
Non-Governmental	*11*	*26*	*48*	*113*	*122*	*39*	*90*
Others	*27*	*64*	*48*	*112*	*112*	*46*	*109*
Donations	40	93	58	136	253	-	-
Others	3	8	36	85	87	30	71
Total	225	526	408	954	1212	721	1687
※College							
Donation/Endowment			50	117			
Fees			93	218			
Government			6	14			
Others			1	2			
Total			150	351			
Composition							
Institutional support		32.8%		31.5%	24.8%		62.3%
Tuition & Fees		22.1%		10.4%	18.4%		8.3%
Government Contribution		*7.1%*		*0.2%*	*0.1%*		-
Domestic Student		*8.2%*		*6.4%*	*5.1%*		-
Overseas Student		*6.7%*		*3.8%*	*3.0%*		-
Changes in College		-		-	*10.2%*		-
Research Grants/Contracts		26.0%		34.9%	28.2%		25.2%
Research Council		*8.8%*		*11.4%*	*8.9%*		*13.4%*
Non-Governmental		*5.0%*		*11.8%*	*10.0%*		*5.4%*
Others		*12.2%*		*11.7%*	*9.3%*		*6.4%*
Donations		17.7%		14.2%	20.8%		-
Others		1.5%		8.9%	7.1%		4.2%
Total		100.0%		100.0%	100.0%		100.0%
※College							
Donation/Endowment				33.3%			
Fees				62.0%			
Government				4.0%			
Others				0.7%			
Total				100.0%		851	1,992
Total Including Attached Hospitals and Research Institutes						981	2,296

Notes:

Annual amounts for University of Oxford and University of Sheffield for year ended July 31, 2001. Balance sheet amounts for University of Tokyo for fiscal year 2001. Amounts for two British universities do not include hospitals.

University plus college totals for University of Oxford are only estimates. College boarding fees are estimated by subtracting the college fee replacement (until 1998, the direct grant from the government to the college, calculated arbitrarily from financial resources from HEFCE education grants etc.) estimated at GBP 40 million, from boarding and tuition fees for colleges.

There is no tuition exemption for ordinary domestic students.

In addition to research grants and contract research for the Universities of Oxford and Sheffield, including contact research and joint research from companies. (Most is funding from other organizations.)

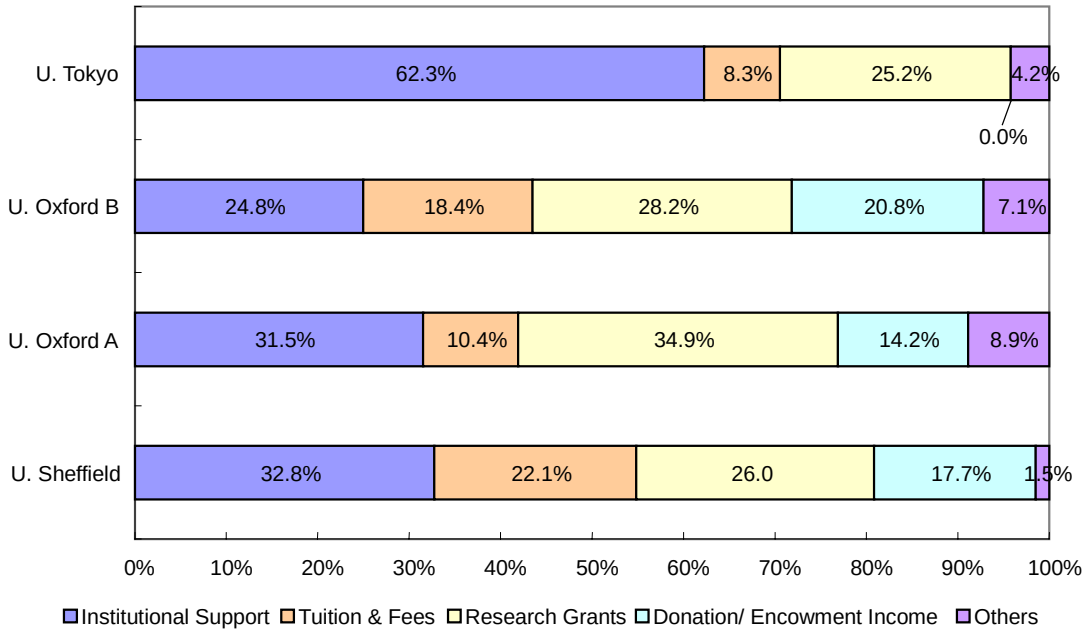
For University of Tokyo, in addition to research grants and contract research, industry research grants also included, but most is public funding. Support from private organizations includes aid from companies as well as scholarship grants. Income from donations is included in scholarship grant income. Regarding institution aid, annual expense items (attached hospitals and research institutes) are excluded from total university income (= expense) while tuition fees and entrance examination fees, scholarship grants, contract research income, etc, are automatically excluded.

GBP 1 = 234 yen (OECD purchasing power normal price in 2001)

The categories are simplified here, but in fact the financial systems of universities in Japan and the UK are different, as are the classification methods of financial resources. As a result, there are more than a few problems in directly comparing universities in these two countries. As described in detail in the notes, the financial resource items of the University of Tokyo have been reconstructed according to the British classification of financial resources (although even the breakdown of research grants and contract research are also very different). In addition, the University of Oxford is a very special case even as British university, because its colleges are financially independent of the university. There is no need to itemize the simply combined financial resources of the university and colleges, but here we have reconstructed the breakdown for the purpose of comparison. In the figure, the amounts in the section of "University and college" for the University of Oxford are based on estimates. For example, college boarding fees are estimated by subtracting the college fee replacement (until 1998, the direct grant from the government to the college, calculated arbitrarily from the financial resources of HEFCE education grants etc.), which is estimated at GBP 40 million, from boarding fees and tuitions fees for colleges. In addition, we compared the amounts for the three universities after excluding hospitals (and attached research institutes in the case of the University of Tokyo).

Based on the above estimates, we divided the component ratios of financial resources of the three universities into (1) institution support from HEFCE, (2) income from tuition fees, (3) income from contract research, (4) donations and foundations, and (5) others. This can be illustrated as in Figure 3-3.

Figure 3-3 Component ratios of financial resources



Note: In the case of University of Oxford B, the component ratio is of total income including colleges.

(1) Institution grants from government

The largest financial source for all three universities is an institution grant from the government. In the UK, grants are awarded by the Higher Education Funding Council for England (HEFCE), while in Japan, there is an institution grant for national universities. Furthermore, income obtained from Japanese students such as tuition fees becomes revenue of the national treasury instead of income of the individual university. As shown in Figure 3-3, to calculate the income of the University of Tokyo, that is the institution support from government, we subtracted the university's tuition fee income from its direct grant. This institution support from the government makes up 32.8% of the total income of the University of Sheffield compared with 24.8% in the University of Oxford and 62.3% in the University of Tokyo. Here we see a significant difference among the three universities in terms of the percentage of their total financial resources that is made up by institution grants from their governments.

(2) Breakdown of research grants and contract research

The second biggest financial source of all three universities in terms of percentage of total income is income from research grants and contract research. The percentages of total income are 26.0% for the University of Sheffield, 28.2% for the University of Oxford and 25.2% for the University of Tokyo.

This income can be broken down roughly into research grants from a research council (divided into several research fields), or in Japan, subsidiary aid for science research expenses; support from private research funding organizations; funds from companies (contact research, donations); and research funding from other government bodies. However, it is difficult to provide an accurate breakdown.

For now, looking at the common category of research grants (or science research expenses) from a research council, the percentages to total income are 8.8% for the University of Sheffield, 8.9% for the University of Oxford and 13.4% for the University of Tokyo. In terms of the composition of the total income from research grants, contract research, and so on, 33.9% of that for the University of Sheffield comes from government research grants, contract research, etc, compared with 31.5% for the University of Oxford and 53.3% for the University of Tokyo. Among these three universities, therefore, the University of Tokyo has the highest dependency on research grants (science research expenses) from its government's research council.

The University of Oxford has the highest ratio of research aid from private foundations to total income, 10.0% compared with 5.0% for the University of Sheffield and 5.4% for the University of Tokyo. The University of Tokyo's 5.4% is made up of "scholarship donations", little of which comes from private foundations, most being company funding. It is in fact noticeable how little aid the University of Tokyo receives from private foundations.

In the UK, funding from companies is included in "other income" under income from research grants and contract research, and the ratio of this to total income is 12.2% for the University of Sheffield and 9.3% in the University of Oxford. However, because this "other income" includes a significant amount of income from various ministries and government offices (apart from the research council), we can imagine that the funding both universities receive from companies is in fact considerably less than 10%. In the case of the University of Tokyo, on the other hand, what we can call company funding comes under scholarship donations (just under 80% of the University of Tokyo's "industry-university joint

research expenses" under "other income" is government funding based on a capital system) which make up 5.4% of total income. However, this percentage also includes research grants from private funding organizations, and the actual funding from companies probably dips below 5%. As such, it seems that the University of Tokyo has much less funding from companies compared with the two British universities, although even the British universities seem to receive less than 10% of their overall income in this way. On the whole, company funding is unexpectedly low in all three universities.

(3) Income from tuition fees, etc.

Although one part of private funding (that is, non-government funding) is from companies, as described above, another important part is income from tuition fees and so on. A simple comparison shows that the two British universities have higher rates of tuition fee income to total income; 22.1% for the University of Sheffield and 18.4% for the University of Oxford compared with 8.3% for the University of Tokyo. However, this does not mean that there is a high level of dependency on students at the British universities. It is a well-known fact that domestic students in the UK only pay tuition fees of around GBP 1,000 (something over 200,000 yen), which is quite low. In fact, income from tuition fees paid by domestic students does not vary much among the three universities, being 8.2% in the University of Sheffield, 5.1% in the University of Oxford and 8.3% in the University of Tokyo. Looking at different kinds of tuition fee income, income from overseas student tuition fees stands out, being 6.7% in the University of Sheffield and 3.0% in the University of Oxford. Moreover, tuition income from the National Health Service (a kind of government funding) for scholarship students is 8.2% in the University of Sheffield, which is very high. Meanwhile, income from what should be described as college boarding fees in the University of Oxford is over 10%, which is also significant. (However, these college boarding fees are considered as lodging fees, the income they provide cannot be compared with the tuition income of other universities.)

In terms of the dependency on tuition fees paid by domestic students, then, the two British universities do not necessarily differ much from the University of Tokyo. However, looking at tuition income as a whole, we can say that the two British universities are much more differentiated than the University of Tokyo.

(4) Dependence on government funds

It is difficult to accurately show the ratio of government funds to total financial resources. Based on the above discussion, however, we can estimate this ratio to be: 48.7% for the University of Sheffield (including grants from government bodies, income from NHS scholarship student tuition fees, and grants from the research council) + α (research grants and contract research from institutes other than the research council, several %); 33.7% for the University of Oxford (including grants from government bodies and from the research council) + α (research grants and contract research from institutes other than the research council, several %); and 82.1% for the University of Tokyo (including grants from government bodies, science research expenses and industry-university joint research expenses) – α (purely private sector contract research within industry-university joint research expenses, less than 1%). Clearly the University of Tokyo is extremely reliant on government funding.

(5) Income from donations and foundations

We have seen that there is a big difference among the three universities in terms of dependency on government funding, but, as mentioned earlier, there is not much difference in terms of non-government funding such as company funding and income from tuition fees (although there are various ways of itemizing income from tuition fees). Another significant difference is in the ratio of income from donations and foundations, 17.7% in the University of Sheffield and 20.8% in the University of Oxford, with almost no corresponding item for the University of Tokyo. Moreover, as we saw earlier, for research grants and contract research too, the University of Oxford's 10% is the highest in terms of support from private funding organizations.

From the above discussion, the first point is that the University of Tokyo is significantly more dependent on government funding compared with the University of Sheffield and the University of Oxford. Secondly, within government funding in particular, the University of Tokyo depends more strongly on grants from government funding bodies compared with the University of Sheffield and the University of Oxford. Thirdly, the University of Tokyo is more reliant on the research council for research grants and contract research compared with the University of Sheffield and the University of Oxford. The fourth point is that, although the University of Sheffield and the University of Oxford depend less on government funding than the University of Tokyo, they do not really depend largely on domestic students to pay fees or on company funding; on this point they are not so different from the University of Tokyo. The largest item making up for the lower level of government funding for the two British universities is income from donations and foundations, a point which differs greatly from the University of Tokyo where there is no such income. This income is a self-earned financial resource rather than external funding, and provides the British universities with a significant degree of financial independence.

In this way, the two British universities have diverse overall financial resources, since they do not depend solely on government but also have significant resources in the form of income from donations and foundations. Their income from tuition fees is diversified too, as is their income from research grants and contract research. There are also more than a few channels of government funding apart from institution support. Moreover, in the case of the University of Oxford, the existence of colleges diversifies its financial resources (such as donations and income from college boarding). The diversity of financial resources of the University of Tokyo is therefore exceeded by that of the University of Sheffield, which is in turn exceeded by that of the University of Oxford.

Resource allocation within the university

(1) Distribution formula of institution support

The biggest problem of resource allocation within the university is how to distribute the institution support from the government, which constitutes a large proportion of total financial resources, but in both the University of Sheffield and the University of Oxford, a formula for internal distribution has been developed based on the formula used by the Higher Education Funding Council for England (HEFCE) to

determine the size of institution support. Roughly speaking, the formula used by HEFCE calculates education grants by multiplying the unit price of expenses per student by the number of students. The amount of research grants also depends on research evaluation, but this total amount is allocated to each university in blocks. The universities have the freedom to distribute the research grant internally, but in fact both the University of Sheffield and the University of Oxford have adopted their own formulae which are revisions of the one used by HEFCE. We do not know the details, but the formula used by the University of Oxford is almost the same as the original HEFCE formula, while the University of Sheffield has revised the original formula by attaching different weight to the various fields. From this point of view, the University of Sheffield exerts stronger central control compared with the University of Oxford.

The University of Tokyo, on the other hand, distributes the budget allocated to the university by first subtracting central expenses (shared expenses) and then distributing the budget according to the same formula used by the Ministry of Education, Culture, Sports, Science and Technology for the purpose of budget estimation. Like the British universities, therefore, the University of Tokyo allocates resources internally by adopting the formula used for allocating the budget to the university.

(2) Responsible body for internal allocation

The responsible body for internal allocation is the organization that decides the expenses for activities for the whole university, and determines policies on financial resource allocation to internal bodies such as departments and so on. The University of Sheffield has a Financial Committee in the Council whose function is to advise the Council on accounting issues, but the responsible body for resource allocation within the university is in fact the Academic Development Committee in the Senate. The Academic Development Committee reports to the Strategic Planning Committee, a joint committee between Senate and Council that integrates the university's educational plans with its financial and material plans. This Academic Development Committee determines the method of internal resource allocation.

The University of Oxford has a Planning and Resource Allocation Committee placed directly under Council which, as its name implies, is responsible for determining policy on financial resource allocation within the university. This is the so-called RAM, or Resource Allocation Method. (Figure 3-4)

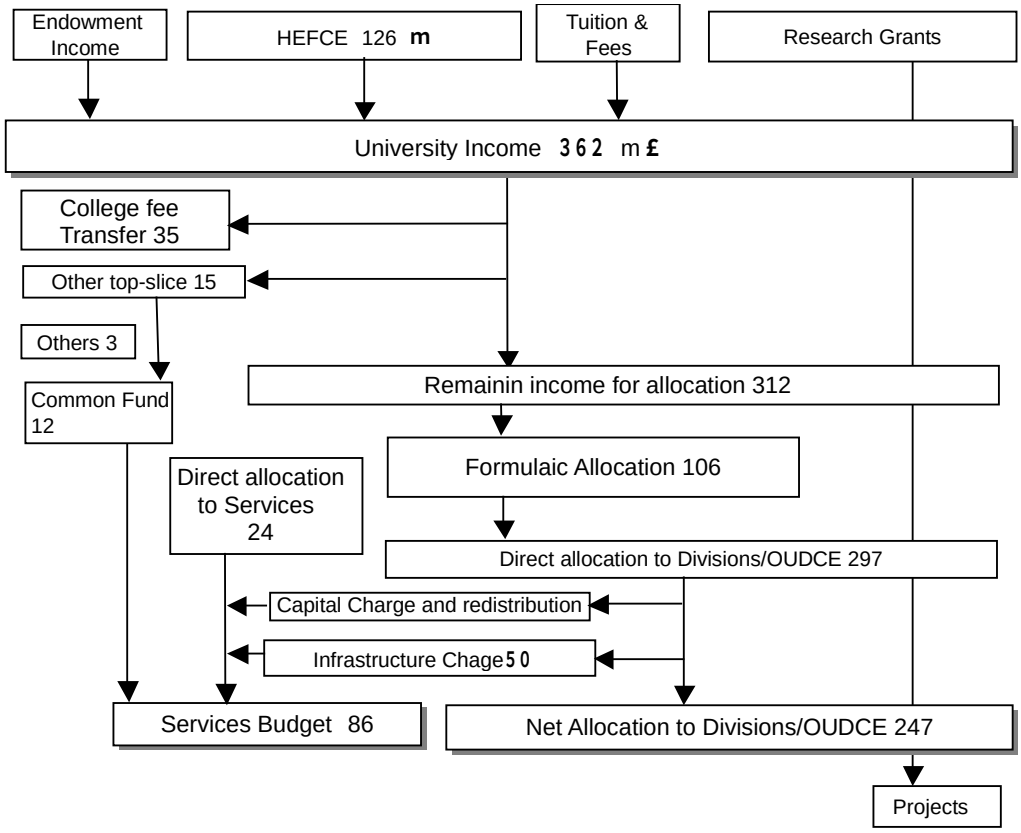
The University of Tokyo has established a Financial Planning Committee, but it is difficult to say whether it is the responsible body for internal allocation because such allocation is at present performed automatically.

Based on such a responsible body for internal allocation, each university has, in addition to a budget distributed to its various internal bodies, what we can call central expenses to be spent on the whole university. In the University of Sheffield, 33% of each department's income is spent by the university's central administration on overheads. In the University of Oxford, 14% of the total university income (not including colleges) is withheld as a top slice (GBP 501,000 in fiscal year 2002-3). However, the major portion of this top slice comes from college fee replacement (GBP 348,000). As described earlier, government subsidies for college fees granted directly to colleges in the University of Oxford were abolished, and the same amount shifted to the education grants and so on that the university receives

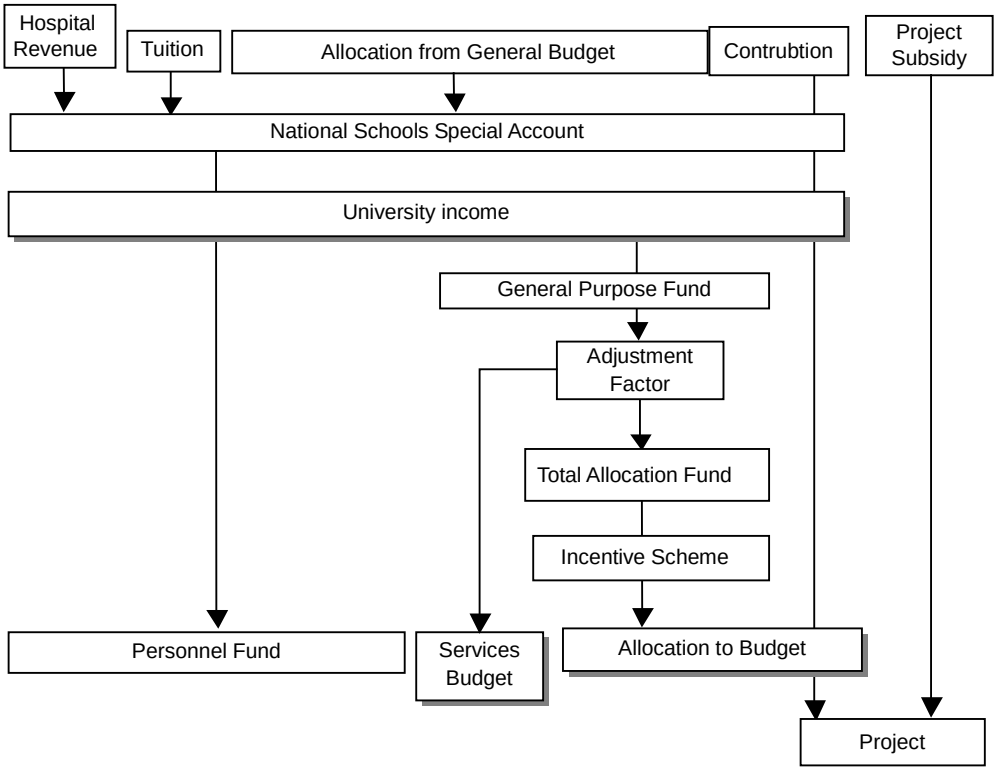
from HEFCE. As a result, the university still receives an amount equivalent to the old college fees within education grants, which it handles as the top slice in its financial resources, so there has been no significant change in allocation to colleges. This means that the University of Oxford has substantially smaller university central expenses in comparison with the University of Sheffield, which also means that the University of Sheffield has stronger control over its central administration. The University of Tokyo, meanwhile, withholds about 8% for central expenses.

Figure 3-4 Internal resource allocation

Oxford University



University of Tokyo



(3) Funding units

The responsible body for internal allocation is not necessarily involved in allocating resources to the extremities of the university structure. As a matter of fact, there are intermediate bodies that function as the basic funding units. That is to say, the responsible body for internal allocation only distributes resources to departments or funding units, and responsibility for actual distribution and spending within the university is borne by the funding units. (The head of a basic funding unit is called budget holder.) Previously in the UK, departments, with their focus on professional education, already had considerable power. In recent years, a number of them have been formed into bigger units that are the basic funding units responsible for allocation and spending. The University of Sheffield has 41 basic funding units formed from 75 departments. These funding units interact with the responsible body for internal allocation. In the University of Oxford, meanwhile, there are five bodies called divisions which are divided by academic field. The colleges of the University of Oxford used to have a high degree of financial independence, but now, due to the financial reasons described previously, their finances tend to be included in those of the university as a whole. As for the University of Tokyo, faculties and graduate schools are the basic funding units and are strongly independent.

4. Evaluation and medium- to long-term planning

What kinds of plans and decisions are made regarding long-term changes within the three universities? How do large structural changes actually take place?

Basic existing evaluation and structural reform

Long-term changes, especially decisions relating to the actual shape of the structure or governance, were needed both in the UK and Japan. In the UK, changes to university governance itself were pursued by the government around the time of the 1997 Dearing Report, as described earlier. In the University of Sheffield, a special committee was set up which created statute reform in 1999. Below, we describe the case of the University of Oxford.

The University of Oxford

In the University of Oxford, bodies have been formed to discuss reforms to the main points of British higher education policy. Following two Royal Commissions in 1850-52 and 1877-82 and the Asquith Commission in 1919-22 came the 1963 Robbins Committee, which caused a huge policy shift towards an expansion of higher education in the UK in the 1960's. Immediately afterwards, the Franks Committee (1964-66) was established in the University of Oxford, which formed the framework of the university's organization and its management and administrative structure until about 2000.

Later, the North Commission (1994-97) was established in the University of Oxford when existing university reform became a political issue with the 1992 reforms to the Further and Higher Education Act. At the same time, at a governmental level the previously mentioned Dearing Committee was set up. The North Commission deliberated along the same lines as the Dearing Committee, while also building the foundation of the University of Oxford's response to the Dearing Committee. Both reports were released almost simultaneously around 1997.

The North Commission was composed of the chairman, Dr. Peter North, Vice-Chancellor in 1993-97, and seven other members, five of whom were academic staff at the University of Oxford, the remaining two being a college head and a vice-chancellor of another university. Its establishment was determined by Hebdomadal Council, the decision-making body of that time. In 1995, a year after its 1994 inauguration, the Commission submitted a Framework Document to Congregation to seek opinions from within the university. It also mailed a questionnaire to university members in 1996. On the financial side, it also signed a consultation contract with KPMG. The total amount of that expense was GBP 280,000 (equivalent to about 60 million yen)（North Committee 1977. p.4）. Below are the main details of the 1997 report.

Chapter 1 Introduction
Chapter 2 Background to the Commission
Chapter 3 Aims, Structure, Scale and Form of the University of Oxford
Chapter 4 Present Governance
Chapter 5 Governance Reform
Chapter 6 Implications of Governance Reform
Chapter 7 Academic Personnel Affairs

Chapter 8 Teaching and Learning – Qualitative Assurance

Chapter 9 Teaching and Learning – Undergraduate Education

Chapter 10 Teaching and Learning – Graduate School Education

Chapter 11 Research Structure and Support System

Chapter 12 Resources of the University including its Colleges

This report is therefore not only concerned about management and operation, but also includes an extremely wide range of issues such as education and research. It was submitted to Hebdomadal Council and Congregation, and in 2001, after discussion, a decision was reached to revise the main statutes. At the same time, the report became the basis of a series of reforms not necessarily related to the statutes.

The University of Tokyo

The University of Tokyo has undergone various changes since its foundation. When those changes were made, however, the university itself rarely conducted a self-evaluation from a long-term point of view, or drew up long-term plans. Looking at the background to its position within society and its form as an institution, on the one hand the university has been handed a large degree of autonomy, but as an organization, on the other hand, it is a national facility. Proposals of important structural reforms have been made linked to government higher education policy as well as being in response to faculty meetings. Many changes have resulted from this implicit process.

After the revision of university establishment criteria in 1992, self-monitoring and self-evaluation became important issues. Each faculty and graduate school unit in the University of Tokyo was required to submit a report on self-monitoring and self–evaluation. In the meantime, the University of Tokyo as a whole began to publish “The University of Tokyo White Paper”. The first issue was released in November 1992, since when it has become a tradition to publish the paper in the last year of the term of office of the President. The second issue was published in 1997 followed by the third issue in 2001. The content of this paper is diverse, ranging from education and research to issues such as social contribution. Formally, the editor-in-charge is a Vice-President, but the content is basically determined by the various writers and so it cannot be said to express the opinions of the university as a whole. Moreover, its content is nearly all commentary about current problems, and it has not performed any systematic analyses or surveys. As a result, it did not connect specific reform issues to an analysis of the current situation.

When university reform became a political issue in the late 1990’s, several committees, chaired by the Vice Presidents, were set up to examine the way forward for the University of Tokyo. They were the Research Committee on National Universities as Social Capital (report published in March 1998), the University of Tokyo Institution Format Investigative Committee (report published in October 2000), Central Body Readjustment Discussion Committee (report published in July 2000) and the University of Tokyo Operation Discussion Committee (report published in October 1999). As a result, the Council of Academic Operational Strategy for the 21st Century, or UT21 Council, was set up, with the President as chairman, for the purpose of developing discussion across the university on academic operational strategy, including a study into the form of its institution from a long-term point of view. The committee has 39 members, including the President, three Vice-Presidents and each faculty dean. Within the UT21 Council was set up a Incorporation Committee, under which three operation committees, chaired by

Vice-Presidents, discuss matters related to the future of the university after incorporation.

Compared with the North Commission described earlier, the UT21 Council has the following features: (1) It has no non-academic members at all, and yet it has a remarkably large number of members. Instead of making specific and concrete proposals to the entire university, its purpose tends to be to encourage opinions from the faculties and graduate schools through a process of study. (2) A strong feature is that it examines how to deal with university reform, with particular focus on the government, rather than setting clear targets to reach. (3) It is dependent on the operations of the Administration Bureau, but has been unable to systematically perform independent surveys or analyses.

Medium-term planning

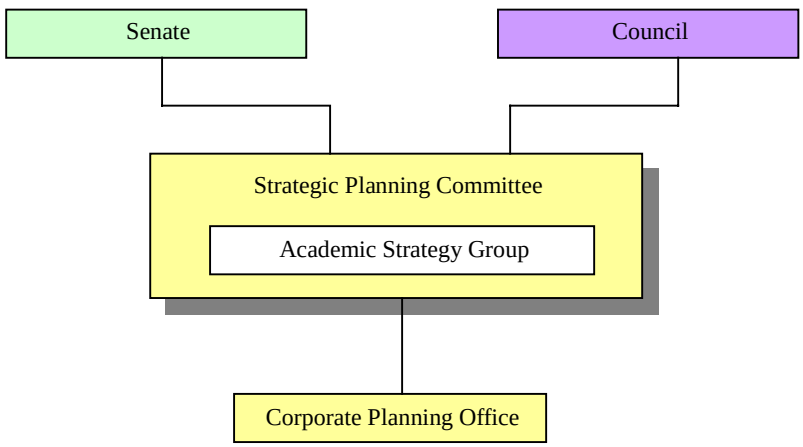
During the university reforms, universities in both the UK and Japan pursued stronger autonomy, and to support this they needed their own independent medium-term plans.

In the UK during the late 1990's, HEFCE requested each university to carry out strategic planning. Then, in 2000, case studies were conducted into strategic planning in universities. (HEFCE, Strategic Planning for Higher Education – A Guide for heads of institutions, senior managers and members of governing bodies, 2000). In addition, HEFCE required each university to make three-year medium-term plans and submit them to HEFCE. Currently the medium-term plans submitted by universities do not have a direct impact on resource allocation, but are used in the evaluation of the universities' annual resource planning.

The University of Sheffield

The University of Sheffield has positioned strategic planning as an important operation method, at the centre of which is its Strategic Planning Committee that reports to both the Council and the Senate. The Strategic Planning Committee is composed of 17 members, including the Vice-Chancellor (as the chairman), four Pro-Vice-Chancellors, chairman of the Council, chairman of the Facilities Management Committee, chairman of Human Resource Management Committee, and so on. Some of its members form the Academic Strategy Group. A Corporate Planning Office was also set up as the administrative bureau of the Strategic Planning Committee.

Figure 4-1 Organization chart of the Strategic Planning Committee in the University of Sheffield



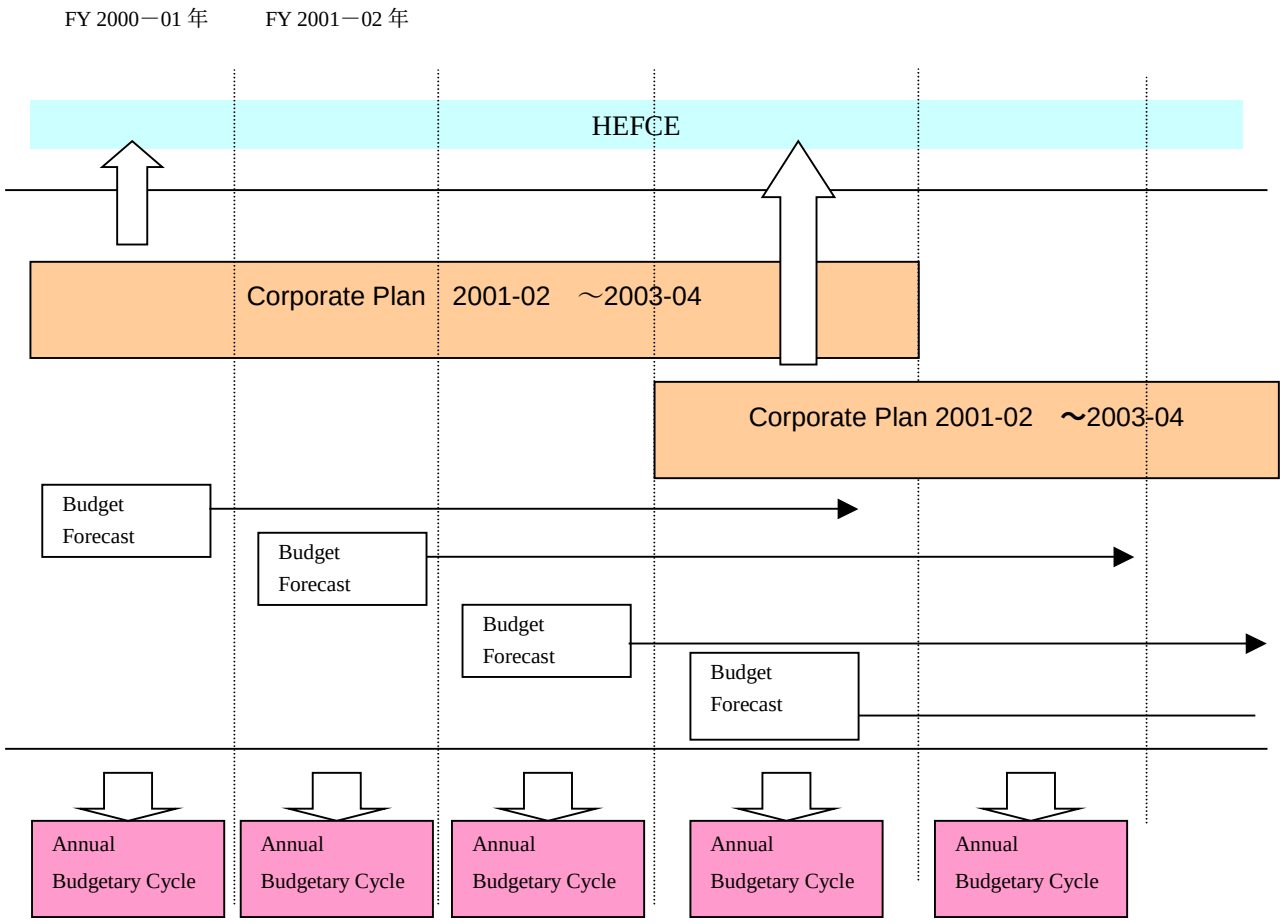
The Strategic Planning Committee is a so-called “joint committee” of both the Senate and the Council, and includes major members of executive bodies such as the Vice-Chancellor, chairman of the Council, Pro-Vice-Chancellors and so on. We can see, then, that the committee has been given a considerable degree of authority. Even its administration office, the Corporate Planning Office, has a lot of power in matters such as human resources. Below are the three plans created by the Strategic Planning Committee.

A. Corporate Plans. These four-year plans are revised every three years. Recent plans include the “Fiscal Year 1997-98 to Fiscal Year 2000-01 Plan” drawn up in July 1997, and the next “Fiscal Year 2000-01 to Fiscal Year 2003-04 Plan” drawn up in July 2000. HEFCE requires all universities to submit a strategic plan every three years. The University of Sheffield submits this Corporate Plan.

B. Incidental Concrete Strategies. These are resource allocation plans, and include the “New Students Strategy”, “International Cooperation Strategy”, “Regional Cooperation Strategy” and “Industry-University Cooperation Strategy”. Other resource allocation plans are the “Human Resources Plan”, “Information Foundation Plan”, “Facilities and Equipment Plan” and “Financial Plan”. Furthermore, each department has a three-year “Academic Plan” under this category.

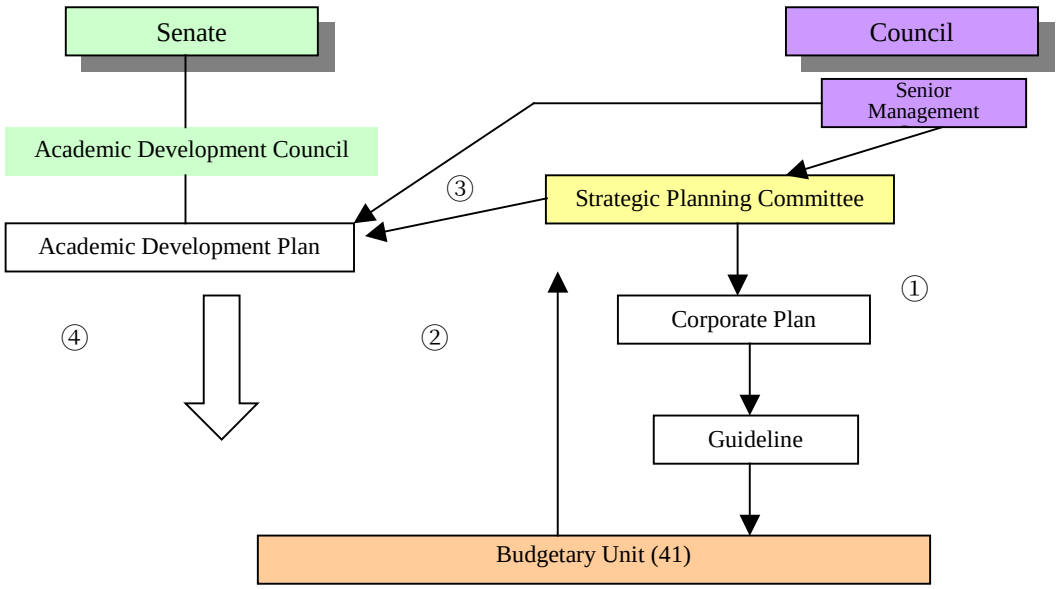
C. “Financial Estimates”, which are made annually. These include estimates of the numbers of students and teaching staff in the following four years. Based on these estimates, a concrete annual budget allocation cycle is established.

Figure 4-2 Medium-term planning process and budget allocation cycle



On the one hand, this kind of corporate plan is submitted to HEFCE and becomes one of the bases for grant inspection. On the other hand, based on these plans, an annual budget allocation cycle is performed by Academic Development Committee (ADC) of the Senate. Specifically, the cycle follows the sequence shown in Figure 4-3. (1) Following the corporate plans, the Strategic Planning Committee indicates guidelines. (2) In response to these guidelines, each department submits a budget request by drawing up a three-year development plan and other similar plans regarding service functions. (3) Based on these plans, the Strategic Planning Committee and Senior Management Group (Vice-Chancellor and Pro-Vice-Chancellors) decide the order of priority. (4) The ADC determines development plans and allocates budgets according to this order of priority. This process is represented in the following figure. (5) The academic development plan is also revised based on this process.

Figure 4-3 Process of corporate plan and budget allocation



On the other hand, several financial incentives, as described earlier, are included when the Academic Development Committee allocates budgets. In this process, forecasts of important changes, such as changes in teaching staff, numbers of students, structure and so on, may play an essential role in the operation of the Strategic Planning Committee, which is often mentioned above. In particular, increasing student numbers is a big decision for the university, and has a significant financial impact on university income and expenses. In recent years, especially, the British government has had a policy of further increasing student numbers, so the stance of the universities has great significance. If a university decides to increase the number of students, it participates in a bid to request a grant from the government (HEFCE) according to the student number increase. An important function of the Strategic Planning Committee is deciding the university's stance on this point. An important input of this process is the plan made by each budget unit. On the other hand, the Corporate Plan provides essential material for HEFCE to understand the overall strategy of the university, including its plans on student numbers. As a matter of fact, the University of Sheffield's plan on student numbers forms an important part of its 1997 Corporate Plan and 2000 Corporate Plan.

In this way, although the University of Sheffield's Senate has the power to make education-related decisions and a committee of the Senate conducts budget allocation to each department, the Strategic Planning Committee has the authority to decide medium-term plans, and the decisive say on important allocation changes as well as structural changes. Through this process, the intention of the executive group under the Vice-Chancellor, which belongs to the Council, essentially has a decisive influence on actual budget allocation. The basic budget units are small, too, which shows a strong tendency towards the centralization of power.

The University of Oxford

In response to HEFCE's policy described above, the University of Oxford also makes a medium-term strategy. The university's first publication with the specific title of Corporate Plan was issued in July 2001 (University of Oxford, 2001). According to the request of HEFCE, the plan should be renewed every three years. The next update will be made in 2004.

The University of Oxford differs from the University of Sheffield described above, in that it does not clearly separate decision-making regarding management and education, which is an agenda under the control of Council. There are four major committees in Council, one of which is the Planning and Resource Allocation Committee (PRA). According to regulations, the chairman of this committee is the Vice-Chancellor. To deal with this committee, a Planning and Resource Allocation Section has been created in the Secretariat.

As in the University of Sheffield, each division in the University of Oxford as well as its Department for Continuing Education and Department of Education and Research Grants draws up a five-year plan, which is revised every year. These divisions and departments also create an Annual Operation Statement. The five-year plans of these divisions and departments specify student number estimates, education and research plans, teaching staff policies, and so on. At the same time, the plans include estimates of division income, division expenses and government research grants. In contrast to the University of Sheffield, however, the University of Oxford's Corporate Plan itself does not necessarily show concrete figures, but does include details of the individual plans of the above divisions and departments.

Looking at the current Corporate Plan, most of it basically consists of the plans of each division, although it does mention that the university as a whole is not going to increase its number of students.

We have described how the University of Oxford's Corporate Plan leans heavily towards achieving integration of the university as a whole, and how actual strategic planning tends to be performed by the above individual divisions and departments. This is the result of the University of Oxford's tactic of decentralized operation.

The University of Tokyo

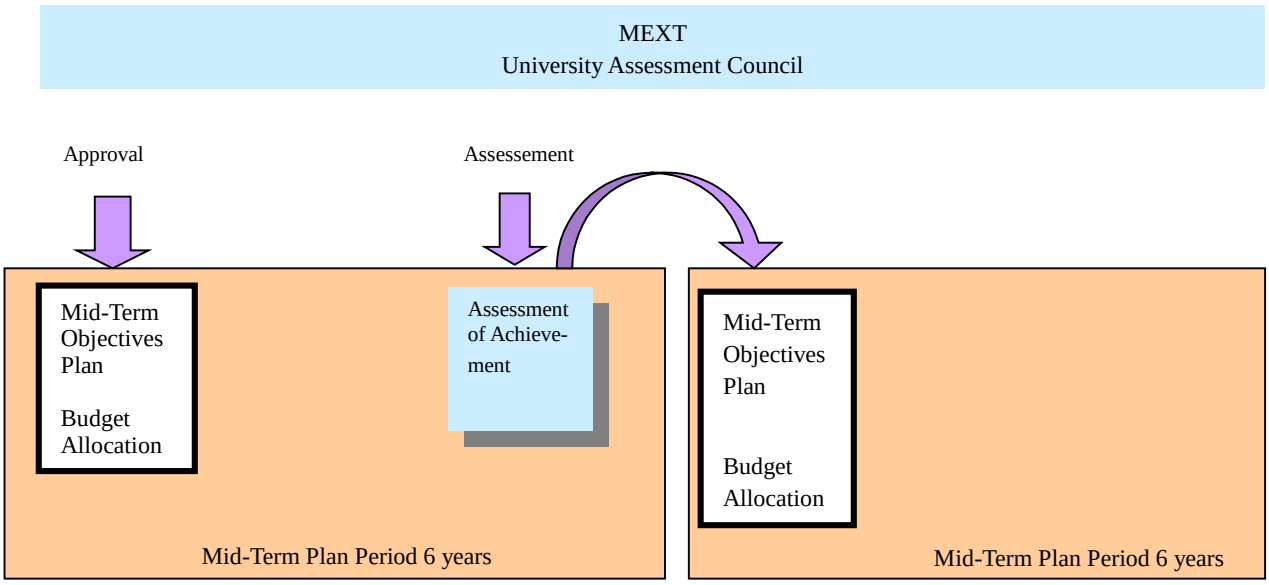
The University of Tokyo has never made medium-term plans like those of the two British universities, which reflects the problems of the University of Tokyo's governance format itself. Firstly, from an internal perspective, one of the university's strong features is that it is an assembly of faculties, graduate schools and institutes. Even when individual faculties, etc. have made various reform proposals, there has been no need to draw up plans for the university as a whole. Secondly, on the point of structure and personnel, the university is a government institution whose structural changes are part of the policy of the Ministry of Education, Culture, Sports, Science and Technology and the government. As a result, even when the university itself made plans, there was little need to implement them. Thirdly, the government budget is drawn up annually, and so the university has basically been unable to make decisions while restricted to financial expenses for one year at a time.

As a result of the above points, changes to the university have emerged without any clear plans for the university as a whole, although the university did show its long-term plans on a number of specific

items during the process of negotiation on the creation of an annual budget with the Ministry of Education, Culture, Sports, Science and Technology and the Ministry of Finance. The situation is almost exactly the same for all of the Japanese national universities.

The situation is changing greatly with incorporation. That is to say, the national universities are no longer under the direct administrative control of the government. Instead, the relationship between the universities and government is regulated by the cyclic control of government financial measures that set medium-term targets and evaluate the levels of achievement. In short, the basis of the national university corporation system is a system of medium-term targets and evaluation. This system is illustrated in Figure 4-4. It shows how the university is required to draw up medium term targets that must be achieved during a medium-term planning period of 6 years, and a medium-term plan proposal in order to implement those targets. After the Ministry of Education, Culture, Sports, Science and Technology gives its approval, it then provides a government grant to the university. In the fifth year of the medium-term plan, the University Assessment Committee evaluates the achievement level of the medium-term targets, using the university assessment and degree-awarding body. Based partly on this evaluation, the targets and plans for the next medium-term planning period are set.

Figure 4-4 Cycle of medium-term planning and its evaluation in the University of Tokyo



A number of questions have been raised lately about this system itself. (1) Regarding medium-term targets, how much autonomy is the university given in setting them? What standards are used for the Ministry of Education, Sports, Culture, Science and Technology to decide whether to give its approval? And is it not necessary for the Ministry of Education, Sports, Culture, Science and Technology to indicate the framework? (2) How is the evaluation of achievement level conducted? Is the evaluation itself arbitrary, depending on the format of the medium-term plan? (3) As for medium-term targets and plans, are grants during the medium-term target period guaranteed? In this sense, are the limitations of the principle of single-year financing removed? How is the achievement level reflected in the amount of government aid? The Ministry of Education, Sports, Culture, Science and Technology is currently working on the details of these questions, although it is still possible that they will not be completely answered by the time of the inauguration of the national university corporations in April 2004.

Meanwhile, it is clear from a comparison with the two British universities that the system in the University of Tokyo is still not complete.

First of all, although the University of Tokyo is already in the middle of drawing up its medium-term plans and targets, the system is not particularly clear. At this stage, the sequence is this: the faculties and graduate schools are given a format for drawing up their medium-term targets and plans, which are then collected by an Advisor to the President, who acts as liaison. Next, the President is responsible for organizing all the plans, and the Senate makes the final decision. There is a policy of making the medium-term plans and targets from the very bottom upwards, which is a reflection of the fact that there is no great need to clarify the policy for the university as a whole. However, as we can see from the relatively decentralized University of Oxford, questions remain about the form the University of Tokyo as a whole will take in the future with respect to its integration and direction.

Secondly, these medium-term targets are highly abstract. With regard to the achievement of the targets themselves, there will not necessarily be individual plans from the perspective of, for example, human resources or finance. This reflects that fact that there are currently many unclear points in the system regarding the actual format of the medium-term plans, and many unknown points about the human resources and finance systems themselves. For the future, problems remain as to the form these plans will take. But there is still a need to study the integration of these points. Another important issue is the relationship between the plans and annual budget allocation.

Thirdly, the medium-term targets and plans set by the faculties and graduate schools are not necessarily concrete. As the example of the University of Oxford shows, if a university takes the form of decentralized governance, the planning capacity of individual basic units becomes a serious problem. For medium-term targets and plans in particular, planning is required from the perspectives of personnel and finance. The issue here is what the possible forms are for individual faculties and graduate schools to use. It may be relatively difficult for individual faculties and graduate schools to make such plans.

As described above, it is clear that the University of Tokyo's scheme of medium-term targets and plans, which is the basis of incorporation, is still structurally unstable, while the university's internal system currently still cannot be said to have been completed in comparison with the two British universities.

Long-term structural change

In summary, we have analyzed the problems of university structural reform as a systemized process using three universities as our subjects. Needless to say, however, actual changes in university structure are not necessarily only the results of that systemized process.

In the University of Oxford, the substantially large structural changes in recent years include: (1) new experimental facilities for the Medical Sciences Division, (2) construction of a chemical experiment block, and (3) establishment of the Saïd Business School. None of these changes depended solely on university funding or government funding. Instead, they relied on several forms of private funds. 'The chemical experiment block in (2) was built in part with public funds, mixed with funds provided by private companies, and by an agreement with a merchant bank concerning the exploitation of intellectual property over a limited period of time. The Saïd Business School was established with a donation from the businessman, Wafic Saïd, although there was a great deal of debate in the university regarding whether his donation should have been accepted. At any rate, we can say that it would be difficult to make any changes in the University of Oxford, including large-scale facility or personnel investment changes, without introducing several forms of external funding.

In the University of Tokyo, this kind of large-scale external funding has not been accepted yet. It is more than a little possible, however, that a situation will arise in the near future in which such funding is necessary. When that happens, the scheme of the planned corporation may not be entirely suitable.

Conclusion

Based on the analysis above, the following provisional conclusions can be made.

First of all, there are several obvious differences between the two British universities and the University of Tokyo in terms of their structures. With regard to structural complexity and scale, the University of Tokyo is more complicated and larger. On this point, however, there is a huge gap between universities throughout Japan, while in the UK the differences between universities are small. As for governance, although the systems of the two countries are very different, there is also a big difference between the two British universities, and the system of the University of Tokyo is closer to that of the University of Oxford. There is also a significant difference between Japan and the UK regarding financing. An important feature of the financing of the two British universities is the variety of their financial sources.

Secondly, looking at social function, although the University of Oxford and the University of Tokyo are similar in that they hold an elite position in respect to education and research, the University of Oxford has produced far more social elites. Both the University of Oxford and the University of Tokyo have similar levels of research output. The rising universities in the UK such as the University of Sheffield, however, are rapidly catching up at least in terms of research output, and the hierarchy is being shaken. Our analysis does not directly clarify the connection between the structural differences among these three universities and their functions. However, we can almost definitely say that the diversity of financial sources and autonomy of decision-making in the two British universities gives them a certain degree of flexibility in the way they connect with society. It is exactly on this point, that the University of Tokyo appears to need significant transformation.

Finally, regarding the incorporation of national universities in Japan, it is definitely having a big impact on the system of management and operation. But the example of the UK shows that there can be an enormous variety of bodies and governance structures within the system. An important issue for the future is how to choose the type of bodies and structures. At the same time, the type of organization a university adopts significantly affects its financial structure, and this is a major cause of the differences between universities in Japan and the UK. In this sense, the question for the future is how to design the financial mechanisms of the national university corporations.

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Tokyo Institute of Technology

Japan-UK Higher Education Change Management Project

Project relating to University Management for a New Age

Report of Study Visit

Name of University: Tokyo Institute of Technology

Participants: Kohei Ogawa (Vice-Principal, Tokyo Institute of Technology)

Takayuki Hayashi (Research Fellow, National Institution for Academic Degrees)

Theme: Finances

Universities visited: Imperial College of Science, Technology and Medicine

Persons interviewed:

Dr. Rodney Eastwood (Director of Policy Planning)
Mr. Hameed Khan (Head of Financial Management)
Mr. Tony Cannon (Director of Finace)
Mrs. Lynne Cox (Research Contracts Manager)

Loughborough University

Persons interviewed:

Prof. Ron McCaffer (Director, Business and Knowledge Transfer)
Mr. Michael Pearson (Bursar)
Ms. Fidelma Hannah (Assistant Registar, Planning)
Dr. Terry Higgins (Treasurer)
Prof. Tony Thorpe (Acting Head of Department)
Mr. Roy Warburton (Estates Services)
Prof. Chris Backhouse (Dean, Faculty of Engineering)

1. Introduction

As part of the Japan-UK Higher Education Change Management Project, the study team visited two universities in the UK between 9th and 13th December, 2002, to carry out a survey of their financial management. The universities visited were the Imperial College of Science, Technology and Medicine, and Loughborough University. These two institutions are comparable to the Tokyo Institute of Technology (henceforth referred to as the Institute), since despite the existence or otherwise of a Medical School, they are both science-based institutions, with around 10,000 students each (see chart 1). Other comparisons in terms of staff numbers and financial basis revealed significant differences and particulars.

The subject of our study was the financial management of the universities, but the independent incorporated state of British universities (which are incorporated according to royal charter) means that financial management is organically linked to the strategic management of the university, since the universities are run and maintained as business projects. For this reason, we heard explanations from both universities regarding financial management at all levels (from the overall university to the departmental level), along with explanations of the process involved in establishing strategic plans. In addition, we heard explanations of the distribution of finances within the University.

The following is an explanation of the survey into the status of financial management at the universities.

Chart 1: No. of students, staff, and financial information at each university

		Imperial College		Loughborough Univ.				Tokyo Institute of Technology
No. of students		Full-time	Part-time	Full-time	Part-time			
	Undergraduates	7,244	0	9,494	148		Undergraduates	5,071
	Postgraduate students (Taught)	1,269	451	739	1,487		Postgraduate students (Masters)	3,329
	Postgraduate students (research)	1,612	522	510	225		Postgraduate students (Doctorate)	1,374
	Total	10,125	973	10,743	1,860		Total	9,774
No. of staff		Full time equivalent		Full-time	Part-time			
	Academic staff	1,127		524	32		Teaching staff	1,191
	Research staff	1,662		311	52		Researchers*	465
	Support staff	2,929		1,103	811		Staff	575
	Total	5,717		1,938	895		Total	2,231
Finance	Income	£389.8M (¥74,062M)		£114.8M (¥21,812M)			歳入	¥8,958M
	Expenditure	£373.4M (¥70,946M)		£111.7M (¥21,223M)			歳出	¥36,184M

The student / staff numbers for UK universities are from 2001 - 2002, while financial data is from 2000 – 2001. Conversion is done at 190 yen to 1 GBP. Data for Tokyo Institute of Technology is from 2001. 'Researchers' incorporates post-doctoral researchers and researchers from industry as well as visiting researchers from overseas, not including the fellow of doctoral course student from Japan Society for the Promotion of Science (DC1, DC2).

2. Imperial College of Science, Technology and Medicine

Date visited: 10th December 2002, 9.30 to 12.15

Persons interviewed:

2.1 University profile

Imperial College is an independent college within the University of London, which was founded in 1907. In 1988, it merged with St. Mary's Hospital Medical School and several other medical schools, to form the current Imperial College of Science, Technology and Medicine.

Imperial College is comprised of four faculties, which have student and staff numbers as shown in chart 2 (calculated as full time equivalent). The overall number of students is similar in scale to that of the Tokyo Institute of Technology(TIT), but there are more undergraduates and fewer postgraduates than TIT. The number of academic staff at the Imperial College is similar to the number of teaching staff at TIT, although the Imperial College has around five times the number of support staff.

Chart 2: Imperial College: No. of students and staff per department

		Fac Eng	Fac Life Sci	Fac Med	Fac Phy Sci	Manage Sch, Human, Educ Dev	Central service staff	Total	(For reference) Tokyo Institute of Technology overall	
Department		10	4	1	4	3				
FTE student numbers	UG	2,811	970	1,791	1,666	6		7,244	Undergraduates	5,071
	PG taught	478	247	271.5	82	408		1,488.5	Postgraduate students (Masters)	3,329
	PG research	633.5	283.5	476.5	398.5	81		1,873	Postgraduate students (Doctoral)	1,374
	Total	3,922.5	1,500.5	2,539	2,146.5	497		10,605.5	Total	9,774
FTE staff numbers	Academic Staff	288	158	449	175	51	6	1,127	Teaching staff	1,191
	Research Staff	351	232	838	234	9	0	1,662		
	Support Staff	349	243	804	185	53	1,295	2,929	Staff (including engineering officials)	575
	Total	989	633	2,091	594	113	1,301	5,717	Total	1,766

FTE = Full time equivalent

(Imperial College Statistics pocket guide 2001-02)

The College's income for 2000 – 2001was 389.8 million GBP (equivalent to 74.062 billion yen), and its expenditure was 373.4 million (equivalent to 70.946 billion yen) (diagram 1). A simple comparison with the TIT's expenditure for fiscal 2001 of 36.184 billion yen shows that approximately twice the amount of money is being managed by the College. In addition, approximately 30% of the College's annual income comes from HEFCE public funding, with the rest coming from research grants and contracts.

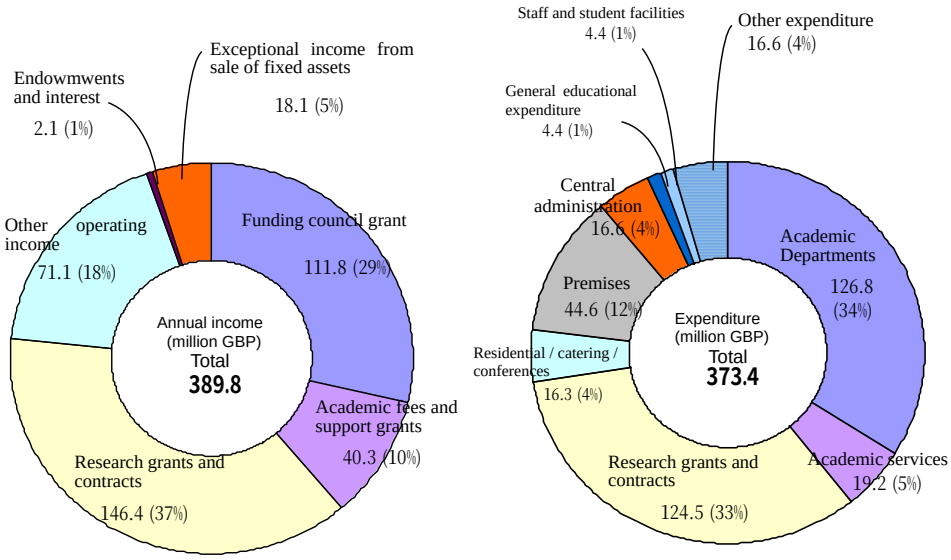


Figure 1: Financial status of Imperial College

2.2 Governance Structure

The current governance of Imperial College (in force since 1998) is regulated by the Charter and Statutes, with a three-tier organization typical of British universities consisting of a Council, a Court and a Senate.

- The Council: The executive organization with responsibility for strategy formation and general financial and business operations. The Council consists of 32 members, of which half are 'lay' members (appointed from outside the College). The Council meets almost every other month, and members serve a tenure of 5 years. Many specific authorities and functions are designated to the various committees appointed by the Council. Some examples of these are the Finance Committee, chaired by the Treasurer, the Investment Committee, which considers investments, the Remuneration Committee, which deals with staff remuneration, and the Audit Committee, which reviews financial statements.
- The Court: The Court is comprised of 160 members, who are appointed from related organizations such as the Royal Society, local governing authorities, teaching associations and London University, as well as from within the College, and include the Principal and Heads of Departments. The Council meets once per year, to receive the College's Annual Report and Accounting Report.
- The Senate: The Senate consists of 50 senior academic staff and student representatives. The Senate exists to debate academic issues (study courses, student regulations etc.) but is not involved in the discussion of financial matters.

Along with these bodies, the Executive Committee exists to make decisions and strategies regarding day to day management and planning. The Executive Committee is made up of the Principal, the Vice-Principal, and the heads of management divisions such as the Financial and Human Resources Departments. The Committee meets once every one to two weeks. Decisions made by the Executive Committee are reviewed by the Council.

The College's strategy is set on the one hand by the Executive Committee creating a College Plan, which is used in a top-down way, and on the other by faculties and departments creating Planning Documents in a bottom-up method in line with the distribution of funds.

2.3 Mechanisms for fund distribution within the College, and the Strategy Planning Process

The disbursement of funds at Imperial College is done using the method shown in Figure 1. Initially, funds other than research contract funding and other types of funding that comes directly into departments is totaled into a single category of income. This includes grants provided by HEFCE in regard to education and research, as well as tuition fees paid by students. Next, the cost of fixed assets and support services is subtracted as necessary from the total figure achieved. The remainder is distributed between departments, according to a method of calculation that is based upon the level of education being provided to students and the quality of research being carried out in the department. This method is discussed later.

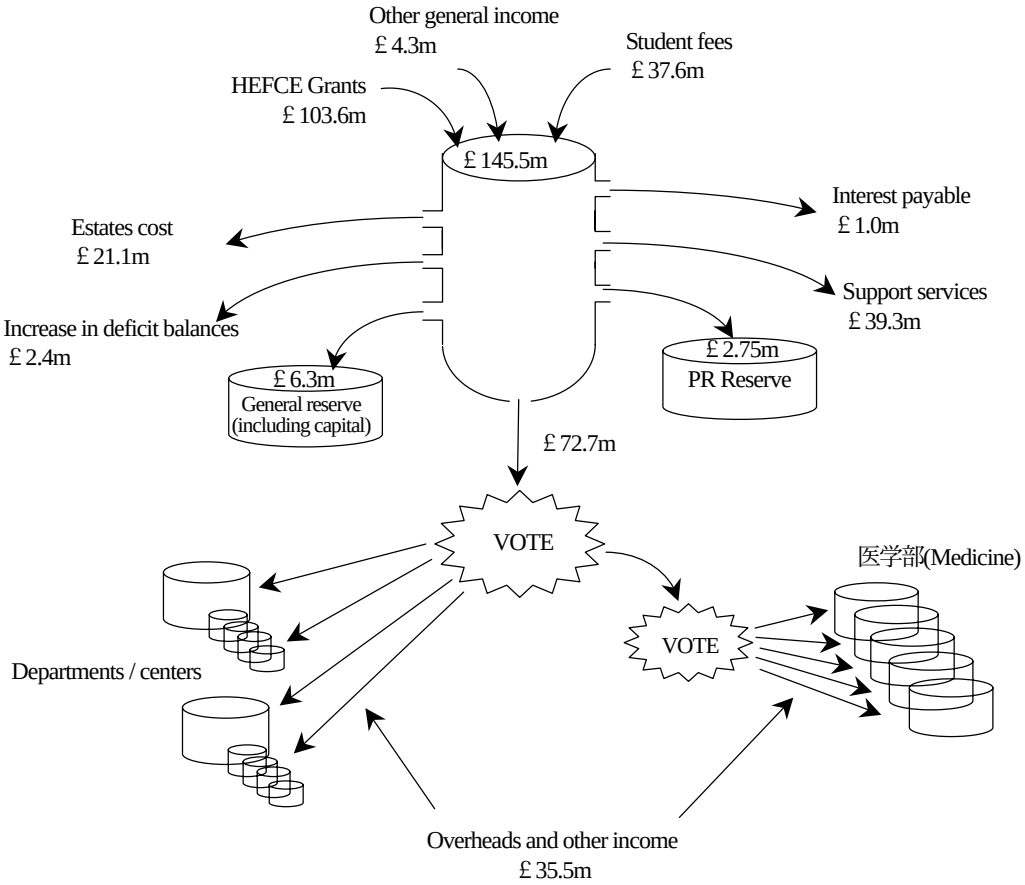
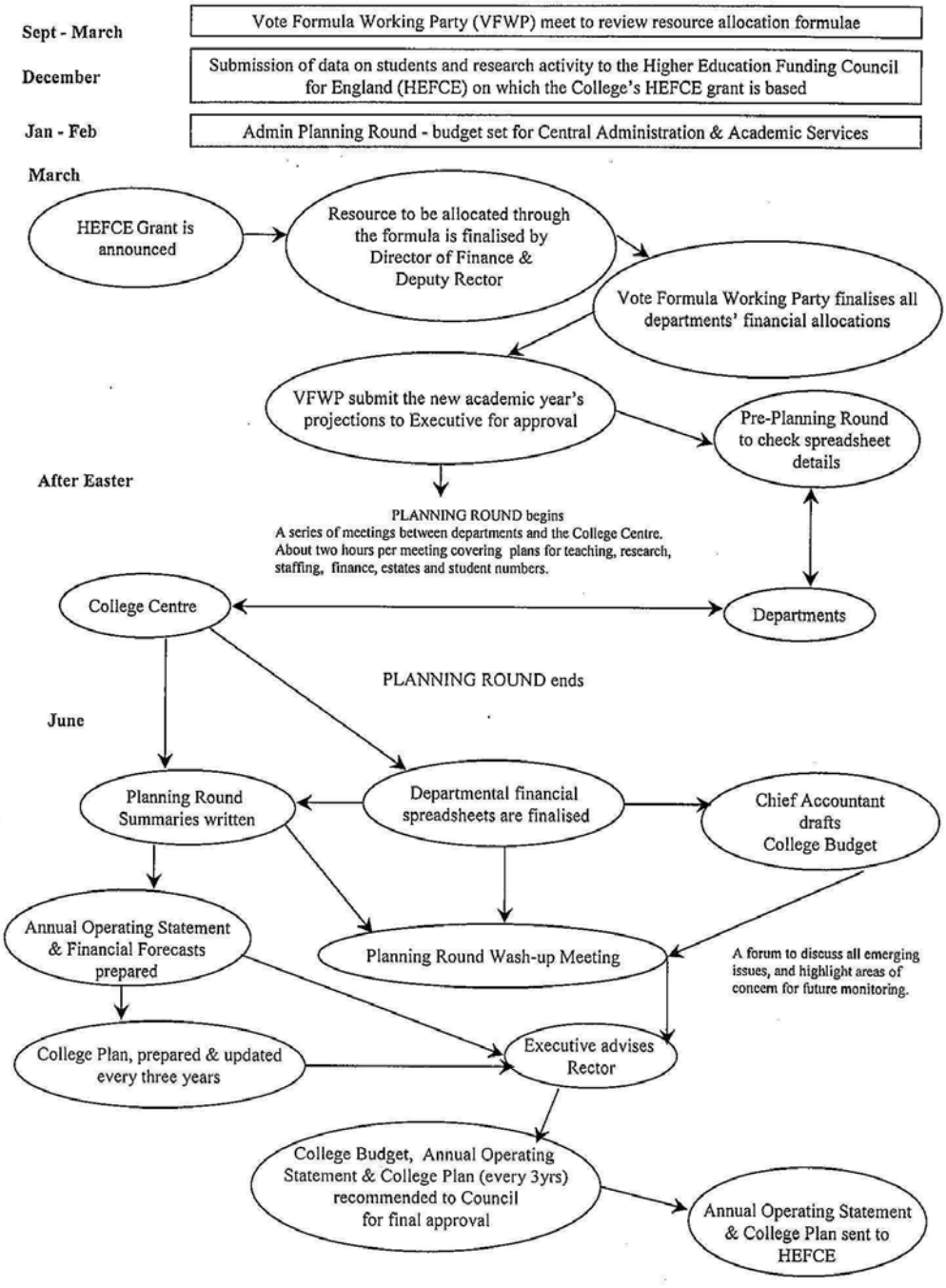


Figure 2: Imperial College: Internal fund disbursement mechanisms (2001 – 2002)

In line with the distribution of funds according to the above calculations, each faculty and department produces an annual plan. This is known as the Planning Round. Planning Documents are produced every

year, with a view to planned activities as far as five years ahead. The strategies for objectives, management methods, teaching, research and other activities of faculties and departments, as well as investment for planned activities, staffing and facilities and financial planning are all contained in these plans. The plans also include a spreadsheet that shows the expected income and expenditure for the year. The actual disbursement of funds within departments is based on these documents, and in addition, progress is monitored each year based on these plans. Financial monitoring is done annually on a function (service) basis and a faculty basis. Department and faculty plans are collated into the College Plan.



2.4 Calculation methods for internal fund distribution

The decision regarding the value of the grant to each department is made up of two parts in respect of teaching and research. The net value distributed is calculated as the gross formula vote minus infrastructure charge (for example, heating, lighting and water for the whole college is worth 5 million GBP), plus supplementary vote.

(1) Teaching elements

The disbursement of funds for teaching is done according to the formula shown below, based on the cost of teaching students. Some weighting is done according to the type of students.

Teaching costs T = at + bt + ct + dt

t = Teaching capitation

a = 1.00 x DWT x undergraduate teaching load

b = 1.33 x DWT x taught postgraduate teaching load

c = 0.70 x DWT x research postgraduate teaching load
(excluding part time staff and full time students in year 4 or above)

d = 0.30. x DWT x exported load (service teaching done by other departments)

DWT = Department teaching weighting:
Clinical medicine: 1.399
Laboratory-based departments: 1.0
Mathematics: 0.75
Management and HOST: 0.5

(2) Research elements

The formula for the distribution of research funds is based on RAE scores, the number of active staff, and the sum obtained from research contracts. The distribution of research costs based on elements such as these is the same as the method used by HEFCE to distribute funds, although the weighting values used are determined independently by the College.

Research costs R = er

e = RAE weighting [(DWRm) + n + (f (g + h + i + j + k))]
r = Research capitation

Weighting according to RAE results:

5*	3.713
5	3.375
4	2.25
3a	1.5

DWR: Departmental research weighting
Mathematics, management, HOST: 1.85
Others: 1.0
m = 1.0 x number of RAE active staff in general funds

N = 1.0 x PhD student load

(Includes FTE part time staff registered for higher degrees, but excluding any full-time students in year 4 or above).

f = 1/25,000

g = 1.2 x research council grants staff expenditure as a rolling 2 year average

h = 1.5 x staff or non-staff expenditure on UK-based charities grants as a rolling 2 year average

i = 1.2 x staff expenditure on EU government contracts as a rolling 2 year average)

j = 1.2 x staff expenditure on other GR contracts (GR = generic research, i.e. the College retains the intellectual property rights)

k = 1.0 x staff expenditure on other contracts as a rolling 2 year average

Types of interaction with industry at Imperial College

- Strategic alliances
- Research alliances
- LINK projects
- Industry center on campus
- Consultancy
- IP licensing and development
- Investment in spin-out companies
- Education and training
- Funding of Chairs, fellows, scholarships
- Recruitment of graduates & postgraduates

2.5 Activities in regard to procuring external funding

Imperial College has the highest level of research grant and contract income of any university in the UK, and these go to make up 37% of Imperial College's overall income. Imperial College's interaction with industry is diverse, as is shown in the chart above.

These various types of interaction are supported by organizations both inside and outside the College. Negotiations and estimates for research contracts are done by the College's Research Grants & Contracts Office. Imperial College Innovations Ltd. was founded in 1997 to handle technology transfer, and has already been part of the startup of more than 60 companies. IC London Consultants Ltd. (ICON) was founded as a consultancy in 1990, and paid 4.2 million GBP to the College as consultancy income in the year 2001 / 2002. In addition to this are the College's liaison organization IC Business Gateway (a department of the college), and the Environment Office, which deals with business in the environmental field, are also involved in the promotion of contract research.

3. Loughborough University

Date of Visit: 11th – 12th December 2002

Persons interviewed:

Prof. Ron McCaffer (Director, Business and Knowledge Transfer)
Mr. Michael Peasrson (Bursar)
Ms. Fidelma Hannah (Assistant Registrar (Planning))
Dr. Terry Higgins (Treasurer)
Prof. Tony Thorpe (Acting Head of Department)
Mr. Roy Warburton (Estates Services)
Prof. Chris Backhouse (Dean, Faculty of Engineering)

3.1 University Profile

Loughborough University is situated in the center of England, and was founded as Loughborough Technical Institution in 1909. It was granted a Royal Charter in 1966 approving it as Loughborough University of Technology, and in 1996 changed its name to the current Loughborough University. The University has three faculties: Engineering, Science and Social Studies and Humanities. Student numbers are as shown in Chart 1, and the University is the 56th largest in the UK. The highest number of students are attached to the Social Studies and Humanities department, but as noted above, the University started out as a technical institution, and as such the Engineering Faculty is famous and has high RAE scores and research income. In addition to these departments, there are also more than 30 research centers, and the University places a high level of focus on research. Research grants and contract income per staff cost unit is the 10th highest in the country, and the University the 14th highest number of PhDs per staff cost unit (figures from 2001).

Loughborough University is also famous for sports, and has wide ranging sports facilities on campus, as well as a Sports department.

Chart 3: Loughborough University Student Numbers

		Faculty of Engineering	Faculty of Science	Faculty of Social Sciences & Humanities	Total
No. of departments		6	7	12	25
No. of full time students	Undergraduate	2,444	2,079	4,835	9,494
	Postgraduate taught	152	184	403	739
	Postgraduate research	219	178	113	510
	Total	2,815	2,441	5,351	10,743
No. of part time students	Undergraduate	49	30	69	148
	Postgraduate taught	491	129	867	1,487
	Postgraduate research	99	48	78	225
	Total	639	207	1,014	1860

(Figures from 2001-2)

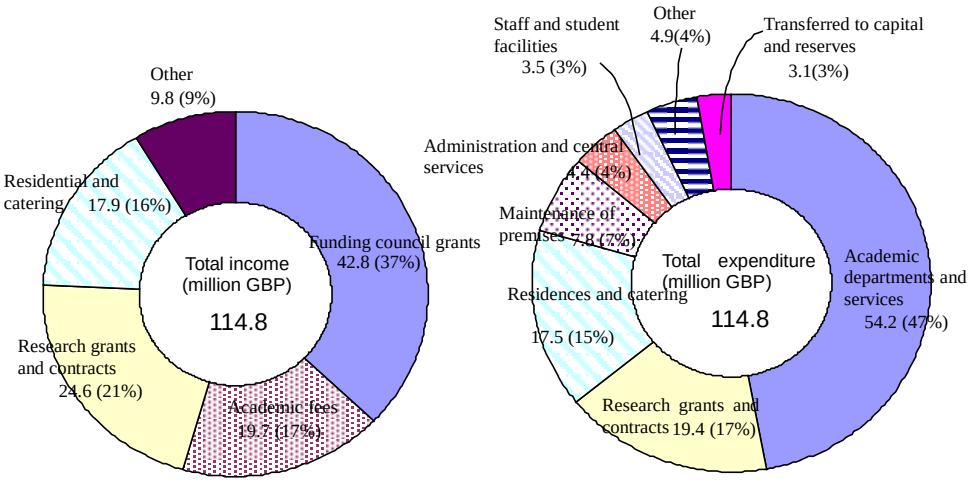


Figure 4: Income and expenditure of Loughborough University

As seen in this figure, the University's income and expenditure are not as large-scale as those of Imperial College.

3.2 Governance Structure

The governance of Loughborough University is also typical of universities in the UK (those existing before 1992) in that it is composed of a Council, a Senate and a Court. Day to day management is done by the Vice Chancellor, Pro-Vice Chancellors and the Deans, who along with the heads of the administration and finance divisions, make up the Executive Management Group.

Financial management is handled by the Bursar and the Finance Office, as part of the administration division, with assistance given by the Resources and Planning Committee, the Audit Committee and the Treasurer's Committee, all of which are formed under the authority of the Council.

3.3 The Strategic Plan

(1) Contents of the Strategic Plan

At Loughborough University, a Strategic Plan is created every three years, covering activities for the coming five years. The content categories of the strategic plan are as shown in chart 4. The introduction contains an analysis of the current status of categories to follow (research, teaching, etc.), including information regarding to what extent previous targets have been met, and what have not been met.

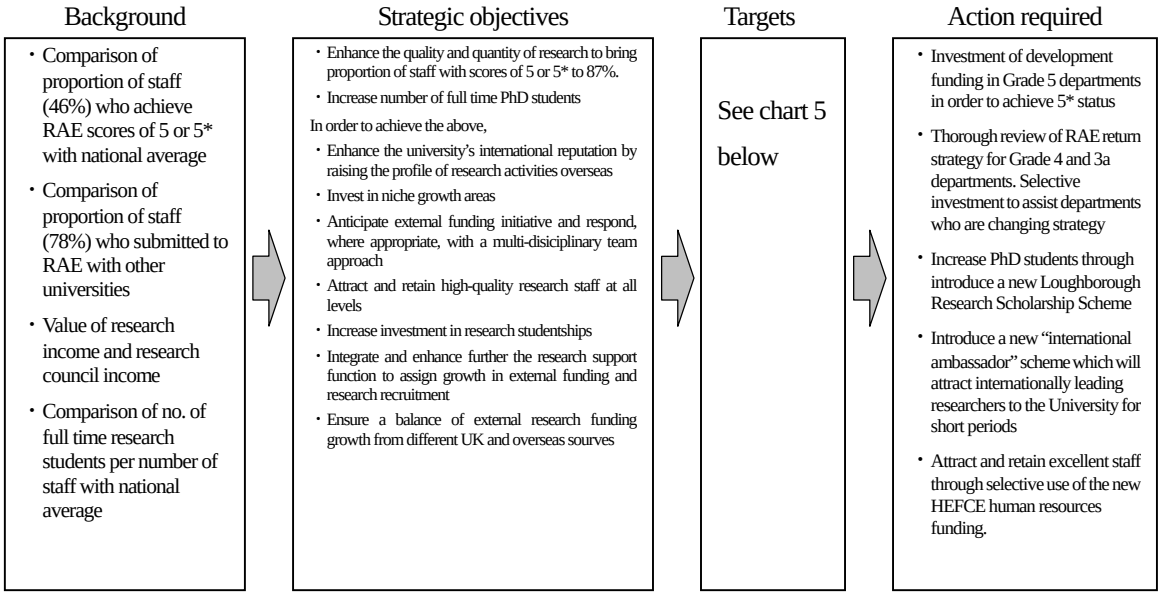
The following chapters of the document contain strategies for each function of the University, as well as management strategies. Alongside

Chart 4: The Strategic Planning Document
(for 2002 – 2007)

University Mission and Ethos
Overview
1. Introduction
2. Research
3. Learning and Teaching
4. Business, Innovation and Knowledge Transfer
5. The Student Experience
6. Sport
7. Local Community
8. Human Resources
9. Information Services
10. Estates
11. Advancing the University
12. Finance

research and learning and teaching, chapters such as innovation, knowledge transfer, service to the local community and sports also feature in the document (as mentioned earlier, Loughborough University is famous for its sporting achievements, and the sports facilities on campus are an important resource).

Strategies for each category are defined in stages as follows: 1) understanding the background to the current situation, 2) establishing strategy objectives, 3) giving clear indication of targets, 4) establishing necessary actions. Strategic objectives include both qualitative and quantitative factors. Targets are expressed quantitatively. Figure 5 is a summary of the strategic contents shown in chapter 2 of the Strategic Plan, regarding research activities. The Strategic Plan states that the most important improvement required at the moment at the University is an improvement in research performance. It is anticipated that strengthening research activities will also bring about improvements in the level of education.



Edited from strategy documents

Figure 5: Example of strategy establishment (for research activities)

The targets shown in the above figure are represented in quantitative terms in chart 5 below. The chart shows aspects, current performance, targets for 2006/7, required action, and other information. In specific terms, the raising of 87% of staff to RAE scores of 5 or 5*, the sums awarded in terms of research contracts, and the number of research students are represented quantitatively as target values. In the same way as this chapter on research, the chapter dealing with learning and teaching also sets out numerical targets for student numbers (by faculty, or for graduate taught courses and graduate research, as well as breakdown by age), along with QAA review results, new programs, recruitment of graduates, etc. (Some targets are represented not with figures but with the statement 'maintenance of current level').

These targets are mostly directly related to finances. RAE scores and student numbers are factors in the decision regarding HEFCE grants, while research contracts and numbers of students also affect income. In the UK, due to the fact that the system dictates that increasing the quality and quantity of research and education

leads to an expansion in funding in the next fiscal period, the achievement of established targets is a way of

Chart 5: Research targets within the Strategic Plan

Aspect	Current performance								Targets											
Quality	**5***	**5**	**4**	**3a**	**3b**	**2**	**1**	**N/S**	**5***	**5**	**4**	**3a**	**3b**	**2**	**1**	**N/S**				
RAE 2002 review (% of all staff)	12%	23%	34%	9%	0%	0%	0%	22%	47%	40%	5%	0%	0%	0%	0%	8%				
Engineering Faculty	9%	50%	21%	3%	0%	0%	0%	17%	87%	13%	0%	0%	0%	0%	0%	0%				
ScienceFaculty	0%	10%	66%	12%	0%	0%	0%	12%	21%	70%	0%	0%	0%	0%	0%	9%				
Humanities and Social Sciences Faculty	25%	18%	25%	7%	0%	0%	0%	25%	41%	36%	12%	0%	0%	0%	0%	11%				
Research income	2000/1 Fiscal statement								2007 Target								Action	Action by	imesca	Impact
	University		Engineering Faculty		Science Faculty		Humanities and Social Sciences Faculty		University		Engineering Faculty		Science Faculty		Humanities and Social Sciences Faculty		1: Provide targeted support to increase research income in appropriate areas 2: Expand / development portfolio of funding sources where appropriate	Faculties, departments, RO, research financial	1 yr rolling basis	Departments, RO, research financial
Total research income (in thousand GBP, for 2000 / 01)	23,888		10,969		6,708		6,211		42,750		25,000		10,500		7,250					
Average research income per staff member over RAE period	177,105		288,441		162,063		80,810													
National average research income per staff member	144,762		207,566		183,419		43,303													
Research students	December 2001 research activity survey								Annual recruitment targets								Action	Action by	imesca	Impact
	University		Engineering Faculty		Science Faculty		Humanities and Social Sciences Faculty		University		Engineering Faculty		Science Faculty		Humanities and Social Sciences Faculty		Increase annual intake to 328 each year to exceed national average Introduce a new Scholarship Scheme to enhance recruitment	Faculty, departments, RO, RSO	3 yr rolling basis. Yearly evaluation of progress	Departments, RSO, estates, student accommodation, international office, CIS
FT research students	517		221		182		114													
PT research students	233		106		50		77													
FTE research students (target data = yr 1 only)	634		274		207		153		328		117		110		101					
Average FTE research students per staff member	1.72		2.53		1.62		0.93													
National average research income per staff member	1.82		2.33		1.90		1.23													

ensuring the financial wellbeing of an institution. Priorities for the distribution of finances within the university are also defined within the Strategic Plan.

Based on this five-yearly Strategic Plan, the university also has an annual Operational Plan, which is approved each year by the Council in July. Categories contained in the Operational Plan are almost the same as those shown in Chart 4 in regard to the Strategic Plan. Target values are established for the year, based on a target chart (similar to Chart 5) for each category in the Strategic Plan. In Research, for example, the plan contains an analysis of RAE 2001, along with details of income and research student numbers in comparison with other universities, and specifies the establishment of a scholarship system to increase research students, the implementation of an individual research planning system, developments in research groupings in preparation for the next round of RAE and improvements to research management through the Research Performance Monitoring Group as targets for 2002 / 3. In addition to these, quantitative targets include a figure for research income and research student numbers for the current year, displayed as in Chart 5.

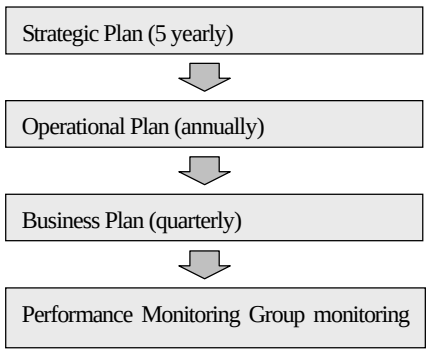


Figure 6: Planning structure

In addition to this, the annual Operational Plan defines the disbursement of funds to each course and service department, and the income / expenditure plans of each department are reflected in a specific business plan. Achievements in regard to targets sent in the business plans are monitored quarterly by the Performance

Monitoring Group, which operates from within the Resources and Planning Committee. These results are delivered to the committee along with updates to the business plans.

The annual Operational Plans are monitored by the same group at the end of each year to test the extent to which targets have been achieved. Results of this monitoring are passed to the Committee and the Council (quarterly monitoring is also done by the same Group). The Strategic Plan is reviewed for the purpose of this monitoring and also for the creation of new Operational Plans, and can be adjusted where it is considered necessary. A full review of the Strategic Plan is carried out every three to four years.

(2) The process of establishing a Strategic Plan

The process of establishing a Strategic Plan starts from the top down, but includes a subsequent bottom-up process. This is as shown in the Figure. Initially, the Council meets to set main objectives. In line with this, departments and faculties hold meetings to discuss details. The results of such discussions are compiled, and at this point the Senate gives its opinion. Based on this, the Executive Management Committee produces a Draft, which is approved by both the Council and the Senate.

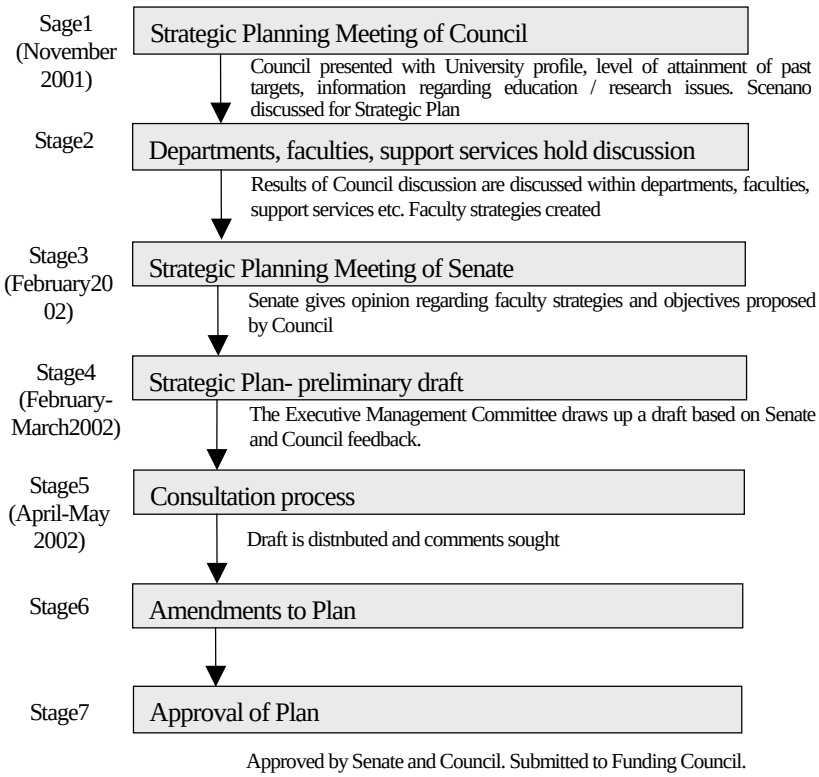


Figure7: The process of creating a strategic plan

3.4 Financial management systems

The University has internal Financial Regulations regarding the management of finances, which direct staff involved in financial administration as well as defining necessary procedures. The Council has the highest authority in regard to finances, but this authority is delegated in certain areas to the Resources and Planning Committee, the Treasurer's Committee and the Audit Committee. Financial audits are performed on behalf of the Audit Committee, and all departments and section heads are visited as part of the audit program. In addition, the HEFCE has produced guidelines for the creation of financial strategies, based on which universities establish their own financial strategies.

Loughborough University has indexes for its financial strategy as follows: that it supports the overall Strategic Plan; that it provides a healthy financial system, that it meets auditing requirements, that it meets current and future needs, and that it provides value for money. In addition to these, the strategy produced in

December 2001 includes the following four specific items:

- Debt Servicing costs to be kept to 4% or below of income
- 3% surplus from budgets
- Liquid assets to be maintained at 5% of income
- Long and short term loans not to exceed 60% of assets

As mentioned above, Business Plans are also created at faculty and department level, including income and expenditure plans. Heads of departments, along with the Performance Monitoring Group, are required to monitor operations on a quarterly basis, enabling a clear understanding of whether a department is operating to plan. Departments with significant deficits are required to produce a three year Business Plan. Since departments across the University that operate in surplus are required to subsidize departments in deficit, the study team heard various complaints and negative comments from departments in surplus in regard to departments in deficit. Not surprisingly, there is a tension between the two.

3.5 Mechanisms for internal disbursement of funds

Loughborough University has its own formulaic mechanisms for the internal disbursement of funding. Funds other than those coming directly into departments are administered under a system known as RASCAL (Resource Allocation System and Cost Apportionment at Loughborough). Central and overhead costs are allocated to departments using a system known as COMA (Central Overhead – Model for Appointment). Loughborough University's overall income is around 113 million GBP annually, of which around 21 million GBP is allocated for central support service costs (heating, lighting, water, library maintenance, computer services, management, etc.)

Funds disbursed to departments include those distributed by RASCAL as shown in the figure, those entering

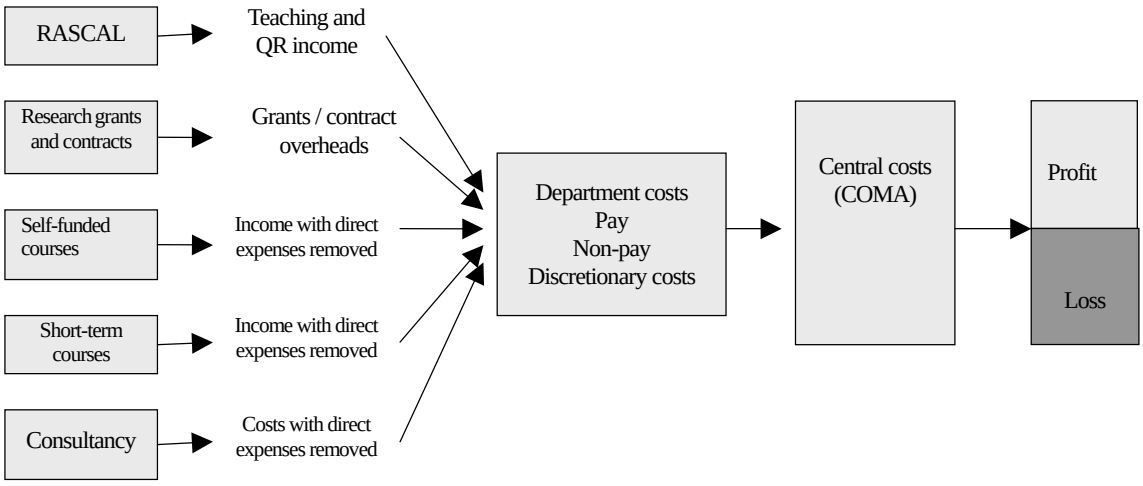


Figure 8: Breakdown of internal distnbution of funds and central costs

departments directly as research grants or contracts, short course fees and fees for educational courses run at the department's expense, and consultancy income. COMA and departmental costs (staff costs and facilities

costs etc.) are taken from this, and the surplus or deficit of a department is shown in this way.

(1) Distribution of funds for education

The total amount of grants made by HEFCE and other educational grant making bodies, along with the income from tuition fees, is distributed within this framework. (Before distribution, a fund of 722,000 GBP (for 2002 / 2003) is withheld for Special and Strategic Factors). Teaching costs are disbursed based on the six categories shown below.

1) Teaching of students from the UK / EU (Home Teaching)

Distributed according to teaching load. Undergraduates from the UK and EU, as well as taught graduate students, full time first year research students, and part time first and second year research students are the focus of this category. Weighting is also done depending on academic subject (band price). HEFCE defines bands from A to D, and at Loughborough University, an independent band price has been defined for the bands in existence (all except band A, which is Medicine). Band B (high cost) is 1.85, C (medium cost) is 1.33, while D (low cost) is 1.0. The HEFCE home teaching fund is distributed to faculties based on a combination of the number of students and the applicable band price.

Funds distributed to faculties are disbursed to departments based on a decision by the faculty directorate. The Engineering and Social studies / Humanities faculties used the band prices indicated above, while the Science faculty applies its own unique weighting. 367,000 GBP are withheld for support services within the Faculty.

2) Further education

The University receives a grant from the Learning and Skills Council for students pursuing further education courses.

3) TTA

Funds received from the Teacher Education Unit (TEU) for teacher training are distributed to the Design & Technology and PE & Sports Science departments.

4) Teaching of students from outside the UK and EU

Tuition fees for full time and part time students from outside the EU

5) Special and Strategic Factors

Funds for Pro-Vice Chancellors and heads of departments, as well as funds for language classes for students from overseas

6) Disability funding and funding intended for use in widening participation

(2) Distribution of funds for research

1) Qualitative Research Allocation (QR)

Distributed according to the formula below:

Research Units x Research Multiplier x Subject unit of Resources

a) Research Units

Research active staff x 1.00

Research students x 0.2625 (for full time 2nd or 3rd year students or 3rd to 6th year part time students, per FTE)

Research assistants x 0.10

Charitable earnings / GBP 25,000 x 0.228 (measured as two year average)

b) Research multiplier

Weighted on RAE 2001 score, with 5* = 2.707, 5 = 1.89, 4 = 1.0, 3a = 0.305

c) Subject Units of Resource

Established by HEFCE

2) Funds for supervision of PGR student

Distributed according to the formula below

No. of research students (FTE) x cost band x GBP 2,480

UoA Research students with an RAE score of 3a or more only

3 cost bands of 1, 1.3 and 1.6

3) Income from research grants and contracts

Research grants and contracts do not have central service costs withheld. The entire amount is counted as department income / overheads.

4) Short term courses / self-financing courses

Similarly, all funds generated go to department income / overheads

(3) COMA (Central Overhead – Model for Apportionment)

Costs applied to various departments for heating, lighting, water, libraries, computer services and various administrative departments, all of which are services used jointly by all departments, are calculated using five elements. The cost is applied regardless of the department's income, based on the extent to which the departments use the support services. This is calculated based on student numbers, staff numbers and the space taken up by the department.

1) Space (Total cost 2.817 million GBP. $1m^2$ calculated at 29 GBP.)
2) Teaching (Total cost 9.15 million GBP. The cost of teaching is calculated as 866 GBP per unit).
3) Research (Total cost 1.95 million GBP. Based on a weighted calculation for academic staff, research assistants and research students, with 1 academic staff member being calculated as 2,249 GBP)
4) Staff (Total cost 2.61 million GBP. Calculated as 3,937 GBP per person).
5) Other (Total 6.7 million GBP. Mainly heat, light, water, libraries, computer services, health and hygiene costs, etc. Calculations are based on actual quantities used, with proportions allocated to faculties as appropriate).

4. Conclusions

As shown above, financial management is implemented at all levels from the overall University level to the departmental level, based on Strategic Plans and implementation plans. In other words, not only the University as a whole but each department within it not only receives the distribution of funds, but is also required to implement a plan to go along with these funds, which clearly states income and expenditure figures. Each department aims not to make a particular surplus or deficit , but to achieve a balanced state of financial management. These methods are similar to those employed by project system management in private companies. Subject to regular monitoring, each department is entrusted with its own finances, and is responsible for maintaining a healthy financial status, against a background in which the departments make their own strategic plans and have a level of freedom in terms of their functions. At the University-wide level, as well as indicating the policies of the University, integrated management is implemented, including central support activities. The Council monitors operations at the University level too, and it is thought that this multi-tiered system allows the finances of the whole University to be maintained with a level of stability.

At Japan's national universities, when there is a disparity between income which comes from tuition fees, and expenditure on running costs, it is extremely difficult to implement management techniques similar to those

of a corporation, mainly because the essential basis of the universities is the training of students in certain disciplines. For this and other reasons, the situation facing British and Japanese universities is rather different, and it is not possible to simply apply the British system to Japan. This sort of financial management system, however, is going to be required in many places when Japan's universities are incorporated, and there is a need for such systems to be considered carefully in the near future. Based on the examples of universities studied in this report, it appears that public funding applied by HEFCE to universities is defined directly according to student numbers and the quality of research being carried out (RAE scores). For this reason, improving the quality of research being done and providing educational courses that students want to attend is the key to financial stability, and so the financial objectives of the universities are coming into line with the essential objectives of a university: that is, teaching and research. It will be necessary to implement such a nationwide financial system in Japan too, rather than just internal systems within universities, in order to achieve this balance here.

HEFCE has also produced guidelines for universities in regard to the production of Strategic Plans, Financial Strategies and audits, and offers management support through these. It is hoped that this type of activity will be developed in Japan in the future (the Japan-UK Higher Education Change Management Project being an example of this).

Hirosaki University

Japan-UK Higher Education Change Management Project

Report of visits to the University of York and the University of Sheffield

May 2003

Hirosaki University

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Introduction

This report is a compilation of information relating to the visit to and study of the Universities of York and Sheffield, carried out by Hirosaki University in December 2002 as part of the Japan-UK Higher Education Change Management Project. Hirosaki University undertook the Human Resource Management part of the project as its main field of study. As explained in this report, Hirosaki University's School of Medicine implemented reforms of its selection of teaching staff as of academic year 1999, based on the results of two external assessments. This has led to the School being closely observed at a nationwide level. As a medium-sized, multi-discipline university, located in north-eastern Japan and currently concerned with establishing a national university corporation, Hirosaki is facing significant challenges as it seeks to further utilize its existing teaching staff and effectively recruit new human resources.

The Universities of Sheffield and York, which the study team visited, are both held as examples of progressive reform within the British tertiary education system. Both have implemented rigorous internal reforms in order to secure excellent human resources and become dynamic seats of learning.

We had expected to see systems such as that in place in York University (the HERA program), whereby teaching staff are subjected to scrupulous assessments, illustrating the strategies being used to revitalize human resources within British universities. The issue that we wish to focus on in this report is the way in which the results of such assessments are used – not to penalize staff with low assessment results, but rather to support them through the implementation of retraining or skills improvement assistance.

In order to firmly establish the concept of evaluating teaching staff in Japan in the future, it is necessary to gain a joint understanding with those involved that the purpose of such assessment is the development of skills, and that this is a positive thing. The use of mock lectures as one technique in the employment process for teaching staff has been reported in some cases in Japan recently, but in many cases, particularly those involving the employment of young teaching staff, the recruitment process involves only an assessment of the candidate's research work as a graduate student. The staff recruited in many cases have no experience whatsoever of teaching. There is a significant need for further consideration and improvements to the training system for newly recruited staff, in order to equip them with the necessary educational skills.

During the meeting with Sheffield University, the relationship between teaching staff and administrative staff came up in discussion. Only when the research staff and administrative staff achieve an equal relationship, with an awareness of partnership in their work, and a sense of trust, can each group begin to really concentrate on the work they are there to do. The administrative staff who helped us in this study had a great sense of responsibility, and took pride in the University as their place of work. Their cheerful confidence in the tasks they were required to carry out made a great impression on our team during the process of collecting resources and data.

It has been pointed out in other circumstances that the Japanese system of making the professors of a university 'all-powerful' means that a wide range of problems and issues arising within a university are discussed only by committees (made up of teaching staff) or the board of professors. Staff in administrative positions are required only to support or assist this process, and have almost no power to make suggestions or decisions. Japan's 'vertical society' is reflected in the management of universities. In order to make improvements to Japanese universities after incorporation, it seems that both teaching staff and administrative staff must gain an awareness of the responsibility to build up their own working environment, and that a system must be put in place that allows all members of the

organization to express their opinions and make suggestions.

Particularly worthy of note is the fact that in the UK, administrative, supervisory and management staff are employed at the discretion of each individual university. Japan's universities feature 'moveable civil servants' in all upper level administrative roles, who are dispatched to a certain post from the 'Department' and usually moved on a few years later. While this is an excellent system for ensuring that universities respond swiftly and appropriately to changes in government policy, it has significant disadvantages in that administrative staff are rarely able to think creatively in terms of the particular locality of the University, or operate according to the knowledge and abilities that are a feature of an employee who has worked for a long time in a particular university environment.

As can be seen from the example of York University, which was able to establish a School of Medicine through partnership with Hull University with only a relatively short period of preparation, the universities in the United Kingdom are engaged in a process of establishing plans based on their own independent objectives, and then creating educational programs, research systems and human resources policies based on achieving these plans. It remains to be seen whether this process of individual universities striving to reach their objectives is able to produce the hoped-for 'health' competition, and whether this competition will subsequently bring forth a synergy that benefits the system, but it is thought that the conditions for success have, to a large extent, been met. The condition that underlies all these reforms is the abolition of the centralization of policies, and a determination to respect the cultural values of regions in which the universities are located.

In the process of carrying out our study, we were greatly assisted by Ms. Rosie Valerio (Director of Human Resource Management), Mr. Nigel Bax (Director of Teaching, School of Medical and Biomedical Sciences), Professor Tony Weetman (Dean of the School of Medicine and Biomedical Sciences) at the University of Sheffield, and by Mr. Ged Murray (Director of Personnel and Staff Development), Professor Bill Gillespie (Dean of the Hull York Medical School (HYMS)), Professor Felicity Riddy (Deputy Vice-Chancellor) and Mr. David Foster (Registrar) at the University of York. We take this opportunity to express our heartfelt thanks. Professor Akiyoshi Yonezawa (Associate Professor, The National Institution for Academic Degrees and University Evaluation) and Mr. Nobuyuki Yamaguchi (Planning Department, National Institution for Academic Degrees and University Evaluation) also accompanied us during this visit. We were significantly helped by Professor Yonezawa in the compilation of this report, and wish to offer our thanks for his assistance.

May 2003

Kensaku Kanda (Vice-President)
Tetsuya Ishido (Special Advisor to the President)
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Hirosaki University

Reforms to teaching staff assessment methods within the School of Medicine, Hirosaki University

Introduction

In order to clarify the problems that are being raised, before discussing our visit to the UK universities, we would first like to give an outline of the reforms being implemented within the School of Medicine at Hirosaki University, in regard to the evaluation process for faculty staff[1] .

Japan's national universities are to become National University Corporations as of April 2004. Once incorporation is complete, National University Corporations are to be assessed periodically, and the results of these assessments are to be reflected in the amount of public subsidy made available to each establishment. Specific details regarding the assessment methods and criteria to be used, as well as the method by which these assessment results are to be reflected on subsidy levels, have not yet been made clear. For regional national universities with weak financial bases, however, the assessment process itself is a source of significant concern, representing a potential difference between survival and closure.

For this reason, the School of Medicine at Hirosaki University has introduced a specific example of assessment, which is an important element within the effective implementation of human resources management. This example has been tried out as part of the reforms currently happening within the department, and we believe it is valuable in the consideration of assessment overall. Firstly, we will present an example of the three-stage external evaluation of the School of Medicine, and of the interview-based assessment used in the entrance examination of students. We will touch on the objectivity, fairness and credibility of such assessment, in addition to certain other problem issues. Secondly, we will introduce an example of the assessment of the teaching abilities, research and personality of candidates for faculty posts, along with the sliding distribution of research funds based on assessed results of teaching and research. We will touch on the scoring of assessments. Thirdly, we will introduce the example of the "fixed-term" employment system of Hirosaki University's School of Medicine, and the issues surrounding self-evaluation of past performance and self-judgement of eligibility for reappointment.

Hirosaki University is located in the north of Tohoku (north-east) region of Japan, and has a history of 53 years. At present, it comprises five faculties - Humanities, Education, Science and Technology, Agriculture and Life Science and the School of Medicine wich includes a Health Science Department – making it a medium-sized university. Its current President, Professor Endo, took over the leadership of Hirosaki University in February 2002, having served six years as Dean of the School of Medicine. The School of Medicine is the second oldest School in the Tohoku region, after Tohoku University's School of Medicine. At the time Professor Endo became Dean, the School was training doctors who later go on to work across a significant area within Japan, ranging from Aomori Prefecture to Southern Hokkaido, as well as Iwate Prefecture, Akita Prefecture and Yamagata Prefecture in the Tohoku region. The University's ranking, however, when compared to other universities in various categories, for example the number of publication in English, the number of scientific research grants approved by the Ministry of Education, Culture, Sports, Science and Technology (henceforth referred to as MEXT), and the selectivity of admission to the University. In these and other categories, Hirosaki University had tended to rank towards – if not at - the bottom of the table

[1] Based on the lecture given by the President of Hirosaki University, Professor Masahiko Endo, at the Japan-UK Higher Education Change Management Project Workshop in July 2002

comprising 42 medical schools of National Universities in Japan. When Professor Endo took the post of Dean of the School of Medicine, various reforms in medical education were beginning to gather speed at a nationwide level. Although the University lay at the bottom of the league tables, it was decided to work towards reform, implement self-evaluation, and undergo external evaluation based on the results of these activities. Firstly, this report will deal with the external evaluation.

Hirosaki University - Location and Current Facilities

Issues related to Objectivity, Fairness and Credibility of External Evaluation

External evaluation

Obviously, the purpose of the external evaluation is to evaluate the target objectively and fairly from a third-party standpoint. There are still, however, various problems with the concept of external evaluation. The first issue is how to select external evaluators. Secondly, there is the issue of whether an external evaluator is capable of evaluating specialized fields outside their own. Thirdly, there is always the issue of whether objectivity and fairness is genuinely being maintained.

First external evaluation

Hirosaki University has undergone external evaluations three times in the past six years.

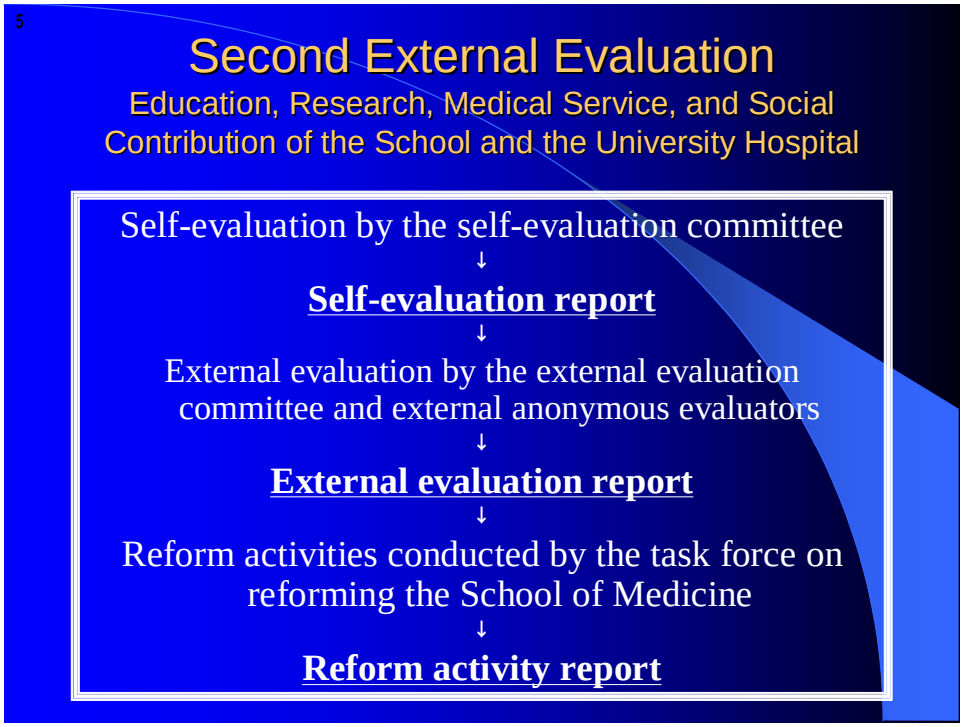
The first external evaluaton was undertaken as part of the reorganization of the Institute of Neurological Diseases of the university hospital. The staff of the institute produced a self-evaluation report, which was further assessed and reported on by an internal evaluation committee, organized within the School of Medicine. Based on both these reports, an external assessment committee was formed of 10 neurologists from outside the University, who assessed the Institute and presented a report. A budget application was made to the MEXT based on this, and the reorganization was approved.

An important point raised in this external evaluation was that both the internal and external evaluation

committees were known to the members of the Institute, as a result of the fact that members of both were selected from the area of specialisation related to the research institute. As a result, the assessment was not as critical as it could have been. For this reason, both the internal and external assessments were criticized from outside the University for lacking credibility.

Second external evaluation (Anonymous external evaluators: an external evaluation committee was formed without members' names being published)

The second external evaluation covered the quality of education, research, medical care, community service, and administrative operation of the school. After the completion of a report based on self-evaluation, a Chairperson was selected by the School of Medicine from outside the University, to head up the external evaluation committee. The other four members of the external evaluation committee were selected based on the discretion of the Chairperson. These committee members were then allowed to select two specialists each, whose names were not revealed. The purpose of not publishing the names of the people carrying out the evaluation was to allow the specialists to implement a fair and critical assessment of the School without their names being known to the faculty staff. The result of this external assessment was a report which was harshly critical in places. Based on this, the School of Medicine accepted the fairness and objectivity of the external evaluation committee, and accepted the severity of the report. A committee was formed to activate the recommendations of the external evaluation. A year was spent in ironing out problems, before a report was produced on the activation of the recommendations of external evaluation.



Third external evaluation (direct hearing by mail)

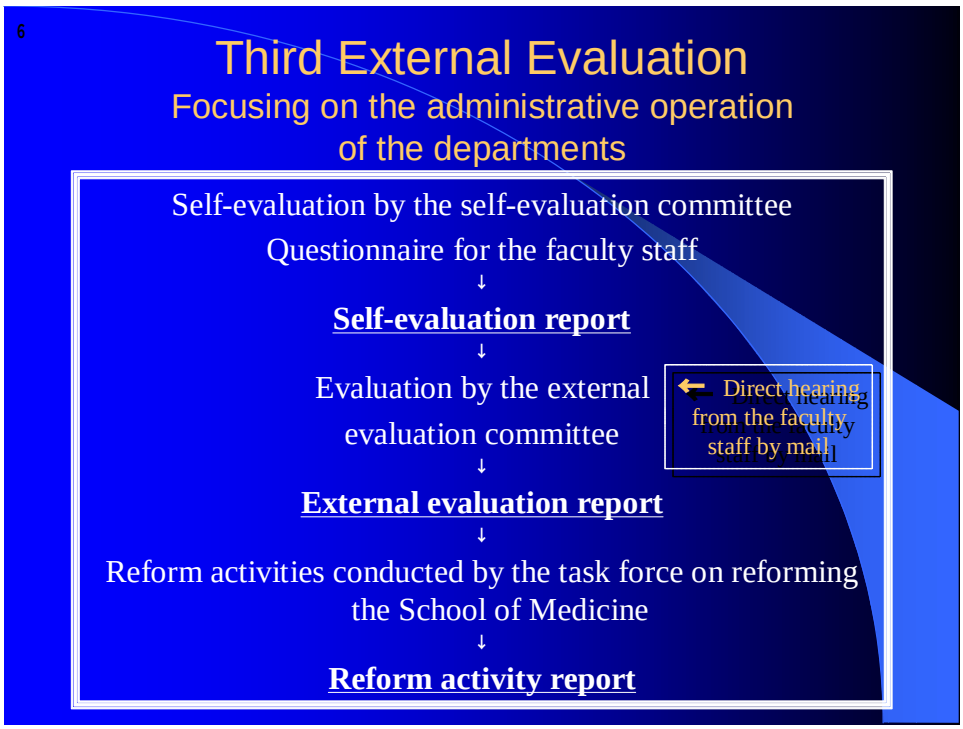
Subsequent to the completion of the second external evaluation, differences of opinion between professors and other teaching staff of the clinical departments came to light alongside a series of medical malpractice incidents. This was taken as an indication that there was an awareness of the need for reform, and that staff were beginning to understand their responsibilities in regard to implementing reforms in their own departments by themselves. At this point it was decided to undertake a third external evaluation, in order to determine the real situation within the departments.

Initially, the self-evaluation committee of the school implemented a questionnaire survey regarding present situation and human relations within the departments, before moving on to external evaluation. A member of the second external evaluation committee, who already knew the situation within the school, was appointed as Chair of the external evaluation committee, and handed the responsibility of recruiting the other members of the committee. It was anticipated, however, that it would be difficult to get people to talk frankly and directly about the problems with the departments, since many of the problems concerned relationships between senior staff and junior staff, as well as other relationships, within departments.

For this reason, it was decided that the teaching staff of the School of Medicine and its associated hospital should write letters directly to the Chair of the external evaluation committee concerning problems they felt existed regarding relationships within their departments. The contents of these letters were to be shared only with the members of the external evaluation committee. This led to around 40% of the teaching staff writing letters directly to the Chair. The contents of these letters were of course not made public, but it was stated during the later hearing involving the external evaluation committee that clear opinions were expressed regarding the hierarchy that existed within departments of the School of Medicine, in which the professors were at the pinnacle. Many people agreed sincerely with the opinions stated within the report of the external evaluation committee, and the committee for activation of the recommendations of the external

evaluation was reactivated. This led to the first steps in reforming the 'medical office' system, a system unique to medical schools in Japan, and in time to a decision to abolish this system altogether. Further discussions were pursued, and the School became the first in Japan to abolish this system.

The results of the second and third external evaluation were shown in this way to have preserved objectivity and fairness, and as a result were trusted by those being assessed, with the result that they gave a dynamism to the positive reforms implemented within the School of Medicine.



Interview-based evaluation as part of the entrance examination of students

The entrance examination process can be used as a further opportunity to consider the fairness and objectivity of those involved in evaluation. Misconduct in medical practice and the personality of doctors being called into doubt have caused most medical schools to use interviews as part of their entrance examination procedures. It is not possible, however, to assess a person adequately in a single interview.

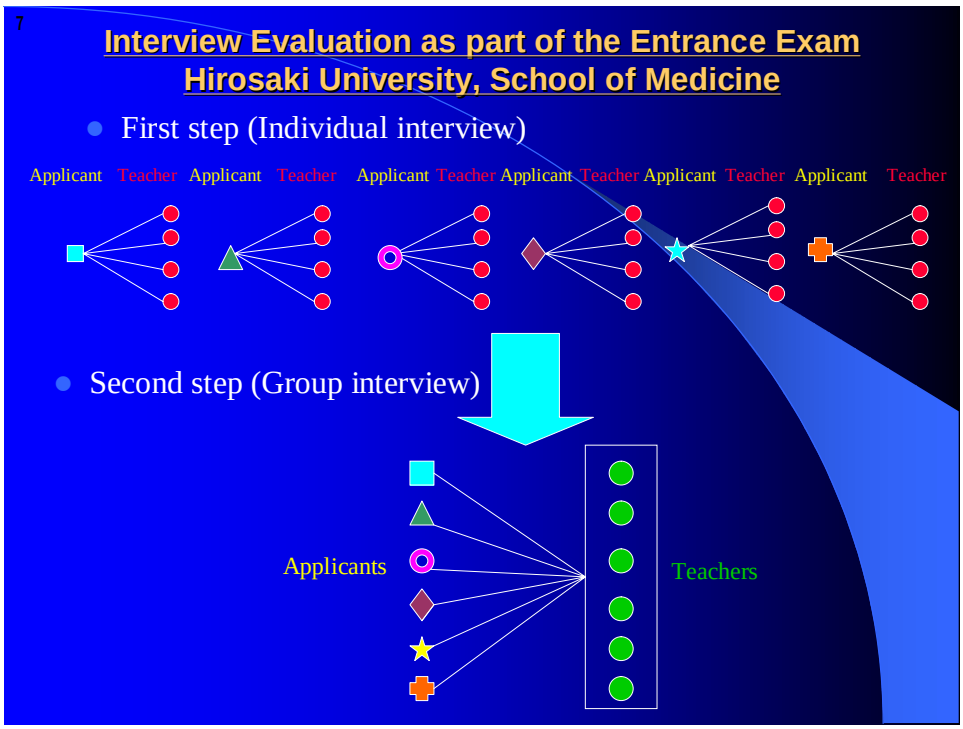
At Hirosaki University's School of Medicine, this issue has been widely discussed, and as a result of these discussions, it was decided that interviews should be used mainly as a tool for identifying candidates with personality disorders. The method used is still rare within Japan, and involves a two stage process where candidates are asked to take part in individual and then group interviews. This system is implemented for candidates seeking admission on the basis of recommendation and also for candidates applying to join in the second semester. The initial individual interview involves a single candidate being interviewed by four members of the teaching staff. Six candidates who have completed their individual interviews are then placed together for the secondary group interview, taken by six teaching staff members who were not part of the first interview.

Since, however, it is inevitable that the subjective judgement by individual teaching staff will affect the outcome of evaluation.

For this reason, the School has implemented training sessions on a yearly basis, as part of its Faculty Development process, involving lectures given by people in positions responsible for situations such as the employment of pilot trainees for an airline, or managers of human resources for banks or corporations, in order to teach staff about recruitment and personnel assessment. A checklist has been created to assist the interview assessment process, and directly before the start of each set of interviews, staff take a lecture by a psychologist.

The fairness and objectivity of the interviews is by no means guaranteed through implementing these measures, but according to teaching staff in the School of Medicine, the number of 'problematic' students entering the department has been significantly reduced. There are still, however, some cases of students who develop problems after being accepted at interview. This is, of course, the difficulty with human beings evaluating other human beings.

Next session is the description of the evaluation scoring process, which was developed at the School of Medicine in order to better evaluate 'personality'.

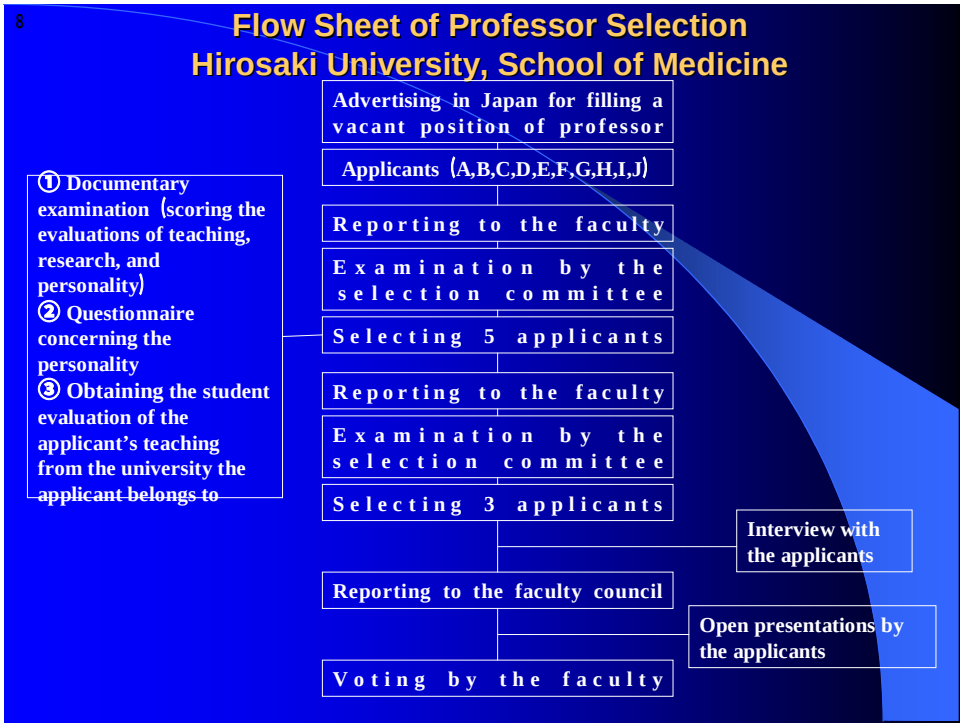


Professor selection process (Personality evaluation)

Professors in the School of Medicine play a central role not only in teaching, research and management, but also in medical care. As such, the reliability of a professor affects the practice of the School, and for this reason a professor's abilities, insights and personality are extremely important. When selecting a new professor, a committee of professors from different disciplines is appointed to make the selection, in order to ensure objective assessment, and this committee bears the significant responsibility for accurately and fairly communicating the assessment results to the board of professors. To facilitate this process, we broke down the assessment criteria to the maximum possible level of detail, and have tried to assess these categories in numerical terms wherever possible.

In the professorial selection process, candidates are invited to apply from across Japan. Applicants submit their resume, along with details of their research or teaching results, their situation in regard to the award of

scientific and other research grants, their clinical experience (in the case of clinical medicine position), and their personal views on teaching and research, compiled in their own words into a report of 700 words or less (if estimated as English words). The selection committee then translates these documents into numerical scores for research, teaching, personality and clinical experience.



With regard to teaching evaluation, we score the applicants in seven categories based on their application materials. In addition, we make an inquiry about 'student evaluations of the applicant's teaching' from the universities he/she is currently teaching at. Say, for example, that there are five candidates for a post, named, respectively, A, B, C, D and E. The selection committee will compile the results for each of these into an assessment score, with a maximum possible score of 100.

In a similar way, the committee will create a chart showing each candidate's Impact Factor (IF) papers in English, their IF general score, and the ratio to which they have been listed as the author or main contributor to theses, in order to compare research results. This chart gives a good idea of how much progress each candidate is making with their research, and to what extent their research is contributing at an international level.

We make a graph of the cumlative IF points of the articles first-authored by each applicant. Doing this displays whether or not a candidate is progressing with research on a continuous and active basis, and gives an indication of their recent activity. The selection committee then fills in the research evaluation table using those tables, graphs, and the applicants' success in securing reseach grants.

The candidate's personality is assessed next. This is done by sending confidential questionnaires to people working close to the candidate, and asking for their answers. The people asked to answer questionnaires include same-year graduates of the candidate's university, superiors, contemporaries, juniors working on the same course within his or her current institution, and co-medical staff, for example outpatient nurses and

operating-room nursing managers, in the candidate's workplace, and medical students the applicants taught. The respondents are offered a guarantee that their names will not be made known, and confidentiality is preserved. The questionnaires contain around 50 questions, and have been developed in collaboration with specialist staff at a large Tokyo-based human resources supply company. The questions deal with the candidate's attitude to teaching and medical care, their human relationships in the workplace, their attitude to money, and the existence or otherwise of any problems such as sexual harassment. We create a spreadsheet based on the questionnaire. Sometimes a personal profile that one would not expect from the application materials emerges.

In addition to the questionnaire, the committee members interview the applicants in order to know them better. Based on the results of the questionnaire and the interview, we make a table for judging the personal characteristics the applicants. As for clinical performance, the committee members visit the medical care facility the applicants currently work at in order to observe the quality of the medical services he/she provides, including operations and patient examinations and consultations. The committee then scores the applicants based on their application materials and the observations. Based on the four evaluation tables (teaching, research, personality, clinical performance) described above, the committee makes a total evaluation table, announces the results to the faculty of the College of Medicine, and retains the top three candidates for final consideration.

These three top candidates are invited to visit the University, and are requested to present a mock lecture to a group of medical school students, all on the same subject. These lectures are open to any member of the teaching staff of any course within the School of Medicine and its associated hospital. After this, the board of professors hold a vote in order to select the candidate they feel most appropriate for appointment to the professorial post.

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Teaching Evaluation

Selection committee member name

Evaluation Items	Description	Points (Importance)	Applicant's name				
			A	B	C	D	E
1. Teaching career	Overall evaluation of resume	10					
2. Teaching expertise	Expertise in education	20					
3. Teaching experience	Term of working as a teacher	10					
4. Attitude toward education	Educational philosophy, creativity of teaching methods (mock lecture)	20					
5. Student evaluation of teaching	(Materials from current university)	20					
6. Relation with students	Supervising or advising extracurricular activity	10					
7. Participation in FD	Participation in educational training programs at home and abroad	10					
Total points		100					

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Research Evaluation Table

	Applicant A	Applicant B	Applicant C	Applicant D	Applicant E
A Article in English	64	60	22	20	14
B Article with IF points in English	58	56	20	18	14
C Total IF points	178.5	212.4	98.6	180.4	115.7
D Adjusted total IF points	102.8	80.4	58.1	92.5	70.9
First-authored articles					
E Number of first-authored articles	20	10	8	6	6
F Percentage of first-authored articles (E／A)	0.31	0.18	0.36	0.3	0.42
G Number of first-authored articles with IF points	18	8	6	6	6
H Total IF points of first-authored articles	65.4	40.3	41.2	71.5	60.6
Publication abroad					
I Number of articles published abroad	3	0	3	9	5
J Percentage of articles published abroad (I/A)	0.05	0	0.14	0.45	0.36

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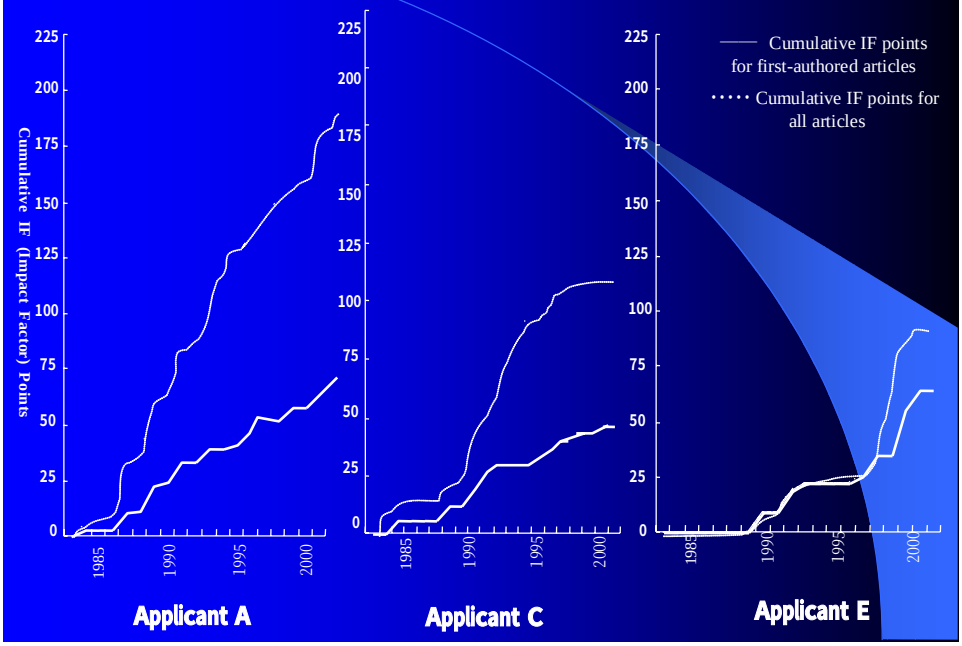
Research Progress of Each Applicant



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Research Evaluation

Selection committee member name

Evaluation Items	Description	Points (Importance)	Applicant's name				
			A	B	C	D	E
1. Quantity of research	Number of articles with IF points	10					
2. Quality of research	Number of first-authored articles with IF points	10					
3. Domestic evaluation	Presenter for domestic academic conferences, journal editor	10					
4. International evaluation	Presenter, chair for international academic conference, journal editor	10					
5. Activities in last 5 years	Judge from the graph of IF points	10					
6. Acquisition of scientific research grant from MEXT	As a representative researcher	10					
7. Acquisition of research grants from bodies other than MEXT	As a representative researcher	10					
8. Aptitude as a research leader	Second-authoring or correspondence for journals with IF points	10					
9. Consistency and logicality	Logicality of articles, regardless of the number of articles	10					
10. Uniqueness and originality	Scale, background, and foreign effects of research	10					
Total points		100					

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Questionnaire for Personality Evaluation

Confidential

Questionnaire about personality of applicant for
Hirosaki University School of Medicine

Please answer following questions about Professor _____, _____ University.

Note:

1. Please answer following questions based on the relationship of you and him/her. Please check an answer for each iten.

2. If you think it is not appropriate to answer this questionnaire, please return this form unanswered.

3. Your name will remain confidential.

? Education

1. Is he/she enthusiastic about education?
1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

2. Is he/she well organized for class sessions?
1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

3. Is he/she punctual to classes?
1) Always 2) Almost always 3) Usually 4) Rarely 5) No idea

4. Does he/she cancel his/her classes?
1) Never 2) Rarely 3) Occasionally 4) Frequently 5) No idea

5. Does he/she speak clearly and loudly enough in his/her classes?
1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

6. How does he/she mark exams?
1) Very severely 2) Severely 3) Moderately 4) Too generously 5) No idea

7. Does he/she enthusiastically instruct students in (clinical) training classes?
1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

8. Does he/she communicate with students after school hours?
1) Students visit his/her office quite often. 2) Students often visit his/her office.
3) Students sometines visit his/her office. 4) Students never visit his/her office. 5) No idea

9. Is he/she popular anong students?
1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

10. Is he/she respected by students?
1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

11. Is he/she responsible for supervising after-school activities?
1) More than two activities 2) One activity 3) No activity 4) Refuses the duty
5) No idea

(Sector display)

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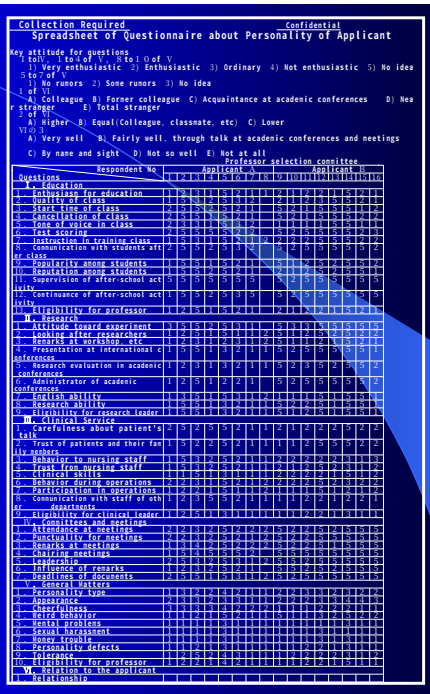
Spreadsheet of Questionnaire for Personality Evaluation



Collection Required — Confidential

Spreadsheet of Questionnaire about Personality of Applicant

Key attitude for questions
1 to V 1 to 4 of V 1 to 10 of V
1) Very enthusiastic 2) Enthusiastic 3) Ordinary 4) Not enthusiastic 5) No idea
5 to 7 of V
1) No rumors 2) Some rumors 3) No idea
1 of VI
A) Colleague B) Forner colleague C) Acquaintance at academic conferences D) Near stranger E) Total stranger
2 of VI
A) Higher B) Equal(Colleague, classnate, etc) C) Lower
VI@3
A) Very well B) Fairly well, through talk at academic conferences and meetings
C) By name and sight D) Not so well E) Not at all

Professor selection committee

Respondent No.	Applicant A					Applicant B				
Questions	1	2	3	4	5	6	7	8	9	10
I. Education										
1. Enthusiasm for education	2	5	1	1	5	2	1	1	2	1
2. Quality of class	1	5	5	2	5	3	1	2	1	2
3. Start time of class	2	5	5	5	5	3	2	1	5	5
4. Cancellation of class	2	5	5	5	5	3	2	1	5	5
5. Tone of voice in class	2	5	5	5	5	3	2	1	5	5
6. Test scoring	2	5	5	5	5	3	2	1	5	5
7. Instruction in training clinic	2	5	5	5	5	3	2	1	5	5
8. Communication with students after class	2	5	5	2	5	3	1	1	5	5
9. Popularity among students	1	5	5	1	5	2	1	1	5	5
10. Reputation among students	1	5	5	2	5	2	1	1	5	5
11. Supervision of after-school activity	5	5	5	5	5	5	1	1	5	5
12. Continuance of after-school activity	1	5	5	2	5	3	1	5	5	5
13. Eligibility for professor	1	2	5	1	5	2	1	2	1	5
II. Research										
1. Attitude toward experiment	1	5	5	2	5	1	1	5	1	1
2. Looking after researchers	1	2	5	1	5	1	1	2	1	1
3. Remarks at workshop, etc	1	2	5	1	2	3	1	2	5	1
4. Presentation at international conferences	1	5	5	1	5	2	1	5	2	5
5. Research evaluation in academic conferences	1	2	1	1	5	2	1	5	2	5
6. Administrator of academic conferences	1	2	5	1	2	2	1	5	2	5
7. English ability	1	5	5	1	5	3	1	2	1	5
8. Research ability	1	5	5	1	5	2	1	5	2	5
9. Eligibility for research leader	1	5	5	1	5	2	1	5	2	5
III. Clinical Service										
1. Carefulness about patient's talk	2	5	5	5	5	2	1	1	2	1
2. Trust of patients and their family members	1	5	5	2	5	2	1	1	1	2
3. Behavior to nursing staff	1	5	5	1	5	2	1	2	2	1
4. Treat from nursing staff	1	5	5	1	5	2	1	2	2	1
5. Clinical skills	1	5	5	1	5	2	1	2	2	1
6. Behavior during operations	2	5	5	1	5	2	1	2	2	1
7. Participation in operations	1	5	5	1	5	2	1	2	2	1
8. Communication with staff of other departments	1	2	5	5	5	2	1	1	2	1
9. Eligibility for clinical leader	1	2	5	1	5	2	1	1	2	1
IV. Committees and meetings										
1. Attendance at meetings	2	5	5	1	5	2	2	5	5	5
2. Punctuality for meetings	2	5	5	1	5	2	2	5	5	5
3. Remarks at meetings	2	5	5	1	5	2	2	5	5	5
4. Chairing meetings	1	5	5	1	5	2	2	5	5	5
5. Leadership	2	5	5	2	5	2	2	5	5	5
6. Influence of remarks	1	2	5	1	5	2	1	5	5	5
7. Deadlines of documents	2	5	5	1	5	2	2	5	5	5
V. General Matters										
1. Personality type	1	1	5	2	5	2	1	2	2	1
2. Appearance	2	5	5	1	5	3	1	2	2	1
3. Cheerfulness	1	5	5	1	5	2	1	2	2	1
4. Weird behavior	1	1	1	1	1	2	1	1	1	1
5. Mental problems	1	1	1	1	1	2	1	1	1	1
6. Sexual harassment	1	1	1	1	1	2	1	1	1	1
7. Money trouble	1	1	1	1	1	2	1	1	1	1
8. Personality defects	1	1	5	1	1	2	1	1	1	1
9. Tolerance	1	5	5	1	5	2	1	2	2	1
10. Eligibility for professor	2	2	1	1	2	2	1	2	1	5
VI. Relation to the applicant										
1. Relationship										

(Sector display)

15

Personality Evaluation

Selection committee member name

Evaluation Items	Description	Points (Importance)	Applicant's name				
			A	B	C	D	E
1. Personality	Comprehensive evaluation of each aspect of character, such as well-integrated, strong-willed, etc	20					
2. Popularity, reliability	Information from acquaintances	30					
3. Age	Young enough for serving out the term	10					
4. Career	Experience and research environment	10					
5. Accuracy and preciseness of application materials	Preparing accurate and precise materials	10					
6. Ambition	Ambition expressed in application materials	10					
7. Application record for professor position	Number of past application for the position , etc	10					
Total points		100					

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Clinical Performance Evaluation

Selection committee member name

Evaluation Items	Description	Points (Importance)	Applicant's name				
			A	B	C	D	E
1. Clinical career	Substantial clinical service career	10					
2. Expertise	Level of professional knowledge	10					
3. Specialized technique	Specialized medical service technique	10					
4. Clinical teaching	Term of teaching experience with students concerning clinical education and training as a position above assistant professor	10					
5. Attitude toward clinical medicine	Recognition of clinical medicine (application materials)	10					
6. Attitude toward the relation of clinical service and clinical study	Recognition of the importance between clinical service and clinical study	10					
7. Clinical service evaluation by doctors	Clinical service technique	10					
8. Evaluation by co-medicals and patients	Evaluation of clinical service and personality by co-medicals	10					
9. Academic evaluation	Evaluation by academic conference members	10					
10. Medical accident	Medical accidents and handling of problems	10					
Total points		100					

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Total Evaluation Table

(Applicants for Basic medicine professor)

Evaluation	Applicant				
	A	B	C	D	E
Teaching Evaluation	580	516	488	380	426
Research Evaluation	620	558	401	440	501
Clinical performance Evaluation	—	—	—	—	—
Personality Evaluation	659	579	492	432	596
Total Point	1859	1653	1381	1252	1523
Average Point	620.0	551.0	460.3	417.3	507.7
	(Non-doctor)	(Doctor)	(Doctor)	(Doctor)	(Doctor)

In the past, when selecting a professor of rudimentary medicine, one of the many candidates was not a medical doctor, and a graduate of a non-medical school. This non-medical doctor candidate was the highest scoring of all the candidates, and was reported as such to the board of professors. Within the medical world in Japan, the idea that a professor of rudimentary medicine must be a medical doctor still holds very strong weight. This selection process, however, resulted in the unexpected but unanimous vote to recruit a non-medical doctor to the post of professor, due to the candidate's high assessment scores.

It is in fact extremely difficult for people to assess other people and turn the results of this into a score. It is thought, however, that the results of this selection process have convinced the board of professors of the reliability of the scoring system. At present, various improvements are being implemented to the scoring process.

Allocation of research funds based on evaluation

Hirosaki University's School of Medicine also scores the research and educational results of its teaching staff, and uses these scores in deciding the level of research funds to be awarded.

The School of Medicine receives basic education and research subsidies from the Ministry of Education, and after subtracting the costs required for central management from the sum received, appropriates the rest to teaching and research. Of this, 70% is allocated equally between departments, and the other 30% is distributed on a sliding scale, based on an evaluation system of education, research and management among the various departments. With regard to teaching evaluation, we divide the departments into A, B, and C categories based on teaching loads and student evaluations of teaching performance, and then calculate a raw score for each department.

As for scoring research performance, we calculate a raw score for each department based on the number of articles, IF points, and the securing of the scientific research grants as reported in the annual self-evaluation reports.

Concerning administrative operations, we first count the number of department members in positions of administrative responsibility for the university as a whole or within the School of Medicine. To this we add the number of teachers, graduate students, and the research students of each department. Then, we calculate a raw score by multiplying these numbers by each factor.

Allocation is determined according to the total score of each department contributions calculated by summing up the scores of teaching, research, and administrative contributions described above. For example, the department with the highest score receives the maximum allocation. This is our graded allocation system for research funds.

There was a significant amount of internal resistance to the introduction of this system from within the board of professors, but once the system based on the self-monitoring and self-evaluation, which are published each year, was instigated, much of the opposition disappeared. During academic year 2002, the difference between the financial allocation of those departments assessed highly and those assessed less well was 1.4 million yen. At present, the proportion of research and educational funds allocated on a sliding scale is rising in relation to the fixed proportion.

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Score Table for Lecture and Exercise

	Score point of lecture				Score point of exercise				Total	Grade
	Medical education	Basic education	Student evaluation	Subtotal	Medical exercise	Research exercise	Student evaluation	Subtotal		
_____ Department	45.00	0.00	35.00	80.00	20.00	5.00	52.50	77.50	157.50	A
_____ Department	25.00	5.00	39.00	69.00	20.00	10.00	54.60	84.60	153.60	A
_____ Department	25.00	5.00	34.24	64.24	5.00	5.00	56.00	66.00	130.24	B
_____ Department	35.00	5.00	39.65	79.65	5.00	5.00	58.80	68.80	148.45	A
_____ Department	25.00	0.00	34.30	59.30	5.00	10.00	58.80	73.80	133.10	B

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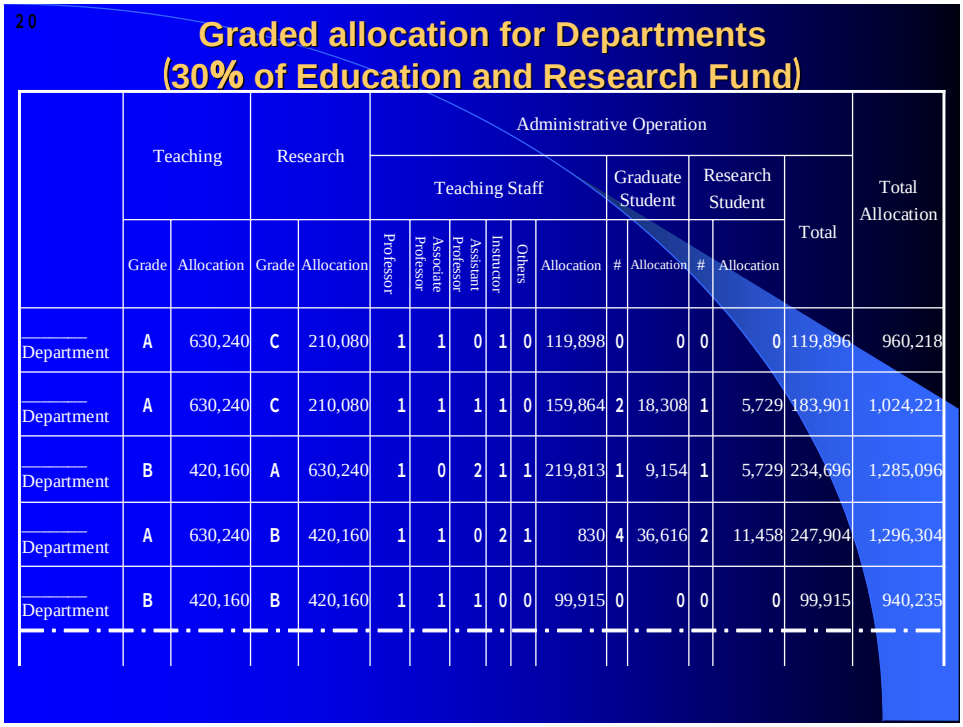
Score Table for Article and Scientific Research grant

	Number of teachers	IF (A＋1/2B)	English Article	Japanese Article	SR grant	Academic Award	Academic Conference	Total	Evaluation Points	Grade
_____ Department	3	0.000	1	0	0	0	0	0.200	6.667	C
_____ Department	4	3.405	2	0	1	0	0	3.865	96.625	C
_____ Department	4	14.859	5	1	5	2	0	16.939	423.475	A
_____ Department	4	6.052	7	1	4	0	3	9.252	231.300	B
_____ Department	3	3.855	1	1	4	0	2	5.655	188.500	B



	Teaching		Research		Administrative Operation											Total Allocation
					Teaching Staff							Graduate Student		Research Student		Total	
	Grade	Allocation	Grade	Allocation	Professor	Associate Professor	Assistant Professor	Instructor	Others	Allocation	#	Allocation	#	Allocation		
_____ Department	A	630,240	C	210,080	1	1	0	1	0	119,898	0	0	0	0	119,896	960,218
_____ Department	A	630,240	C	210,080	1	1	1	1	0	159,864	2	18,308	1	5,729	183,901	1,024,221
_____ Department	B	420,160	A	630,240	1	0	2	1	1	219,813	1	9,154	1	5,729	234,696	1,285,096
_____ Department	A	630,240	B	420,160	1	1	0	2	1	830	4	36,616	2	11,458	247,904	1,296,304
_____ Department	B	420,160	B	420,160	1	1	1	0	0	99,915	0	0	0	0	99,915	940,235

Fixed-Term Employment System for Teaching Staff: Self-Evaluation Based on Self-Responsibility

Finally, the self-assessment and self-reporting process that has been implemented at School of Medicine of Hirosaki University in the process of re-appointing teaching staff for extended periods will be explained. The Hirosaki University School of Medicine now employs the fixed-term employment system for its teaching staff. In this system, each teaching staff member is required to judge his/her own eligibility for reappointment. We have introduced this system because we think that the evaluation should originate from the person involved and that each person should take responsibility for this process.

The fixed-term system for teaching staff in the School of Medicine has been in place since 2000. This is a unique employment system which places great importance on personal-responsibility, meaning that teaching members are required to judge their eligibility for reappointment at the end of the term limit based on the relative evaluation.

The system is applied to all teaching members of the School of Medicine, including full professors. The term limit for professor, associate professor, assistant professor, and instructor is 10 years, 7 years, 7 years, and 5 years respectively. The percentage of those who have agreed to this system and have converted their employment status to one with term limits has reached 96 %.

This fixed-term employment system based on self-declaration involves self-declaration in the following way. First, a teacher declares his/her teaching, research, medical care, community service, and administrative goals for his/her term of employment, as well as the projected time allocation for each activity. At the end of the term, he/she evaluates his/her performance. He/She judges his/her eligibility for reappointment based on a self-assessment and asks the faculty of the School of Medicine for its judgment.

21

Setting Goals

Term: FY2001 – FY2010 (10 years)

Ⅰ. Point allocation for each goal for self-evaluation (%)

	Teaching	Research	Medical Service	Social Activity	Administrative Operation	Total
Basic Medicine				5～20	5～20	
Professor	10～30	50～70	—	5	5	100
Associate Professor	10～30	60～80	—	0～5	0～5	100
Assistant Professor	10～30	60～80	—	0～5	0～5	100
Instructor	0～20	70～90	—			100
Clinical Medicine						
Professor	10～20	30～50	20～30	5～20	5～20	100
Associate Professor	10～20	40～50	30	5	5	100
Assistant Professor	10～20	40～50	30	0～5	0～5	100
Instructor	10～20	40～50	30	0～5	0～5	100

(Reason)

・According to the table above, allocate points to each category on percentage. Each point expresses your goal in the category. As the end of your term approaches, evaluate your performances in each category and score them. You are required to submit the self-evaluation report which includes the evaluation score and the specific description of the evaluation. Give special attention to the point allocation for each category, since you are required to evaluate each achievement level in the range of 0 to 100%.

・If you think these criteria are not appropriate for your duty, you can change them by describing the reason in the (Reason) field.

22

Self-Evaluation Report

Department :

Title : Professor

Name : A

Term for self-evaluation：2001 April – 2010 March (10 years)

Self-evaluation Score

		Teaching	Research	Medical Service	Social Activity	Administrative Operation	Total
Goal	Note (1)	10	40	30	5	15	100
Achievement Level (%)	Note (2)	80	35	70	0	100	—
Evaluation Score	Note (3)	8	14	21	0	15	58

Note (1)：Fill in the points you allocated to each category before your term began

Note (2)：Fill in the achievement level of each goal on percentage (0 – 100 %)

Note (3)：(1) × (2) ÷ 100

(Comprehensive self-evaluation)

As for Medical Service, the service load decreased due to the reform of medical service system of the department of Internal Medicine 4. With regard to Social Activity, since the duties related to academic conference and municipal committee were finished due to the completion of my term, the achievement level resulted in 0%. The achievement level of research was 35%, because I could not go ahead with it as I had expected. The IF points of my articles, however, was extremely high.

Major reason for the delay of research was that I could not have enough time to write articles, since I have a father requiring nursing care. My wife also has a job, so we had to take turns looking after him. However, I believe I have enough ability and intention to continue the research, I hope to be reappointed, and make further efforts to promote research.

Using a fictitious Professor A in clinical medicine as an example, how the system works could be explained as follows;

Professor A agreed to convert his employment status to one with a term limit, and signed the contract. Professor A declared the teaching, research, medical care, community service, and administrative goals, which he would meet in 10 years, such as getting publications to the New England Journal of Medicine each year. He also declared the working time allocation for each category of activity: 10%, 40%, 30%, 5%, and 15% respectively.

The content of his declaration was examined by other departments, submitted to the faculty of the School of Medicine, and then make public to the entire university community. The point is that the disclosure to all departments and to the faculty plays an important role in setting appropriate goals. When we set goals by ourselves, we tend to choose the easiest course. We can avoid such problems by disclosing the content to one's peers.

One year before his term was to end, Professor A evaluated his achievement level based on his self-assessment reports over the past 9 years, and submitted a report on his achievements. Professor A concluded that he did not meet the research and administrative goals he had set 9 years before. He concluded that he was not eligible for reappointment, since he only received 58 out of 100 points. On the other hand, he had a legitimate reason for the low self-evaluation. He could not take enough time to write the necessary articles because of his father who needed nursing care. Since Professor A strongly hoped to continue teaching and doing research as a professor, he decided to explain his reasons in the report, and asked for a judgment from the review committee.

After discussion, the committee accepted his explanation, and decided that he should be reappointed on the condition that he would make as much effort as possible to publish research articles. The faculty agreed, and he was reappointed as professor.

The fundamental framework of this system is that the teachers should set and disclose their goals and make efforts to meet them, and finally, they should evaluate their eligibility for reappointment based on the self-assessment. In other words, members of the teaching staff evaluate themselves as individuals within this system. Possible shortcomings, such as setting low goals and over-evaluation of one's accomplishments can be avoided by the checks implicit in the public disclosure process.

Conclusion

The initial contract terms for teaching staff in the School of Medicine have not yet matured. Therefore, we have not executed the self-evaluation process. However, the self-evaluation reports and the success in securing scientific research funds indicate that the teaching and research capacity of the faculty is gradually improving. In the various rankings among the 42 national universities, we are pulling ourselves out of the lowest rung. Of course, there are many factors that can contribute to individual initiative, but it is clear that self-evaluation, external evaluation, and other relevant factors are fundamental to the goal of improvement.

We have highlighted certain specific examples of programs that have been implemented as part of Hirosaki University's School of Medicine evaluation system. It is well understood that there are various problems with the scoring of an assessment, which is always going to be based on subjective factors. For this reason, both those implementing evaluation and those being evaluated are committed to making every effort where possible to continue improving the system into one that everyone agrees is fair.

Hirosaki University believes that the improvement of the evaluation methods will lead to the development of the ideal personnel system for national university corporations. National universities are going to be converted into national university corporations. We will be required to establish a new personnel system in order to increase diversity and mobility of university teaching staff by actively introducing fixed-term employment, new processes for recruiting and selecting teaching staff, and the public disclosure of selection standards.

Human Resource Management at the University of York

Outline, organization and corporate plan of the University of York

The University of York (henceforth, York University) was founded in 1963, making it one of the newer universities within the UK. It is an integrated university, which presently comprises under 10,000 students[2], and just over 30 departments and research centers. York University is ranked with Cambridge as one of the top in terms of its teaching, and sixth out of the 172 tertiary education bodies within the UK in terms of the assessment of its research. Of its 23 departments, 18 have been assessed as 5 or 5*. The University operates a college system, in which most staff and all students are members of one of the colleges. All new students and overseas students are guaranteed accommodation in the colleges, and many of the departments are also attached to one of the 8 colleges[3].

York University is organized in two levels – management and committees. The management organization is arranged with the Vice-Chancellor at its head, and four Senior Academic Officers (the Deputy Vice-Chancellor and the Pro-Vice-Chancellors) working below him. The Vice-Chancellors each have an area of responsibility, including Human Resources, Undergraduate Student Matters and Colleges. The committee organization includes the Staff Committee, which decides policy in regard to human resources. Below the Senate comes the Promotion Committee, which is responsible for the promotion of teaching staff.

York University has instigated a Corporate Plan (2000 – 2004), to lay down the policy for the University as a whole. The Corporate Plan states that the vision of the University is 'to develop as a major centre for the advancement of learning, whose influence is global; whose research is fundamental, valuable and useful; and whose students are exceptionally well equipped to lead successful lives and to contribute effectively to society' Based on this, the aims of the University are as follows:

To (a) provide an outstanding and distinctive intellectual, social and physical environment in which research, scholarship and learning may flourish, and all students and staff achieve their potential;

(b) sustain and develop the University's position as a leading international institution in the higher education sector committed to the highest standards in the selection, learning experience and pastoral care of students, within a collegiate context;

(c) develop further the University's established position as one of the country's leading research universities, balanced in academic composition, in order to become pre-eminent in its chosen areas of research and scholarship;

(d) grow sustainably in response to the needs of education, training, research and employment

(e) to use and apply knowledge in such a way that society as a whole receives the benefit;

and (f) to respond to expectations and needs expressed from outside the University.

The Corporate Plan covers the categories of community development and staff / department support, and stresses the importance of community awareness in order to improve education, training and research performance, as well as stating that teaching and administrative staff will be supported to facilitate contribution to the necessary standards required in order to achieve the University's education and training objectives.

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[2] Figures for December 2002 show 6,601 undergraduates, 1,822 graduate students, 1,105 academic staff (of whom 104 are teaching staff, 490 research staff, and 511 teaching and research), and 1,518 non-academic staff.
[3] http://www.york.ac.uk/admin/presspr/misc/overview.htm

Human Resource Policy

At York University, the Pro-Vice-Chancellor with responsibility for Human Resources serves as the head of the Staff Committee, which sets the Human Resources Policy for the University. This policy defines the regulations by which York University agrees to act as a good employer, as well as its responsibilities and obligations in regard to staff, along with those responsibilities and obligations required of staff. The Human Resource Policy is based upon the University's aims and values, which are set out in the Corporate Plan.

Within the policy, these main regulations are categorized into four core principles as follows: 1) the University aims to recruit staff of the highest quality in order to provide outstanding teaching, research and supporting services; 2) the University undertakes to treat its staff with fairness, respect and dignity at all times; 3) the University recognizes that the academic pre-eminence for which it aims cannot be achieved by teachers and researchers alone, but derives from the combined efforts of all its staff; 4) the University values all its staff for their knowledge, skills, talents, flexibility, commitment, creativity, productiveness and service orientation.

The University also defines its responsibilities to its staff as follows: 1) the University undertakes to encourage all its staff to be creative, flexible, efficient and collaborative, generating fresh ideas and innovative practices that will enable the University to achieve pre-eminence in teaching and research 2) The University undertakes to adopt and maintain policies and procedures that develop and support creative, flexible and high performing staff in all groups; 3) The University undertakes to develop and maintain an environment that promotes a cohesive, inclusive and diverse University community, affirming the inherent worth and equality of all individuals and emphasizing the importance of collaboration, trust, tolerance and open communication. The University undertakes to develop and maintain an environment that promotes a cohesive, inclusive and diverse University community, affirming the inherent worth and equality of all individuals and emphasizing the importance of collaboration, trust, tolerance and open communication.

Staff will be expected to 1) honor their contractual commitments to perform their duties responsibly and to the best of their abilities; 2) treat other members of the University community in accordance with the values described in 3) above; 3) create a positive environment for students in respect of their learning, welfare and support; 4) take advantage of available systems of communication to inform themselves about issues that will affect them; 5) respond flexibly to change; 6) take part in developmental and training opportunities in order to keep skills and competencies current and in line with University needs, including the need for statutory compliance; 7) work collaboratively and effectively in teams and groups within and across units or departments to support the aims of the University; 8) ensure that, where their work relates to people who are not University of York staff or students, they preserve the University's good name.

These principles are displayed on the Internet and are accessible to all staff and students, so that staff have a clear understanding of the policies held by the University in regard to their work. These policies guarantee and raise the attraction of the University both as a community and as a place to work, and by raising this standard, the University is clearly stating its intention to recruit superior staff.

Human Resources Strategy

York University also has a Human Resources Strategy, based on the principles outlined in the Corporate Plan and Human Resource Policy. This Strategy has been welcomed as an indicator that measures are being taken

to implement the policy of giving financial incentives to staff, both in salary and access to development funds, drawn up in the HEFCE Funding Initiative *Rewarding and Developing Staff in Higher Education* (00/56, December 2000).

At York University, however, the following measures had already been put in place before the plan for financial incentives was announced. These included the following:

(a) Human Resources was already the specific responsibility of a Pro-Vice-Chancellor, who chairs the Staff Committee and works closely with Personnel Services.

(b) A University Equal Opportunities Committee had already been set up.

(c) A Code of Practice on Harassment had been adopted.

(d) The post of the Disability Officer had been established.

(e) There was a full-time Director of Health and Safety.

(f) The York Certificate of Academic Practice (ILT -accredited in 2001) had been instituted. This is a compulsory 2-year training program for all academic staff new to the profession.

(g) A full-time training officer had been appointed in the Department of Facilities Management.

In addition to this, with the objective of establishing the Human Resources Strategy at York in academic year 2000, the following measures had also been taken:

A review of Personnel Services

(b) A survey of staff well-being was commissioned from external consultants

(c) A disabled access audit of all University properties was commissioned, also from external consultants.

(d) A new Personnel & Payroll system was being planned

The main problems facing the University were identified as follows:

(a) The University's standing as a leading international institution is at risk unless it can continue to recruit and retain staff of the highest quality in an increasingly competitive employment climate

(b) Many staff on fixed-term contracts feel their employment is insecure and their career development needs are not being met

(c) High turnover and sickness absence rates among manual staff, compared with other staff groups, are a cause for concern

(d) Staff training has not been centrally planned and coordinated, with the result that there has been inconsistency in provision and take-up

(e) Provision of EO and diversity training, in particular, has been patchy

(f) Disproportionate numbers of women are in lower-grade jobs

(g) There is, in general, a lack of ethnic diversity among University staff

(h) The existing appraisal scheme does not extend to all staff and has not been used consistently

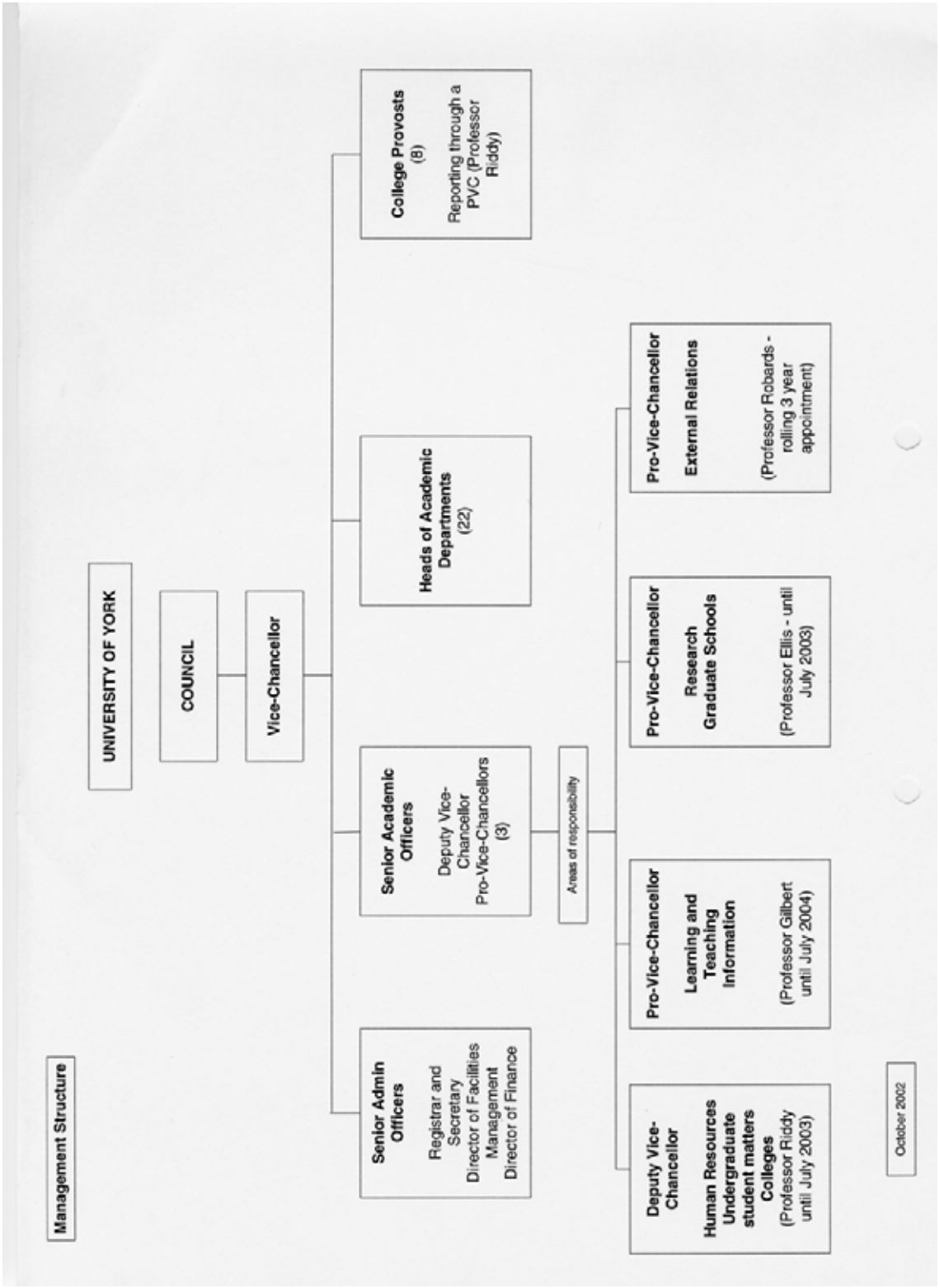
There have been no University guidelines and procedures on dealing with poor performance

These problems were addressed by the Human Resources Strategy, and formed the basis for the attainment targets listed in terms of ‘output’ and ‘outcome’. ‘Input’ and ‘processes’ were defined in line with the priority

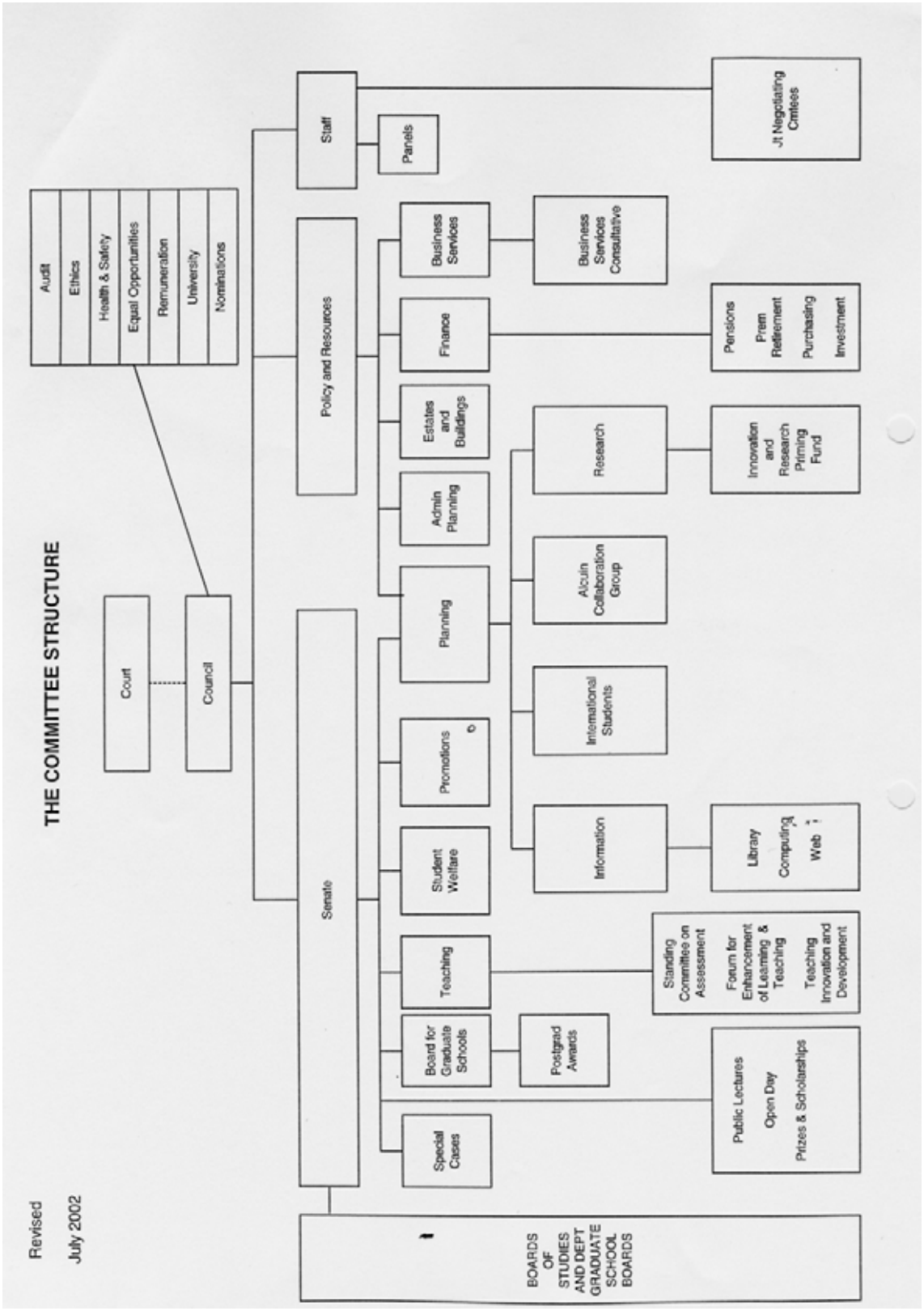
areas indicated by HEFCE[4]

[4] HEFCE 02/14 *Good Practice in Setting HR Strategies*, March 2002, para. 72.

Management structure



Committee Structure



The specific attainment targets within the Human Resource Strategy were identified as

1) Recruitment and Retention
2) Staff Training and Development
3) Equal Opportunities
4) Review of Staffing Needs
5) Annual Performance Reviews of all staff
6) Action to deal with poor performance

Guidelines and regulations for implementation, monitoring and assessment of these areas were established. The specific attainment targets were as follows:

1) To recruit and retain staff of the highest quality in order to provide outstanding teaching, research and supporting services (specifically, to spend GBP834,000 over three years on the recruitment, reward and retention of staff in all groups, including improved promotion and regrading opportunities, and to achieve a total of 60% of manual staff responding positively to well-being survey
2) To spend GBP150,000 over three years on bridging funds for staff on fixed-term contracts
3) To adopt and maintain appropriate policies for managing sickness absence, and reduce sickness absence among manual staff by 4%
4) To create the Staff Training and Development Group, to provide staff with induction, training and educational opportunities to acquire the skills and competencies that are needed both by the University and for their own development, with delegated responsibility for staff induction, training and development. (Specifically, to increase no. of programs and achieve 70% awareness rate among researchers and technicians of opportunities for career development)
5) To ensure that staff are trained to levels appropriate to their roles in order to perform legally and effectively in the best interest of themselves, of others and of the University (specifically, 70% of staff to undergo training in regard to disabilities and racial awareness)
6) To develop and maintain an environment that promotes a cohesive, inclusive and diverse University community, affirming the inherent worth and equality of all individuals (specifically, equal proportions of women and men in equal postings, GBP 66,500 to be spent on staff to promote support for people with disabilities)
7) To seek to ensure that the University's workforce reflects the composition of the local, national and international communities from which it recruits (Specifically, at least 85% of staff in post to have responded to ethnicity audit; At least 2% of staff who are recruited locally and 7% of those recruited nationwide to be members of ethnic minorities)
8) To hold supervisors accountable for giving staff constructive, honest and timely appraisals of work performance, and for developing plans for improvement, taking into account both organizational goals and personal aspirations (Specifically, to design and implement a new system of annual Performance Review appropriate for all staff; a statement of duties and responsibilities, for use in new Performance Review system, to be produced; distribution of guidelines regarding Performance Review; training of staff charged with Performance Review; all staff to be interviewed as part of Performance review; allocation of GBP50,000 to address needs identified as a result of Performance Review system.
9) To adopt and maintain sensitive policies for dealing with staff who under-perform. (Specifically, to design and adopt new Guidelines and Procedures for dealing with poor performance, and to inform all staff of these.)

Staff Training and Development Policy

Based on the Corporate Plan, York University aims to offer appropriate training, development and educational opportunities to its staff within the limits imposed by budgetary requirements, enabling them to acquire skills and abilities that meet both their personal development needs and the needs of the university. In addition to this, the University places an emphasis on equality of opportunity in regard to lifelong learning and training, and training to a level that is suited to the role of the individual. Specifically, this involves

1) identifying the needs of staff in regard to training and development
2) establishing annual priorities based on need and budgetary restrictions
3) establishing an annual income / expenditure plan
4) proposal of a high quality induction / training / development program
5) notification of this program to all staff
6) inspection and assessment
7) creation of records relating to training.

Training is required show results in terms of appropriate performance, and is also required to show consideration and flexibility in regard to legal requirements and changes. Staff training is the responsibility of the Staff Committee, and the Staff Training / Development Group, who work under the committee, are responsible for planning, delivering, budgeting and monitoring training.

Performance Reviews

Performance reviews were introduced in 2002 as a countermeasure to the fact that the existing assessment schemes did not cover all staff and were not being used in a consistent manner. Performance reviews were developed as an element of the University's Human Resource Strategy. The scheme operates on the following principles:

1) It enshrines the right of all University employees to an annual discussion about their progress within their role, with two-way communication as the central purpose.
2) It is based on the recognition that no one method of reviewing performance will be suitable for all staff, and so provides for three different models, to be used as appropriate.
(c) It requires a minimal amount of paperwork and bureaucracy, and is compatible with existing University people management and planning processes.

The three models of performance assessment are as follows:

1) Portfolio Model (used particularly for academic staff, to evaluate their performance in each area of their activity
2) Objective-led Model (particularly used for staff related to administrative work, in which individual objectives are set in agreement between the evaluator and the staff member for performance assessment)
3) Standard-led Model (used particularly for routine-based staff, in a format that allows the evaluation of whether or not they are meeting the standards required in their work).

The process begins with a strategy and plan established by the University, based on which the departments establish their own plans. Based on these, performance reviews are implemented using one of the three models, and an annual report is presented to each member of staff. Heads of Departments receive training in performance reviews.

Higher Education Role Analysis (HERA)[5]

HERA is a process of Role Analysis (Job Analysis) which will eventually replace the existing work assessments, and preparations for which are currently underway at York University. HERA is a computer-based role analysis system, which has been developed by the Educational Competences Consortium Ltd. (ECC Ltd.) in partnership with Towers Perrin. It is competency-based that can be applied to all roles involved in the Higher Education system, and is being held as an example of a system that can represent the relative values of different roles in a consistently fair way. There are 14 competencies making up the scheme as follows:

1) Communication
2) Teamwork and motivation
3) Liaison and networking
4) Service provision
5) Decision making process and outcome
6) Planning and organization of resources
7) Initiative and problem solving
8) Study, analysis, research
9) Emotional and physical demands
10) Work environment
11) Consideration for others, welfare
12) Team development
13) Education / study support
14) Knowledge and experience.

HERA gives scores to each role, and these scores are analyzed into their component parts, so that it is possible to check in what way an allocated score has been arrived at for each employee. HERA has been applied to over 2000 staff members at 60 higher education institutes, and is gaining a strong reputation for excellent results. Each employer is able to reflect their own priorities and business needs, and it is this ability to analyze based upon a cross-section of work categories that has particularly appealed to York University. Partly, though, it has to be recognized that such a system is well suited to the British workplace, in which every position right down to those of administrative workers is filled with an individual job description for the post. For Japanese universities, however, where posts are filled by rotation, and organizations are based on the sharing of skills and information, it will be necessary to consider carefully how relevant evaluation by such a role analysis system would be.

Staff Training and Development

Staff training and development is implemented by the Staff Training and Development Group (STDG), which works under the Staff Committee, with the support of the Directorate of Facilities Management and the Training and Development Office. STDG has the Pro-Vice-Chancellor as its chair, but the rest of its

[5] http://hera.ucea.ac.uk/frames.html

membership is comprised mainly non-academic staff who run training programs. During academic year 2002, STDG produced a pamphlet totaling 113 pages detailing all training programs implemented for staff, and this information is also in the process of being published on the Internet. The pamphlet contains dates for all the training courses being run throughout the year, and is evidence of the high level of planning that goes into the arrangement of staff training programs.

The program includes courses that involve staff at all levels throughout the university, in areas including the following:

1) Legal compliance (health care, safety, environment, equal opportunities, etc.)
2) Computer technology (computers, audio / visual, time cards, attendance system update training)
3) Career development / study support (annual work evaluation workshops, individual development planning)
4) Performance review training (for both reviewers and reviewed staff)
5) Other training (customer care, identifying stress and relaxation, etc.)
6) Management development (for managers).

In addition to this, there are also training programs for staff involved in facilities management and contract staff, as well as the following categories of program for academic staff:

1) Academic development (gaining research grants, becoming an academic supervisor, mentor training, etc.)
2) York Certificate of Academic Practice (YCAP)[6]

The York Certificate of Academic Practice (YCAP)

The York Certificate of Academic Practice (YCAP) is a postgraduate level, 60-credit qualification for academic staff, which is monitored by the University's Teaching Committee and accredited by ILT (the Institute for Learning and Teaching). The purposes of YCAP are as follows:

1) To impart to participants teaching skills
2) To improve participants' research skills within their own disciplines
3) To assist participants in finding the optimum balance between the teaching, administration and research requirements of their job

Any new member of staff who is taking up a permanent contract or a fixed-term contract of two years or more is required by Staff Committee to follow the YCAP program, although staff with more than 3 years' full-time (equivalent) experience of teaching in Higher Education may be exempted from part or all of the training. The purpose of York University's implementation of this course is to maintain its high ranking in terms of teaching staff evaluations, but the program has been designed in such a way as to also offer support for individual staff members' career formation.

Leadership and Academic Management Program

This program is aimed mainly at Heads of Departments and other senior staff with related interests, and has as its purposes the following:

1) The acquisition of a style of academic leadership suited to the participant
2) Understanding strategies, taking the role of a manager and introducing change

[6] YCAP is explained below.

3) Demonstrating effective leadership through understanding key processes
4) Improved skills and understanding of academic leadership and management
5) Management of people and other resources

During our interview with the Head of the Department of Biology, we were told that in some cases people become Heads of Departments very suddenly and are not always prepared fully, but that the provision of these training opportunities has improved the situation significantly by comparison.

Recruitment of Academic Staff

York University is in the process of creating the Hull York Medical School (HYMS) in partnership with Hull University. This project is being implemented by the two universities in cooperation with the National Health Service, and funds have been secured from both HEFCE and the NHS. The campus is to be spread across both the universities, and plans are going ahead with the recruitment of 40 full time equivalent staff, funded from these HEFCE and NHS grants. In the course of our study we were shown sample documents to be used in recruitment of Senior Lecturers for HYMS. These were detailed documents that ran to 5 pages, including information on the following:

1) Specialization and affiliation of post being recruited
2) Outline of HYMS
3) Explanation of the HYMS Curriculum
4) York University
5) Explanation of the Department of Health and Science
6) Post details
7) Job description
8) Salary
9) Application method
10) Deadline.

The job description listed the following requirements:

1) Engagement in high-quality theoretical / applied research related to Health Intelligence
2) Provision of support and encouragement as an appropriate specialist to the joint research being carried out within the wider community of HYMS
3) Cooperation with colleagues in the development and implementation of the HYMS core curriculum (examples given of specializations particularly required)
4) Cooperation with the Department of Health Sciences in the development and implementation of other appropriate programs

In addition, the School of Medicine currently awards salaries to doctors in accordance with the Clinical Academic Scale. Non-clinical academic staff, however, are awarded salaries on an individual basis, without the application of a salary scale.

Promotion of Academic Staff

At York University, the promotion of all academic staff is done by a process of reports made by the Promotion Committee to the Senate and Council. Equal opportunities are emphasized in the process of

promotion. Detailed regulations regarding promotion exist at each level, and are published on the internet[7]. Heads of Department have an obligation to support lower level lecturers in their progress towards promotion, but staff are required to complete and submit documentation themselves to back up their application for promotion, for consideration by the Promotion Committee. The documentation process is handled by the Registrar. Budgetary restrictions can mean that some people who are recommended for promotion by the Promotion Committee are not able to be promoted at that time.

Establishment of HYMS (Hull York Medical School)

York University is pressing ahead with preparations for the opening, scheduled for Autumn 2003, of its new medical school, being established in partnership with Hull University. Professor Bill Gillespie, formerly Dean of the Dunedin School of Medicine at the University of Otago, New Zealand, has been appointed as the first Dean of the new School of Medicine, and preparations for the Medical School are proceeding under Professor Gillespie, with staff and students being selected. The outline and particular features of Hull York Medical School are given below. The medical profession in the UK is suffering from staff shortages, and there are currently three new medical schools under construction, of which one is HYMS. HYMS is revolutionary in two points in comparison to conventional medical schools. Firstly, it is to be spread over two campuses. This is due in part to the fact that the clinical departments of medical schools, and teaching hospitals, are built and led by the National Health Service, and through opening hospitals in more than one location, it is thought that the level of regional medicine overall will be improved. Otago University in New Zealand functions similarly, with three separate campuses, and Professor Gillespie has a good reputation for working under these circumstances. It is thought that this was a significant factor in his appointment. HYMS will function according to a single curriculum, with students being taught rudimentary medicine simultaneously on the two campuses for the first two years. Clinical teaching, which begins in the third year, will be done on each campus according to their specializations, and students will be allocated to one or other campus for fixed periods of time. Teaching staff will in principle be attached to one campus only. The second particular feature of HYMS is that York University has not in fact established a new department of rudimentary medicine in order to create the Medical School. Staff teaching basic medical courses are all members of existing departments. In particular, staff with specializations in life sciences are attached to the biology department, and research and graduate teaching is to be done within this department.

[7] http://www.york.ac.uk/admin/registrars/acadprom/pac.htm

Human Resource Management at the University of Sheffield

Outline of Sheffield University and its Human Resources Organization

Sheffield University was formed from three institutions – Sheffield School of Medicine, Firth College and Sheffield Technical School. Of these, the oldest is Sheffield School of Medicine, which was founded in 1828. The three institutions merged in 1897, forming the University College of Sheffield, which became the University of Sheffield in 1905. At present the University caters to 17,841 undergraduates, 5,791 graduate students, 169 teaching staff, 853 researchers and 1,170 teaching and research staff, as well as 3,214 non-academic staff.

Sheffield University's human resources are handled by the University Council, who have decision-making powers for the whole university, as well as the Human Resources Management Committee, and the Department of Human Resources, which is organized as an office.

The Human Resources Management Committee at Sheffield is chaired by the Pro-Chancellor, with the Chairman of the Council, the Vice-Chancellor, the Pro-Vice-Chancellor, four Council representatives, 8 Senate representatives, and the Director of Human Resources, who acts as Secretary. This committee strongly reflects the authority of the executive members of the University.

The role of the committee is as follows:

1) Reporting Human Resource Policies to the Council, in discussion with the Strategic Planning Committee
2) Approval of the recruitment, selection, tenure, promotion and retirement / resignation processes
3) Receiving and inspecting reports from the Director of Human Resource Management and the Director of the Staff Development Unit, including a report of the annual meeting with the University Union.

The office dealing with Human Resources is comprised of the Human Resources Department, working under the Registrar and Secretary, who acts as Head of Department. The Department's role is to support the recruitment, support and retention of excellent staff, and is defined by the University's objective to ensure staff of a high quality. Using a fair, visible and consistent approach, the Department works to support staff in implementing equal opportunities, utilizing their latent abilities and making a valuable contribution to the life of the University. Central to this is the Staffing Strategy, which defines the services offered by the Department, namely:

1) Personnel Service (recruitment, contract support, departmental operations, policy and strategic advice)
2) Staff Developing Unit (advice and support for career development, and provision of the SOLAR center to support staff study)
3) Occupational Health Unit (support for health and safety management).

The relationship between staff and the office structure is one of equal partnership, and the Director is a Human Resources Management specialist who was recruited from outside the university to the post.

Human Resource Strategy (2002-2004)

Sheffield University has created a Human Resource Strategy that has been submitted to HEFCE. Essentially, this is similar to that of York University, in that it has been implemented in response to the financial leading of HEFCE, but at the same time, it has also served the purpose of establishing the University's Human Resources strategy.

The purposes of the HR Strategy are to ensure a balance between the development of the University and a safe, healthy working environment as follows:

1) Establishing priorities for staff development and equal opportunities, developing the skills and experience of all staff members, and linking these to the University's objectives
2) Offering staff incentives to improve their performance levels and contribute to the success of the University
3) Maintaining competitiveness within the employment market, through flexibility, diversity, visibility and fairness
4) Maintaining a visibility within the policies and processes of staffing in regard to equal opportunities and other legal issues

In addition to this, the department is currently in the process of analyzing data and working on specific issues in the following areas:

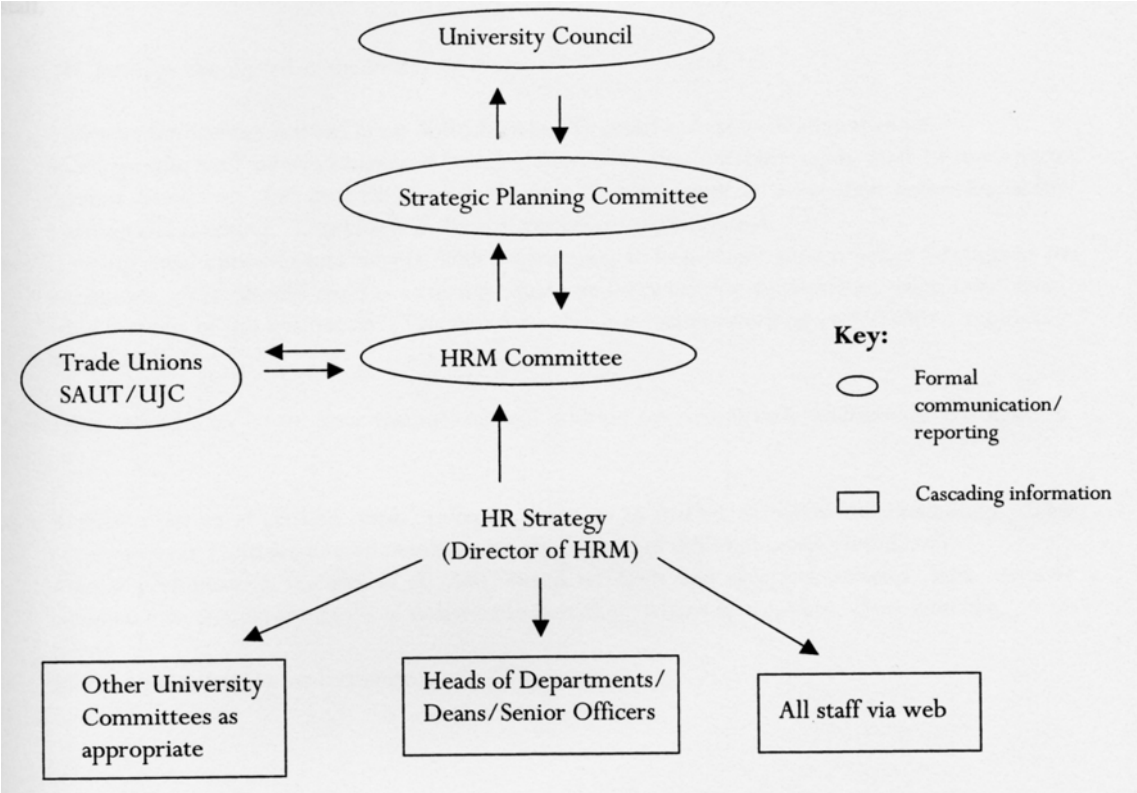
1) Staff recruitment and selection
2) Staff deployment
3) Improving University performance
4) Remuneration and rewards
5) Promotion of diversity
6) Staff health and welfare

Based on the above, specific proposals currently include

1) Execution and introduction of Job Assessment
2) Establishing focus points for, and promoting staff deployment
3) Establishment of Sheffield Equality Challenging Unit (SECU) and promotion of diversity
4) Improvement of University performance
5) Maintenance of competitiveness

The end of the HR Strategy contains a diagram showing the organization of communication and division of responsibility, emphasizing the importance of all organizations within the University working together to promote these issues.

Management Structure



Annual Staffing Report

Unique to Sheffield University's practices is the large quantity of data stored regarding staff, and the detailed analysis that happens of this data. This analysis is utilized within the HR Strategy mentioned earlier, and is also complied in to an Annual Staffing Report, into which is organized a substantial quantity of data regarding the current status of staff. The main contents of this report are as follows:

1) Staff recruitment analysis
2) Analysis of current staff
3) Analysis of incoming / outgoing staff
4) Staff development
5) Analysis of promotion
6) Analysis of equal opportunities
7) Analysis of development activities

This detailed data is presented in the form of charts and graphs in order to be easily understood, and is published on the internet for internal viewing only.

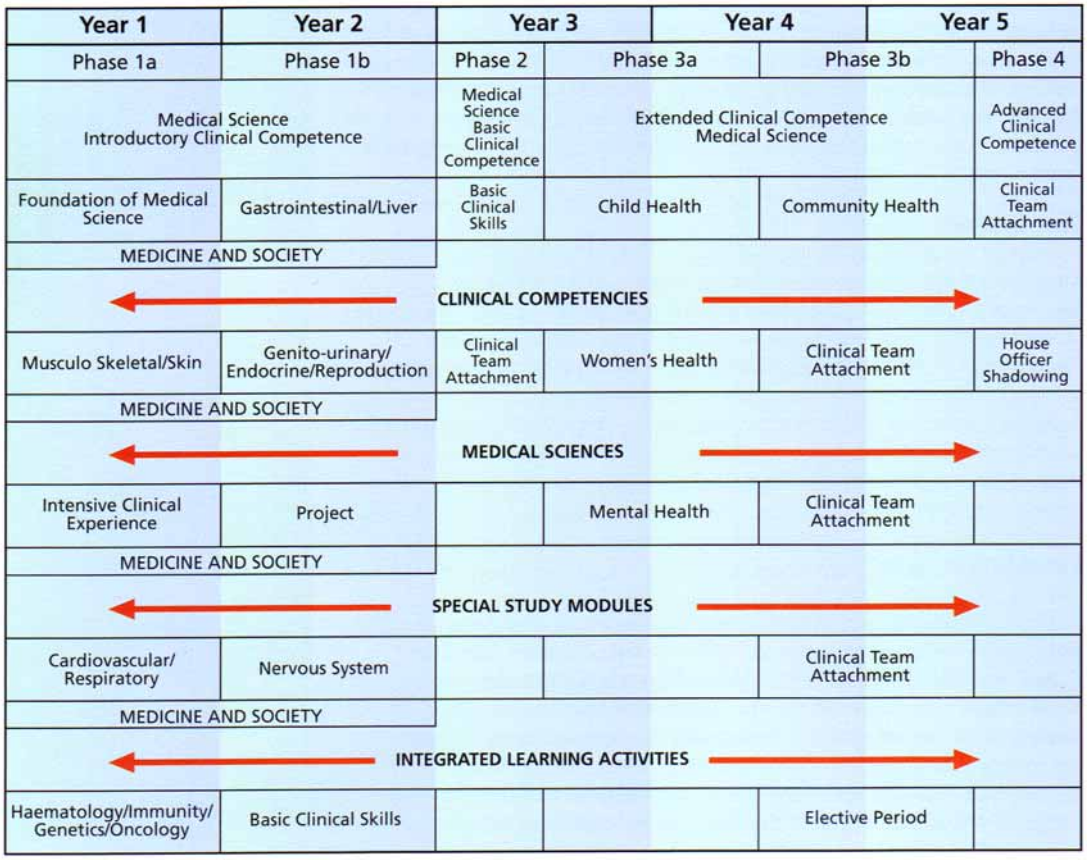
The Medical School

Sheffield University's Medical School was founded in 1828, and currently boasts a department of 1,100 students, making it one of the major medical training centers within the UK, as well as one of the few medical research centers, alongside being the main center for medical practice in the region it is located, which is home

to the fifth largest population in the UK. The school is also famous because it was here that Professor Klebs, who received the Nobel Prize for Medicine in 1953, discovered the cellular metabolism known as the Krebs Cycle.

The School of Medicine has a distinguished history, but it is by no means restricted by these traditions. Its teaching curriculum involves some extremely progressive methods. This concept is based on a focus on patient-centered study of both illnesses and organs. If a patient complains that they are 'having trouble breathing', a doctor must be able to perform a diagnosis and establish a policy for treatment, regardless of whether he or she is an internal specialist or a surgeon. This philosophy is taught to students from a very early stage, resulting in them being taught according to a curriculum that has them studying both academic medicine and clinical medicine from their first year (see attached diagram). In this way, students are taught the importance of understanding the clinical significance of rudimentary medicine. At the same time, students are not taught in a conventional 'receptive' way, but are required to take part in Integrated Learning Activities, which teach them techniques for learning. In addition to this, students are able to select 25% of their own courses, thus enabling them to follow their own interests. The study of relating to patients in order to become a 'good doctor' is also compulsory. This fusion of rudimentary and clinical medicine, along with an element of selective courses, seems almost ideal, but it is assumed that there are many difficulties in programming this integrated learning process, as well as issues involved in ensuring communication between teaching staff (particularly between rudimentary and clinical teaching staff). In order to achieve this, it is thought that there must have been significantly strong initiatives put in place in order to establish the training program, as well as plentiful resources, in both quantitative and qualitative terms, of teaching staff. Latterly, a solution appears to have been achieved by having teaching staff, particularly clinical teaching staff, divide their time spent in teaching and medical practice into separate categories, for which their employers are, respectively, the University and the National Health Service (equivalent to the Japanese Health and Welfare Ministry), and having separate contracts for the two. (Incidentally, no such case has ever been seen in Japan). In conclusion, there are still outstanding issues regarding how effectively the Medical School and the hospitals can develop as effective 'corporations' – and it is thought that much of the Dean of the Medical School's time is spent on these issues.

Sheffield University Medical School Curriculum, by academic year



The course is divided into phases and is structured as follows:-

- **Phase 1** Basic medical sciences that underpin clinical medicine
- **Phase 2** Foundation clinical skills and the clinical sciences allied to them
- **Phases 3 & 4** Refinement of clinical skills, special study modules and overseas elective

Comparison with Hirosaki University and Japan's National Universities, and issues relating to the incorporation of universities

Comparison with Hirosaki University and Japan's National Universities

In preparation for the incorporation of Japan's national universities in April 2004, Hirosaki University is now engaged in the processes of establishing mid-term objectives and plans, as well as the formation of an Organizational Work Consideration Committee, a Human Resources Systems Consideration Committee, and other committees, and will shortly be establishing specific system designs for these. At the present time, although our studies have not been sufficiently detailed to date, Hirosaki University has made study visits to US universities in March and September 2002 (parties of 3 teaching staff and 3 non-academic staff), visiting firstly the University of California, Berkley, the University of California, San Diego, and San Diego State University, and in the second visit, Maine State University and Pittsburgh University, among others). We have learned much regarding the teaching, research and management of the universities through these visits.

These visits enabled us to gain much in the way of suggestions and advice in regard to clarification of the University's mission, the need for speed and visibility in decision-making, assessment and promotion systems for staff, procuring external funding, and positive promotion and advertising activities, all of which are relevant to our considerations of the incorporation of Japan's universities. (For further details, please see Hirosaki University's 'Report of Visits to US Universities', issued in June 2003.)

During our visits to the UK, we learned much of the differences between British and Japanese universities, but at the same time, found much to inspire us. In particular, we found much of value in relation to Hirosaki University's theme of Human Resource Management. Regional universities similar in scale and feel to Hirosaki make up a large proportion of Japan's national universities. For this reason, it is thought that the problems and issues faced at the moment by Hirosaki University are probably common to many of these universities.

The following is a comparison between specific features noted in our visit to UK universities (mainly the two discussed in this report) and Japanese universities (mainly Hirosaki University).

1) Vitalization of the University and Effective Utilization of Human Resources

The effective use of existing human resources, and the recruitment of new staff, is an important issue in increasing the vitality of a university. This is applicable not only to teaching staff, but also to non-academic staff. In regard to this area, UK universities are establishing Human Resources Management as one of the basic policies for their establishments, giving all staff opportunities for appropriate training, development and education, and supporting them in the acquisition of necessary skills. This was a particularly noteworthy feature.

A particular example of this is the time spent in the systematic organization of training programs for new teaching staff and other programs facilitating staff to utilize their skills. Japanese universities do not have departments responsible for this work, and it is clear that this will be a problem in the future in terms of the effective utilization of current staff.

The issue of whether national universities are capable of completely reorganizing the education and research aspects of their work into new operations, organizations and human resources systems, regardless of the outstanding problems this will leave to be solved in the research / teaching aspects of staff work in the future, is an extremely significant one.

Examples of the many issues that need to be overcome within university administrative organizations are: the issue of who has authority for personnel decisions; staff recruitment and management appointment methods; the role of female staff; specializations of university employees; training of staff through interaction with other industries; and the maneuverability of university administration systems.

2) Clarification of University Mission and Staff Work Descriptions

In any UK university, the University Mission, in other words, the objectives set by the university, is given priority, and other strategies and plans are instigated based on this. University Vice-Chancellors and the managing directors working under them have clear guidelines for executing authority and awareness of their own responsibilities. Each department or faculty also establishes its own policy based on the University's policies. In comparison with this, the policies of Japan's national universities have a tendency to be uniform and expressed in abstract terms. This reflects the reality that Japan's national universities have to date been considered as a single arm of the government (the Ministry of Education).

In addition to this, staff at British universities have contracts with the university they work for based on the job description relevant to their post. Teaching staff are given details of the proportion of time they are expected to spend in teaching, research and management. In Japan, however, teaching staff are technically required to have teaching, research and management abilities, but no rules or systems are in place to evaluate achievements in these areas. It is extremely important for the future that we begin to put in place appropriate strategies for the evaluation of people by people, based on an understanding of the difficulties involved. Based on this, it is hoped that other universities will give consideration to the specific example of self-declaration tenure based on relative assessment, given in the section entitled 'Reforms to teaching staff assessment methods within the School of Medicine, Hirosaki University' in this report.

3) Details of various university reforms – restructuring and mergers

Hirosaki University is currently engaged in discussion regarding the issue of the restructuring and merger of the three Universities in the Tohoku Region – Iwate, Akita and Hirosaki – and organized a 'Discussion Forum' for deputy principals, which has been meeting since last February. This Forum delivered its response on 27th February of this year, which proposed the progression of 'strong partnerships' for the time being. The specific outworking of this is now to be decided, but the implication is that it has been decided not to push for a single incorporation for the three Universities, but continue to search for a mutually beneficial solution to the issues facing the universities while focusing on strong partnership. The study visit to the UK enabled us to see the example of the joint establishment of a school of medicine by two universities, which provided an excellent reference point for the future direction of regional universities in Japan.

In recent years, various significant changes have taken place within the Medical Schools of Japan's national universities. The first of these is the transfer entry of graduate students. As of this academic year, the Hirosaki University Medical School intake of 100 students has been filled partly by 20 third year students transferring from other universities – the largest number of transferred students in Japan. The School is considering selecting all its students for the medical school from among transferred graduate students in the future. In addition to this, the School has also begun a tutorial teaching system as of this year, and is training students with experience in universities or within society as doctors, through encouraging students to think for

themselves during their studies. Furthermore, we will shortly be introducing a core curriculum and organ-based courses, reforms which have not been seen to date. These reforms and their details have not been entirely pioneered by Hirosaki University, but have been selected and are being implemented by the University from a plan proposed by the Ministry of Education.

By comparison, the medical schools at Sheffield and Hull / York show far greater independence as universities, and also an awareness of their own significance to the universities and the regions in which they function. Sheffield University's Medical School has as its catch phrase the training of 'good doctors', while the Hull / York Medical School has come into existence as a result of a government proposition that more should be done to increase medical facilities in areas where they are under-represented. HYMS, however, is not content with merely establishing a medical school and hospital in such an area, but is constantly considering how to be an excellent medical school, in many proactive ways.

On reflection, it is apparent that universities in Japan have not to date been particularly required by society to meet particular needs by their own efforts or excellence, and how as a result they have not really tried to do so. With incorporation only a short while away, they are now being required to pay the price of this policy. As Japan's universities struggle to find direction within these requirements, it is clear that many aspects of British universities' activities are to be considered an excellent model for the future.

Issues and hopes for the incorporation of national universities

There is a significant quantity of problems that require solutions in the face of the incorporation of Japan's national universities. In particular, regional national universities require the creation of strategic policies to enable the recruitment of excellent personnel. In order to achieve these things, it is thought that the focus in the future must be on the following areas.

1) The need for a focus on individual areas of general education, rather than integration

Regional national universities have to date brought a large variety of subjects together for teaching purposes. This is partly because of the need for a full set of specialists in order to teach these things within regional society, and while this method had its advantages, it also had the disadvantage that it created only a thin layer of researchers.

At an international research level, it is necessary to have focal points in terms of areas of research. From this point of view, we were very interested to learn of York University's establishment of a bio-research department within its rudimentary medicine courses, and the joint and cooperative establishment of a school of medicine by York and Hull Universities. It remains to be seen whether the three universities of the Tohoku Region can utilize their 'strong partnerships' and the subsequent restructuring and merger to develop such new departments and research areas.

2) The importance of a thorough assessment method for teaching staff

Hirosaki University is currently looking at the establishment of an 'Evaluation Office' (proposed name). Universities are gradually proceeding with the introduction of fixed-term employment systems, but it is difficult to say what sort of assessment or evaluation system should lie behind these systems. Obviously, staff oppose

the introduction of a system in which they are 'assessed' in a one-way approach, and it is appropriate that systematic and fair rules must be set in place for the process. In this way, the self-evaluation and self-declaration system implemented by Hirosaki University in relation to the reappointment of teaching staff demonstrates one potential method for staff taking responsibility for their own assessments.
The assessment systems being introduced within British universities in regard to this point are worth investigating further for this reason.

3) Establishment of a sense of equal partnership and trust between academic and non-academic staff

It will be necessary for academic and non-academic staff to work together like the wheels of a car in order to manage and operate our universities after incorporation. Significant differences can be seen, however, between the staffing systems of our national universities and those of the UK. Subsequent to our visit to the UK universities, we sent four staff members, including our administrative head, to the same universities. The purpose of this was to encourage both academic and non-academic staff to visit the same universities, and share an awareness of the issues and problems regarding the management and organization of the university.

It is thought that is was not only the party visiting from Hirosaki University who felt the significant difference between the level of pride and enjoyment of one's work felt by people working in Universities in the UK and Japan. There is an obvious need for serious consideration of the staffing systems employed by Japanese national universities. Without this, it is difficult to see how the national universities will make the change into freer and more autonomous organizations after incorporation.

The question must also be asked as to whether incorporation will bring about the necessary internal reforms. It is also necessary to ask whether the role of the board of directors and the operational structure is capable of functioning efficiently. The challenges of establishing boards of directors and staff organizational systems are still to be met, as is the organization of management systems for beyond incorporation. The universities we visited on this tour mentioned that they had faced extremely difficult problems of various types after incorporation. It will be vital for the future of our universities that we use the lessons learned by the UK in the process of incorporation, in order to trace a route for a similar process in Japan.

Appendix 1

Collection Required **Confidential**

Spreadsheet of Questionnaire about Personal Characteristics of Applicant

Key attitude for questions

Ⅰ toⅣ, 1 to 4 of Ⅴ, 8 to 10 of Ⅴ

1) Very enthusiastic 2) Enthusiastic 3) Average 4) Not enthusiastic 5) No idea

5 to 7 of Ⅴ

1) No rumors 2) Some rumors 3) No idea

1 of Ⅵ

A) Colleague B) Former colleague C) Acquaintance at academic conferences D) Near stranger E) Total stranger

2 of Ⅵ

A) Higher B) Equal(Colleague, classmate, etc) C) Lower

Ⅵ of 3

A) Very well B) Fairly well, through talk at academic conferences and meetings

C) By name and sight D) Not so well E) Not at all

Professor selection committee

Questions \ Respondent No	Applicant A								Applicant B							
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Ⅰ Education																
1 Enthusiasm for education	1	2	3	1	5	2	1	1	2	1	2	2	1	5	2	1
2. Quality of class	1	5	3	2	5	3	2		2	1	2	3	5	5	2	1
3. Start time of class	2	5	5	2	5	2	1		5	2	1	5	5	5	1	2
4. Cancellation of class	2	5	5	1	5	2	1		5	2	1	5	5	5	2	2
5. Tone of voice in class	2	3	3	1	5	3	2		1	1	1	1	5	5	1	1
6. Test scoring	2	5	5	5	5	2	2		5	2	5	5	5	5	2	3
7. Instruction in training class	1	5	3	1	5	2	1	2	2	2	2	5	5	5	2	2
8. Communication with students after class	2	5	5	2	5	3	2		5	2	5	5	5	5	5	2
9. Popularity among students	1	5	5	1	5	2	1		5	1	2	5	2	5	5	2
10. Reputation among students	1	5	5	2	5	2	1		2	1	2	5	2	5	5	1
11. Supervision of after-school activities	5	5	5	5	5	5	5		5	2	5	5	5	5	5	5
12. Continuance of after-school activities	1	5	5	2	5	3	5		5	2	5	5	5	5	5	5
13. Eligibility for professor	1	2	5	1	5	2	1		2	1	2	2	1	5	2	1
Ⅱ Research																
1 Attitude toward experiment	3	5	5	2	5	3	1		5	3	3	5	5	5	5	5
2. Looking after researchers	1	2	5	1	5	1	1	2	5	1	2	5	2	5	2	2
3. Remarks at workshop, etc	1	2	3	1	2	3	1	2	5	1	1	2	1	5	2	1
4. Presentation at international conferences	1	5	5	1	3	2	1	1	5	2	5	5	5	5	5	1
5. Research evaluation in academic conferences	1	2	3	1	3	2	1	1	5	2	3	5	2	5	5	2
6. Administrator of academic conferences	1	2	5	1	2	2	1		5	2	5	5	5	5	5	2
7. English ability	1	3	5	1	5	3	1	2	1	1	1	5	1	5	5	1
8. Research ability	1	5	5	1	3	2	1	1	5	2	2	5	1	5	5	1
9. Eligibility for research leader	1	5	5	1	3	2	1	1	5	1	2	5	1	5	5	1
Ⅲ Clinical Service																
1 Carefulness about patient's talk	2	5	2	5	5	2	1	1	2	1	2	2	2	5	2	2
2. Trust of patients and their family members	1	5	2	2	5	2	1	1	1	1	2	5	5	5	2	2
3. Behavior toward nursing staff	1	5	3	2	5	2	1	1	2	2	2	2	2	3	1	3
4. Trust of nursing staff	1	5	3	2	5	2	1	1	2	1	2	5	2	3	1	2
5. Clinical skills	1	1	5	1	3	1	1	1	2	2	2	2	1	5	1	2
6. Behavior during surgery	2	2	3	1	5	2	1	2	2	2	2	5	2	3	2	2
7. Participation in surgery	1	2	2	1	5	1	1	2	1	1	1	5	1	2	1	2
8. Communication with staff of other departments	1	2	3	5	5	2	1	1	1	1	2	2	1	2	2	1
9. Eligibility for clinical leader	1	2	5	1	3	1	1	1	1	1	2	2	1	3	1	1
Ⅳ Committees and meetings																
1 Attendance at meetings	2	2	3	2	5	2	2	2	5	2	2	5	2	5	5	5
2. Punctuality for meetings	2	2	3	2	5	2	1	2	5	2	2	5	5	5	5	5
3. Remarks at meetings	1	3	4	2	5	2	2	2	5	2	2	5	1	5	5	5
4. Chairing meetings	1	5	4	5	5	5	2		5	5	5	5	5	5	5	5
5. Leadership	2	5	3	2	5	3	1	2	5	5	2	5	5	5	5	5
6. Influence of remarks	1	2	3	2	5	2	1		5	5	2	5	2	5	5	5
7. Deadlines of documents	2	5	5	1	5	3	1	2	5	2	5	5	5	5	5	5
Ⅴ General Matters																
1 Personality type	1	3	2	2	4	2	1	1	2	2	3	3	2	3	2	2
2. Appearance	2	3	3	2	3	3	1	1	2	2	2	3	3	4	4	3
3. Cheerfulness	3	3	3	3	4	2	2	2	1	1	1	2	2	2	1	1
4. Strange behavior	1	1	2	1	5	2	1	1	5	1	1	3	2	5	2	2
5. Mental problems	1	1	1	1	3	1	1	1	1	1	1	1	1	3	1	1
6. Sexual harassment	1	1	1	1	3	1	1	1	1	1	1	3	1	1	1	1
7. Money trouble	1	1	1	1	3	1	1	1	1	1	1	3	1	3	1	1
8. Personality defects	1	1	2	1	3	1	1	1	1	1	2	2	1	3	1	1
9. Tolerance	1	2	5	2	4	3	1	1	1	2	2	2	2	3	1	2
10. Eligibility for professor	1	2	2	1	4	2	1	1	1	1	2	2	1	5	1	1

Ⅵ. Relation to the applicant																
1 Relationship																
2. Hierarchical relationship																
3. Closeness of relationship																
Ⅶ																
Professional affiliation and occupation of respondent																

Ⅶ

A) University・Internal Medicine・Doctor B) University・Surgery・Doctor
C) University・Internal Medicine・Non-doctor D) University・Surgery・Non-doctor
E) Institute other than university・Internal Medicine・Doctor
F) Institute other than university・Surgery・Doctor
G) Institute other than university・Internal Medicine・Non-doctor
H) Institute other than university・Surgery・Non-doctor

Collection Required **Confidential**

Spreadsheet of Questionnaire about Personal Characteristics of Applicant

Key attitude for questions

Ⅰ toⅣ, 1 to 4 of Ⅴ, 8 to 10 of Ⅴ

1) Very enthusiastic 2) Enthusiastic 3) Average 4) Not enthusiastic 5) No idea

5 to 7 of Ⅴ

1) No rumors 2) Some rumors 3) No idea

1 of Ⅵ

A) Colleague B) Former colleague C) Acquaintance at academic conferences D) Near stranger E) Total stranger

2 of Ⅵ

A) Higher B) Equal(Colleague, classmate, etc) C) Lower

Ⅵ の 3

A) Very well B) Fairly well, through talk at academic conferences and meetings
C) By name and sight D) Not so well E) Not at all

Professor selection committee

Respondent No / Questions	Applicant A								Applicant B							
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Ⅰ Education																
1 Enthusiasm for education	1	2	3	1	5	2	1	1	2	1	2	2	1	5	2	1
2. Quality of class	1	5	3	2	5	3	2		2	1	2	3	5	5	2	1
3. Start time of class	2	5	5	2	5	2	1		5	2	1	5	5	5	1	2
4. Cancellation of class	2	5	5	1	5	2	1		5	2	1	5	5	5	2	2
5. Tone of voice in class	2	3	3	1	5	3	2		1	1	1	1	5	5	1	1
6. Test scoring	2	5	5	5	5	2	2		5	2	5	5	5	5	2	3
7. Instruction in training class	1	5	3	1	5	2	1	2	2	2	2	5	5	5	2	2
8. Communication with students after class	2	5	5	2	5	3	2		5	2	5	5	5	5	5	2
9. Popularity among students	1	5	5	1	5	2	1		5	1	2	5	2	5	5	2
10. Reputation among students	1	5	5	2	5	2	1		2	1	2	5	2	5	5	1
11. Supervision of after-school activities	5	5	5	5	5	5	5		5	2	5	5	5	5	5	5
12. Continuance of after-school activities	1	5	5	2	5	3	5		5	2	5	5	5	5	5	5
13. Eligibility for professor	1	2	5	1	5	2	1		2	1	2	2	1	5	2	1
Ⅱ Research																
1 Attitude toward experiment	3	5	5	2	5	3	1		5	3	3	5	5	5	5	5
2. Looking after researchers	1	2	5	1	5	1	1	2	5	1	2	5	2	5	2	2
3. Remarks at workshop, etc	1	2	3	1	2	3	1	2	5	1	1	2	1	5	2	1
4. Presentation at international conferences	1	5	5	1	3	2	1	1	5	2	5	5	5	5	5	1
5. Research evaluation in academic conferences	1	2	3	1	3	2	1	1	5	2	3	5	2	5	5	2
6. Administrator of academic conferences	1	2	5	1	2	2	1		5	2	5	5	5	5	5	2
7. English ability	1	3	5	1	5	3	1	2	1	1	1	5	1	5	5	1
8. Research ability	1	5	5	1	3	2	1	1	5	2	2	5	1	5	5	1
9. Eligibility for research leader	1	5	5	1	3	2	1	1	5	1	2	5	1	5	5	1
Ⅲ Clinical Service																
1 Carefulness about patient's talk	2	5	2	5	5	2	1	1	2	1	2	2	2	5	2	2
2. Trust of patients and their family members	1	5	2	2	5	2	1	1	1	1	2	5	5	5	2	2
3. Behavior toward nursing staff	1	5	3	2	5	2	1	1	2	2	2	2	2	3	1	3
4. Trust of nursing staff	1	5	3	2	5	2	1	1	2	1	2	5	2	3	1	2
5. Clinical skills	1	1	5	1	3	1	1	1	2	2	2	2	1	5	1	2
6. Behavior during surgery	2	2	3	1	5	2	1	2	2	2	2	5	2	3	2	2
7. Participation in surgery	1	2	2	1	5	1	1	2	1	1	1	5	1	2	1	2
8. Communication with staff of other departments	1	2	3	5	5	2	1	1	1	1	2	2	1	2	2	1
9. Eligibility for clinical leader	1	2	5	1	3	1	1	1	1	1	2	2	1	3	1	1

Ⅳ **Committees and meetings**																
1 Attendance at meetings	2	2	3	2	5	2	2	2	5	2	2	5	2	5	5	5
2. Punctuality for meetings	2	2	3	2	5	2	1	2	5	2	2	5	5	5	5	5
3. Remarks at meetings	1	3	4	2	5	2	2	2	5	2	2	5	1	5	5	5
4. Chairing meetings	1	5	4	5	5	5	2		5	5	5	5	5	5	5	5
5. Leadership	2	5	3	2	5	3	1	2	5	5	2	5	5	5	5	5
6. Influence of remarks	1	2	3	2	5	2	1		5	5	2	5	2	5	5	5
7. Deadlines of documents	2	5	5	1	5	3	1	2	5	2	5	5	5	5	5	5
Ⅴ **General Matters**																
1 Personality type	1	3	2	2	4	2	1	1	2	2	3	3	2	3	2	2
2. Appearance	2	3	3	2	3	3	1	1	2	2	2	3	3	4	4	3
3. Cheerfulness	3	3	3	3	4	2	2	2	1	1	1	2	2	2	1	1
4. Strange behavior	1	1	2	1	5	2	1	1	5	1	1	3	2	5	2	2
5. Mental problems	1	1	1	1	3	1	1	1	1	1	1	1	1	3	1	1
6. Sexual harassment	1	1	1	1	3	1	1	1	1	1	1	3	1	1	1	1
7. Money trouble	1	1	1	1	3	1	1	1	1	1	1	3	1	3	1	1
8. Personality defects	1	1	2	1	3	1	1	1	1	1	2	2	1	3	1	1
9. Tolerance	1	2	5	2	4	3	1	1	1	2	2	2	2	3	1	2
10. Eligibility for professor	1	2	2	1	4	2	1	1	1	1	2	2	1	5	1	1
Ⅵ **Relation to the applicant**																
1 Relationship																
2. Hierarchical relationship																
3. Closeness of relationship																
Ⅶ																
Professional affiliation and occupation of respondent																

Ⅶ

A) University・Internal Medicine・Doctor
B) University・Surgery・Doctor
C) University・Internal Medicine・Non-doctor
D) University・Surgery・Non-doctor
E) Institute other than university・Internal Medicine・Doctor
F) Institute other than university・Surgery・Doctor
G) Institute other than university・Internal Medicine・Non-doctor
H) Institute other than university・Surgery・Non-doctor

Appendix 2

Confidential

Questionnaire about personality of applicant for Hirosaki University School of Medicine

Please answer following questions about Professor _____, _____ University.

Note:

1. Please answer following questions based on the relationship of you and him/her. Please check an answer for each item.

2. If you think it is not appropriate to answer this questionnaire, please return this form unanswered.

3. Your name will remain confidential.

Ⅰ Education

1. Is he/she enthusiastic about education?
   1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

2. Is he/she well organized for class sessions?
   1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

3. Is he/she punctual to classes?
   1) Always 2) Almost always 3) Usually 4) Rarely 5) No idea

4. Does he/she cancel his/her classes?
   1) Never 2) Rarely 3) Occasionally 4) Frequently 5) No idea

5. Does he/she speak clearly and loudly enough in his/her classes?
   1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

6. How does he/she mark exams?
   1) Very severely 2) Severely 3) Moderately 4) Too generously 5) No idea

7. Does he/she enthusiastically instruct students in (clinical) training classes?
   1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

8. Does he/she communicate with students after school hours?
   1) Students visit his/her office quite often. 2) Students often visit his/her office.
   3) Students sometimes visit his/her office. 4) Students never visit his/her office. 5) No idea

9. Is he/she popular among students?
   1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

10 Is he/she respected by students?
   1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

11. Is he/she responsible for supervising after-school activities?
   1) More than two activities 2) One activity 3) No activity 4) Refuses the duty
   5) No idea

12. Does he/she actively continue the after-school activities in his/her college years after graduation?
   1) Greatly 2) Considerably 3) Moderately 4) Not at all 5) No idea

13. Is he/she eligible for the role of educational leader?

1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

Ⅱ Research

1. How often does he/she perform laboratory experiments?
1) More than 3 days a week 2) 2 days a week 3) Occasionally 4) Not at all
5) No idea

2. Does he/she look after his/her fellow researchers?
1) Greatly 2) Considerably 3) Moderately 4) Not at all 5) No idea

3. Does he/she make remarks at seminars and discussions?
1) Quite often 2) Often 3) Occasionally 4) Not at all 5) No idea

4. How often Does he/she make presentations at international academic conferences?
1) More than two times a year 2) Once a year 3) Once in two or three years
4) Rarely 5) No idea

5. How Is his/her research evaluated in the school or the academic sector?
1) Very highly 2) Highly 3) Moderately 4) Little 5) No idea

6. Does he/she play a roll of a chair, presenter, organizer, or director in academic conferences?

1) Quite often 2) Often 3) Occasionally 4) Little 5) No idea

7. How well does he/she speak English?
1) Very fluently 2) Fluently 3) Moderately 4) Little 5) No idea

8. How good is his/her research ability?
1) Very high 2) High 3) Average 4) Low 5) No idea

9. Is he/she eligible for the role of research leader?
1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

Ⅲ. Clinical Service

1. Does he/she listen to patients carefully?
1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

2. Is he/she trusted by patients and their family members?
1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

3. How does he/she behave to nursing staff and co-medical staff?
1) Very calmly 2) Calmly 3) Ordinarily 4) Sometimes roughly 5) No idea

4. Is he/she trusted by nursing staff and co-medical staff?
1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

5. How good are his/her clinical skills?
1) Very high 2) High 3) Average 4) Low 5) No idea

6. How does he/she behave during surgery?
1) Very composedly 2) Composedly 3) Ordinarily 4) Sometimes gets upset
5) No idea

7. How does he/she participate in surgery?
1) Very actively 2) Actively 3) Ordinarily 4) Reluctantly 5) No idea

8. How does he/she behave to the doctors of other departments during surgery?
1) Very cooperatively 2) Cooperatively 3) Ordinarily 4) Non-cooperatively 5) No idea

9. Is he/she eligible for the role of clinical leader?
1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

Ⅳ. Committees and Meetings

1. Does he/she attend committees and meetings?
1) Always 2) Almost always 3) Usually 4) Rarely 5) No idea

2. Is he/she late for committees and meetings?
1) Not at all 2) Rarely 3) Occasionally 4) Usually 5) No idea

3. Does he/she make remarks at committees and meetings?
1) Actively and good remarks 2) Actively 3) Occasionally 4) Rarely 5) No idea

4. Does he/she serve as a chair of committees and meetings?
1) More than two organizations 2) One organization 3) No, but once 4) Not at all
5) No idea

5. Does he/she play a leading role in committees and meetings?
1) Very actively 2) Actively 3) Occasionally 4) Little 5) No idea

6. Is his/her opinion considered important by members of committees or meetings?
1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

7. Does he/she keep deadlines of documents and reports?
1) Always 2) Almost always 3) Usually 4) Rarely 5) No idea

Ⅴ. General matters

1. Which expression will you choose for describing his/her personality (Choose one from options belo w)?
1) Greatly balanced 2) well balanced 3) Ordinary 4) Easily gets irritated 5) No idea

2. How is his/her appearance?
1) Very neat 2) Neat 3) Ordinary 4) Not care about appearance 5) No idea

3. Is he/she cheerful or not?
1) Very cheerful 2) Cheerful 3) Ordinary 4) Not cheerful 5) No idea

4. Does he/she behave strangely?
1) Never 2) Almost never 3) Rarely 4) Occasionally 5) No idea

5. Have you heard that he/she suffered from mental illness including neurosis?
1) No, I haven't. 2) Yes, I have. 3) No idea

6. Have you heard that he/she sexually harassed anyone?
1) No, I haven't. 2) Yes, I have. 3) No idea

7. Have you heard that he/she had money trouble with anyone, such as business acquaintances?
1) No, I haven't. 2) Yes, I have. 3) No idea

8. Does he/she have any defects in his/her personality?
1) Never 2) Almost never 3) Acceptable ones 4) Serious ones 5) No idea

9. Does he/she treat others with tolerance?
1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

10. Is he/she eligible for the role of professor?
1) Greatly 2) Considerably 3) Moderately 4) Little 5) No idea

Thank you very much for your cooperation.
After completing the questionnaire, please sign your name below.

Cut here

Your answers for the questions below and your name will be kept confidential. Only the chair of this sel ection committee will have access to your information.

Last questions;

1. What is your relationship to the applicant?
A) Colleague B) Former colleague C) Acquaintance at academic conferences
D) Near stranger E) Total stranger

2. What is your hierarchical relationship to the applicant?
A) Higher (Superior, advisor, senior associate, etc) B) Equal (Colleague, classmate, etc)
C) Lower (Subordinate, junior associate, etc)

3. How well do you know the applicant?
A) Very well B) Fairly well, through talks at academic conferences and meetings
C) By name and sight D) Not so well E) Not at all

Date:

Your organization

Your signature

Kobe University

Lessons Learned from the University of Brighton

On

Human Resource Management

A Report of Study Visit by Kobe University Team

July 2003

Introduction

This report is one of the products from Japan-UK HE Change Management Project. As a part of this project, we had the opportunity to visit the University of Brighton, a British counterpart of ours, in the mid-December, 2002. It was the great opportunity for us to talk with people there who are involved in managing the University at the various levels. We are grateful to those people who took their time for us, and made our visit very fruitful. To name a few, Sir David Watson, the Vice-Chancellor, not only educated all of Japanese participants about what is happening now in UK higher education at the headquarter of British Council in London, but told us the true story about being the CEO at higher education institution over the decade at a lovely small Italian restaurant in Brighton. Mr. David House was also very helpful and played a role of the liaison person between Brighton people and us so that we could use our time very effectively and efficiently while we were staying in Brighton for only three days, along with many duties as the Deputy Vice-Chancellor there. We also acknowledge their cooperation and enjoyed very cheerful conversation with Professor Stuart Laing, the Pro-vice-Chancellor for Academic Affairs, Professor Fred Maillardet, Dean of the Faculty of Science and Engineering, Ms. Christine Moon, Registrar and Secretary, and Ms. Jo Dowson, Director of Personnel Department. Through the conversation with these people, we could not only become familiar with the management system of the University but also were very impressed by their ways to deal with the tasks professionally and their confidence in themselves as the professional managers at their own organizational positions. In addition we found a strong linkage between Brighton and Kobe when Professor Bruce Brown, Dean of the Faculty of Arts and Architecture, mentioned the name of our colleague whom would be invited to the University of Brighton as a visiting scholar next year. Finally but not in the least, we appreciate people of HEFCE and British Council for their coordination and cooperation. Without their sponsorship, this report would not be possible.

This report is divided into five parts. The part one will describe and compare the basic features and histories of both Brighton and Kobe in order to highlight the similarities as well as differences between both institutions. The second part will deal with the governance and management structure of Brighton with the intension to benefit for planning of the management system at the National University Corporation. The third part is the report for our main assignment to study the human resource management system at Brighton. Fourth we will mention to the system of quality assurance of Brighton briefly since in Japan to assure the quality of teaching and research institutionally and nationally is expected to become increasingly critical. Finally we conclude our report with summarizing what we learned from the University of Brighton.

Brief Comparison

The University of Brighton and Kobe University have some in common in a sense that both universities have amalgamated with other higher education institutions many times in their histories, thus consist of many faculties and schools, each of which has distinctive history and culture. (Table 1) Differences rather than similarity, however, must be taken into account if Kobe would like to learn seriously from Brighton.

First, Brighton is a"post 1992 university". Before 1992 Brighton had been a polytechnic under the control of the local government. On the other hand Kobe has already had university status as the national university since 1929 under the old education system through the present. This different historical development as a university makes a difference in the academic priority of each institution. In its mission statement Brighton emphasizes "special strengths in professional and vocational education, applied research and consultancy" while Kobe identifies itself as one of the best "Research Universities" in Japan. In fact, Kobe produced 230 PhDs with 1,128 MAs and 2,657 BAs in 2002. In contrast Brighton produced only 15 PhDs with 333 master degrees including 55 MBAs and 2,413 first degrees (BA) in 1999/2000.

Secondly, Brighton has been given the university status in 1992 as just mentioned above, thus has the legal personality and is incorporated. Kobe, however, is not given the legal personality yet at the moment when this report is being written. Legally any national university in Japan including Kobe is considered as the part of the national government. The difference in legal status of each institution brings the quite different ways in the governance and management of the both universities described later.

Finally, although the budget of Kobe (57,802 million JPY in 2002) is three times more than that of Brighton (16,944 million JPY or 84.7 million GBP in 2002), the proportion of expenditure for human resources is higher at Brighton (58%) than at Kobe (45%).

Table 1　Brief History of Brighton and Kobe

Year	Brighton	Kobe
1859	School of Arts opened	
1874		Hyogo Prefectural Normal School　Opened
1897	Municipal technical College Opened	
1902		Kobe Higher Commercial School opened
1909	Teacher Training College opened	
1910		Special Division of Hyogo Prefectural School of Agriculture opened
1921		Kobe Technical College opens
1923		meji High School opened
1929		Kobe University of Commerce opened
1944		Renamed to Kobe University of Economics
1949		Kobe University opens under new education system with faculties of Arts and Sciences, Education, Law, Economics, Business Administration and Engineering
1964		Merged with Hyogo Prefectural College of Medicine
1966		Merged with Hyogo Prefectural College of Agriculture
1970	Brighton's College of Technology and School of Arts merge to form Brighton Polytechnic	
1976	Merged with Teacher training College	
1979	Merged with East Essex College of Higher Education	
1992	Given the university status as the University of Brighton	
1993	Merged with Sussex and Kent Nursing and Midwifery	
2003	Establish Brighton and Sussex Medical School	Merged with Kobe University of Maritime
2004		Incorporated as the National University Corporation of Kobe

Table 2 Organization of Brighton and Kobe

Brighton		Kobe		
Faculty	School	Faculty	Undergraduate School “Gakubu”	Graduate School “Kenkyuuka”
Arts and Architecture		Letters	Letters	Letters (MA only)
	Architecture and Design	Cross Cultural Studies	Cross Cultural Studies	
	Arts and Communication			
	Historical and Critical Studies	Human Development	Human Development	
Education and Sport		Law	Law	Law
	Chelsea School	Economics	Economics	Economics
	Education	Business Administration	Business Administration	Business Administration
	Languages			
Health		Sciences	Sciences	
	Applied Social Sciences	Medicine	Medicine	Medicine
	Health Professions	Engineering	Engineering	
	Nursing and Midwifery	Agriculture	Agriculture	
	Postgraduate Medical School	Humanities and Social Sciences		Humanities and Social Sciences
Management and Information Sciences		Cultural Studies and Human Development		Cultural Studies and Human Development
	Brighton Business School			
	CENTRIM			
	Computing, Mathematical and Information Sciences	Sciences and Technology		Sciences and Technology
	Service Management	International Cooperation Studies		International Cooperation Studies
Science and Engineering				
	Engineering			
	Environment			
	Pharmacy and Biomolecular Sciences			
	IT Research Institute			
Brighton and Sussex Medical School				

Organization and Size

The numbers of students are almost the same for both universities, but the proportion of the graduate students of Kobe is almost doubled compared to Brighton reflecting the difference in their mission as mentioned above. Brighton enrolls 18,600 students and 85% of that number is the undergraduate student. Interestingly 35% of total students are part-time students and 55% are over 21 years old on entry and 62% are female students. On the other hand Kobe enrolls 11,959 students for undergraduate programs (74%) and 4,222 students for postgraduate programs (26%). And all of them are full-time students and female students account for 35%.

Brighton employs about 820 academic staff and 1,090 non-academic staff- while Kobe does 1,310 and 1,178 respectively.

The organization of Brighton and Kobe is slightly different. Brighton's principal organizing units are the faculty, the school and the department. The University has five faculties and each faculty is comprised of several schools with many departments. Faculties, each led by a Dean, have responsibility for strategic planning and quality assurance, while schools, led by Heads of School, take responsibility for the delivery of teaching and research, and for the management of resources.

In contrast at Kobe the basic organizing units are "Gakubu" or school and "Kenkyuuka" or graduate school. There are 10 schools and 9 graduate schools. "Gakubu" offers undergraduate programs and "Kenkyuuka" offers postgraduate programs. Any academic staffs belong to one of "Gakubu" or/and "Kenkyuuka" and each of these has their own faculty as a governing body.

Budget

The total revenue of Brighton for FY 2002 is 80,642,000 GBP. Brighton's main sources for the revenue are government (or HEFCE), students, research councils and own earnings. Among these sources funds from HEFCE for teaching is the biggest and accounts for 46% followed by fees from the students (33%) and income generated by trading and catering (14%). Grants from research councils accounts for 5%. In return Brighton spends 84,721,000 GBP. This figure means there is the deficit and this red is made up by selling the assets and by transferring from the reserve and this financial management resulted in asurplus in the end. The most expensive cost is staff salary (58%) followed by operating costs (34%).

In the case of Kobe the financial system is a little bit complicated. The total revenue of Kobe for FY 2001 was 25,584 million JPY. More than half of them (57%) come from the University Hospital followed by tuition fees and entrance examination fees (34%). These incomes, however, are sent back to the government and in return the government provides the budget necessary to run the University including staff salary and funds to construct the buildings and to maintain the facilities from the government's National School Special Account. The budget provided by the government for FY 2001 amounted to 57,802 million JPY or about 304 million GBP. In addition Kobe earned 351 million JPY from external sources such as Grant-in aid for Scientific Research, Contract Research and Joint Research with Industry. After incorporation the University can keep income from the University Hospital and tuition fees from the students. But even after including external funding, the amount of money Kobe University can generate by itself accounts for just more than half necessary for running the University. The government would provide the rest of the budget as the block fund based on the numbers of students and staffs taking account of historical development of each university. The government promises to provide the fund as much as that of the University is currently receiving for a while, but it does not guarantee forever. Thus the University needs to expand and diversify its financial sources.

Table 3 Structure of Finance at Brighton (2002) at Kobe (2001)

(1,000GBP)

(1GBP=190JPY)

		Brighton	Kobe
Revenue			
Total By Sources		80,642	134,000
	Funding Council (Teaching)	37,401	
	Fee from Students	26,878	
	Research Fund	4,029	
	Others (Trading & catering etc.)	11,627	
	Interests earned	711	
Expenditure			
Total By Sources		84,721	304,000
	Staff	49,000	
	Depreciation	5,544	
	Operating	28,591	
	Interests payable	1,586	
Current Balance		-4,079	
Transfer from			
	Selling assets	5	
	Reserve	4,326	
Final Balance		252	

Corporate Governance

As outlined in history section the University of Brighton is former Brighton Polytechnic and was given university status in 1992, that is, post 1992 university. Thus the supreme governing body of the corporation is the Board of Governors, which is responsible for "the determination of the educational character and mission of the University and for the oversight of its activities" and "the effective and efficient use of resources, the solvency of the institution and for safeguarding its assets". More specifically the Board of Governors has the responsibility for approving annual estimates of income and expenditure, the appointment, grading, suspension, dismissal and determination of the pay and conditions of service of the Director (Vice-Chancellor), the Clerk (Secretary) to the Board of Governors and the holders of such senior posts as the Board of Governors may determine. It shall be also responsible for setting a framework for the pay and conditions of other staff. In the exercise of its power, the Board of Governors shall have due regard to the advice of the Director (Vice-Chancellor) and of the Academic Board with regard to matters within their respective terms of reference.

The Board of Governors is comprised of 20 members selected from diverse constituencies as follows,

(1) Twelve independent members, from whom the Chairperson and the Deputy Chairperson are elected,

(2) Two teachers at the University nominated by the Academic Board,

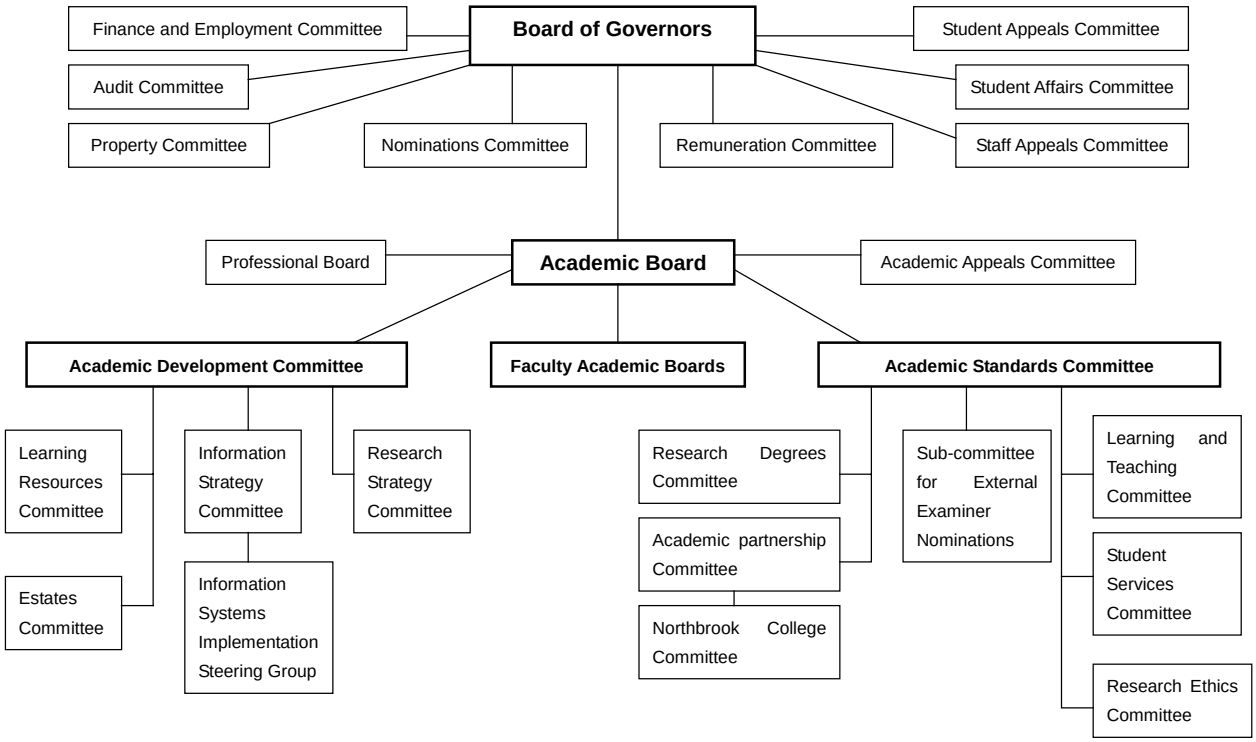
(3) One Student of the University nominated by the students,

(4) Four co-opted members, of whom are two university staff, one student and the Vice-Chancellor of the University of Sussex,

And

(5) The Vice-Chancellor.

The term of appointment of each member is for three years and could be reelected three times. The Board of Governors meets five times annually, but the actual business is delegated to eight committees. The most important committee is the Finance and Employment Committee, which discusses and advises the Board on long-term policies.



Academic Governance

The supreme governing body for the academic matters is the Academic Board. The Academic Board is responsible, subject to the requirements of the validating and the accrediting bodies, for,

- general issues relating to the research, scholarship, teaching and courses at the institution, including criteria for the admission of students
- the appointment and removal of internal and external examiners
- policies and procedures for assessment and examination of the academic performance of students
- the content of the curriculum
- academic standards and the validation and review of courses
- the procedures for the award of qualifications and honorary academic titles
- the procedures for the expulsion of students for academic reasons

The Academic Board shall also have the responsibility for considering the development of the academic activities of the University and the resources needed to support them and for advising the Vice-Chancellor and the Board of Governors thereon and for advising on such other matters as the Board of Governors or the Vice-Chancellor may refer to the Academic Board.

The Academic Board is comprised of 36 members, of who is the Vice-Chancellor as the chairperson, the Deputy Vice-Chancellor, two Pro-Vice-Chancellors, the Registrar, the Director of Finance, five Deans from each faculty and other members including non-academic staff and the students.

The members of the Academic Board meet four times a year. Under the Academic Board there is the Academic Development Committee as a kind of a steering body of the Academic Board. This committee is comprised of six Senior Management Team members, all deans, one head of a School from each Faculty, Director of Information Services, Head of Strategic Planning Unit, Head of the Estate and Facilities Management and two students appointed by the Students' Union. The Deputy Vice-Chancellor sits at this committee as the chairperson. This committee is the most vital body of the University as the academic enterprise since this committee would

(1) advise the Academic Board on the development of the academic activities and the future academic direction of the University taking account of all relevant factors;
(2) advise the Academic Board on the level of resources necessary to support the academic activities and planned development of the University;
(3) contribute to the regular appraisal and revision of the Institutional Strategic Plan and the annual review, amendment and incorporation of area plans in the light of the University's mission, corporate goals and any other internal and external factors;
(4) be the senior committee for, and receive regular reports from the Estates, Information Strategy, Learning Resources and Research Strategy committees;
(5) advise on any matter at the request of the Academic Board or the Vice-Chancellor.

In other words, this committee has the power to decide the opening or the closing of the programs taking account of the change of the environments and students' needs.

Management of the University

The everyday management of the University is executed by the Senior Management Team, which is made up by the Vice-Chancellor, the Deputy Vice-Chancellor, two Pro-Vice-Chancellors, the Registrar and the Director of Finance. The members of the Senior Management Team meet every Monday morning and make decisions on the operation of the University. Beside this the University Management Team, which includes the Senior Management Team ,five deans, and the Heads of Strategic Planning and Information Services, meets on every third Monday in term-time to discuss on the broad range of the issues related to the university operation.

At Brighton all members of the University Management Team are appointed permanently. In fact the Vice-Chancellor, the Deputy Vice-Chancellor, Pro-Vice-Chancellors and three of the five deans have been their positions for more than 10 years. This long association of senior members with the University creates the togetherness and we-feeling among the members and makes the Management Team cohesive and contributes to the stable and consistent management and operation of the University. Unlike Brighton at most of the old universities the Vice-Chancellor and other senior university managers are elected by the faculty members and would serve for fixed term.

Management of the Faculty

At each Faculty the Dean is the academic leader and the manager and there is the Faculty Academic Board as the decision making body for the Faculty. Unlike that of Kobe, all faculty members are not the members of the Faculty Academic Board. Depending on the size of the faculty, the Faculty Academic Board consists of 15 to 20 members and they meet five or six times a year.

The Dean and the Heads of the Schools are the Faculty Management Team and this Team meets regularly to discuss the issues related to the management of the Faculty. After incorporation as the University in 1992, financial authority was devolved down to the Faculties and the Schools, but the administration was centralized in order to deal with the many governmental initiatives. Today more than 50 % of all non-academic staffs are working in central depatments. The faculty has only a few staff and the School has a couple of administrative staffs and a dozen of technicians.

Planning Process

The University of Brighton produces its six-year Corporate Plan in rolling base. To prepare the next Corporate Plan the Senior Management Team discusses the outline of the Corporate Plan and makes a draft. Then this draft would be put on the agenda of the Faculty Academic Board. The opinions and comments from the Faculties are sent to the Strategic Planning Unit at the Central Administration and this unit produces the discussion paper for further consideration.

After the production of the discussion paper the Senior Management Team consults the Academic Development Committee and makes the final draft. This final draft would be sent to the Board of Governors and the Academic Board and both Boards discuss and approve with or without any amendment. If the conclusions of both Boards were not the same, the joint committee would be held to resolve the difference. It took 18 months for new Corporate Plan for 2002-2007 to be approved.

Most interviewees stressed “ownership” of the Corporate Plan by giving every member of the university community the opportunity to participate in the process of producing the Corporate Plan. At the same time, however, they also mentioned that the Corporate Plan, which every member could support, is not distinctive for Brighton in all respects.

The Strategic Planning Unit plays a vital role in the process to produce the Corporate Plan, although this unit has only five staffs including the director who was previously the chief planning officer at the Further Education Funding Council.

Organization

The term "human resource management" is rather new one to the university community even in UK. A concept of staff as human resource for the university implicates the introduction of the notion of the efficient management of staff into the university as in the industry. At Brighton the term "human resource" is not officially accepted yet. Therefore under the jurisdiction of the Deputy Vice-Chancellor there is "Personnel" Department. There are 25 staff working for this department under the head of the department, Ms Jo Dowson. Except assistants all other staffs are professionally qualified, which means they are the members of the Chartered Institute of Personnel and Development (CIPD).

The basic policy for employment including payment except for the salaries of the Vice-Chancellor, the Deputy Vice-Chancellor, Pro-Vice-Chancellors and the Director of Finance which are determined by the Remuneration Committee, is set by the Board of Governors based on the advice from the Finance and Employment Committee of the Board. And the Deputy Vice-Chancellor and the Personnel Department carry out the making of detailed policies and implementing them.

Staffing Policy

The University of Brighton has published *Staffing Strategy and Specific Plans for 2001-4*, which, as in the other policy documents, is firmly based on the University's mission stated in the University's *Corporate Plan for the period 2000-2004*. The mission of the University of Brighton is as follows:

The University of Brighton is dedicated to the discovery of knowledge, the testing of received knowledge and the creative, responsible and effective application of knowledge. It seeks to be an accessible, dynamic and responsive community of higher education with special strengths in professional and vocational education, applied research and consultancy.

Accordingly, the University does not see its staff as human resources but rather as members of a learning community. This recognition reflects in the title of the document and the name of the department unlike many other universities, which publish *The Human Resources Strategy* and have the Department of Human Resources Management.

In addition to the mission statement, the University also affirmed a set of core values, which have guided any activity of the University since its incorporation in 1989:

- not to discriminate unfairly either directly or indirectly against members or prospective members of the community;
- to acknowledge and value corporate independence and to accept the responsibilities and rights it embodies;
- to values freedom of thought and its appropriate expression;
- to encourage the participation of members of the university community in its corporate activities and its decision-making processes;
- to balance the need for strong leadership and effective management with the need to promote team working and extensive participation in planning and policy making;

・to adopt approaches to grading, promotion, payment and reward which are fair, and which value long-term development and commitment over short-term targets and performance.

The mission together with core values leads to the setting of the strategic objectives in human resources management at Brighton. Some of them that are identified in *Staffing Strategy and Specific Plans for 2001-4* are as follows:

(1) To recruit and retain staff of high quality who will contribute strongly to the university's plans and strategies.

To achieve this object, the University will hire a fixed term Recruitment Strategy Manager to review its whole process of staffing activities and will use the Internet for advertisement to fill vacant posts as the effective way to recruit the quality staff together with thematic advertising, attendance at recruitment fairs, an open days and production of publicity information.

(2) To support the personal and professional development of all members of the community.

A higher priority is identified as supporting academic staff to engage in research. To achieve this aim, a significant proportion of the HEFCE funds will be allocated to enable staff to be released from teaching and other duties in order to undertake focused research; staff and professional development activities; study leave; job exchanges, secondments and transfers with other HEIs and industry, business or commercial organizations.

The University is also committed to developing increased professionalism in teaching and learning support by providing high quality professional development courses accredited by ILT (Institute for Learning and Teaching in Higher Education) such as "Postgraduate Certificate in Learning and Teaching in Higher education" and "MA in Academic Practice".

The University's commitment to supporting professional development of staff is not limited to academic staff. The University has also plans in place to have the pilot program to develop leadership for senior staff and middle managers across the university.

(3) To encourage flexible approaches to roles and duties, within a framework, which offers clear guidance on individual responsibilities.

Although every job is specified with duties and responsibility, the University is now trying to reexamine the staffing structures and roles, which were inherited from the local public sector to see whether or not these structures and roles are adequate to deal with the changing demands after incorporation as the university by introducing the Higher Education Role Analysis System (HERA).

The University even tries to take a further step to improve effectiveness of the management by introducing job rotating system for administrative staff in order to enhance career development and to establish greater mutual understanding and information about different roles across the university, which Kobe has been practicing for long time as described in *Current System of Human Resource Management at Kobe University*.

Staff Handbook

The Personnel Department publishes and distributes a voluminous *Staff Handbook*. This handbook describes in detail such issues as Appointment of staff, Pay and hours of work, Travel, Employment relations procedures, Trade unions, Health and safety, Retirement, Training and development, Other policies and regulations and General information, facilities and university maps. With regard to recruitment of staff, another document titled *Staff Recruitment and Selection Guide* is prepared by the Personnel Department.

Recruitment

All new and vacant or replacement posts are advertised locally and nationally through the newspapers and other specialist publications. Details of vacancies are circulated internally and posted on the University's web site including such information as a general introduction of the University, the Faculty and the School, the possibility of job sharing, job description, selection criteria, hours of work, the salary, professional development scheme, and terms and conditions. For all faculty posts, these details of the vacancies are also advertised on the jobs.ac.uk higher education web site. The University's own vacancy web site in the Personnel Department web site at www.brighton.ac.uk/vacancies/ shows further particulars and application forms which can be downloaded.

All new or replacement faculty posts should be approved by the Senior Management Team well in advance. All other posts are required for approval of the head of budget unit. Advertisement and all other procedures for recruitment and selection are handled by the Personnel Department. When a teaching post is to be advertised, the Personnel Department will notify the chairperson of the appointing committee the action to be taken. For all non-teaching posts the composition of the appointing committee is up to the head of the unit. Posts funded by the external sources are not necessarily followed the process described above.

Working conditions and duties for teaching staff

As specified in *Staff Handbook*, the standard working hours per week for administrative, professional, technical and clerical staff (APTC) is 37 hours and for craft and manual worker is 39. For teaching staff, however, because of the nature of their work, the Code of Practice for lectures is prescribed.

According to the Code of Practice, "the Working Year" will run from 1 September through 31 August and out of this working year the University require all lecturers to engage in teaching for 34 weeks as "the Teaching Year", which is divided into three terms for its standard courses. The teaching year should not exceed 38 weeks and staff will not be required to teach more than 14 consecutive weeks. If he or she teaches 14 consecutive weeks, he or she may be entitled to a minimum of one-week break before he or she starts to teach again. The rest of the teaching year is supposed for the teaching staff to engage in the areas of their duties and responsibilities, predominantly research and scholarly activity.

And the working hours is not specified for lecturers because the nature of teaching posts makes inappropriate to define the total hours to be worked in a week and we expect them to work such hours as that reasonably necessary in order to fulfill their duties and responsibilities. However, the University reasonably expects the normal weekly working hours of lecturers to be 37 hours as of the administrative staff while actually lecturers are working 48 hours per week on average. To teach more than two sessions in any one-day and more than 18 hours in any week is prohibited and the total teaching responsibility should not exceed 550 hours in any teaching year. Within the university-wide regulation, duties and responsibilities of each lecturer will be determined through the consultation with the department head depending on the subject areas every year. For the new lecturer the teaching duty may be reduced in the region of 25 % of the full-time lecturer's duties.

Annual staff development review (SDR)

The main purpose of the annual review is to promote staff development. Other purposes are to help individual members to develop their own careers inside or outside of the University, to identify changes in the organization and operation of the department, the school or the University which may lead to the improvement of individual performance, to identify and develop potential for promotion, and to improve the efficiency and the effectiveness with which the department, the school or the University is managed.

Both at the beginning and at the end of the working year the staff and the supervisor sit together and discuss each other about the goals for the forthcoming year and the achievements for the past year.

In the case of the teaching faculty, the areas of the activities reviewed include teaching, research and scholarly activity, other academic duties such as curriculum and course development, staff development including attendance at courses and conferences, industrial liaison and consultancy, and external examining, managerial and administrative duties, admission tutors, course leadership, and research degree supervision. Prior to the interview with the supervisor each faculty member must submit a factual report in the last year with regard to teaching undertaken, publications accepted or other research in progress, offices undertaken and other activities. At the interview each lecturer and his or her supervisor, usually the head of the department, discuss and confirm the degree of the accomplishment in the last year and the goals to be achieved in the forthcoming year in each activity area. Based on the agreed goals for the next year the proportion of time to be devoted to each of these activities is determined.

For administrative, professional, technical and clerical staff the achievement is reviewed whether or not the job specified for the post was performed satisfactorily. So far the result of the annual review is not linked to the merit pay. In the case of the teaching faculty, the result is taken into consideration to allocate time for research, travel expense and research funds.

Staff development

Staff development at Brighton is seen as the integral part of the working life of each staff of the University. Without it, the individual and the groups of staff could not develop their potential fully, thus the University's overall strategy and goals could not achieve either. To ensure all staff can understand the objectives of the University and possess the knowledge and skills necessary to realize these objectives, the University continuously support for staff development. Accordingly the purpose of staff development is to enable staff, individually and collectively, to improve their capability and competence in order to produce the benefit of the customers of the university, the members of the University and themselves.

Because the benefit for the staff and the University of staff development is interwoven and inseparable, both the individual and the University are very concerned with staff development. Each staff member has the right to expect the University to provide the opportunity and support for staff development such as the induction into the University to understand the working of the University and what they are expected by the University when they are employed, and the opportunities to develop new competencies and capabilities necessary to improve job performance and career advancement of individual members inside or outside of the University.

In return the University has also the right to expect all staff to commit themselves as the part of the contractual obligations to staff development activities such as developing of his or her competencies and capabilities aligned to the University's strategy and objectives, taking personal responsibility to keep update the

specific expertise relevant to the nature of his or her posts on a regular basis, participating actively in the University's annual development review as the opportunity to reflect individual past achievement and to prospect the action to be taken for the future, contributing to team staff developing at the department, the school, the faculty or the university, and keeping the record of individual's own staff development activity.

Staff development at Brighton is largely devolved down to individual faculties, schools and departments. Centrally, staff development is provided for a number of things, for example: corporate induction, the staff development review (SDR) process, together with a number of in-house programs and the fee waiver scheme. Staffs who apply to take in-house programs or the courses offered at the neighboring institutions such as the University of Sussex may be waived fees. Recently the University decided to cease recruitment to its Russian programme at degree level, and lecturers who taught Russian were trained to be able to teach English and the necessary cost was provided by the University.

In addition there are a number of the units, which provide special development programs. One of them is the Center for Learning and Teaching, which was established to support the professional development for academic staff to improve the quality of learning and teaching and to promote the importance of teaching as a professional activity. The Center provides the wide range of staff development programs from courses such as Postgraduate Certificate in Learning and Teaching in HE for newly appointed academic staff, MA in academic Practice (MAAP) for more experienced staff and Teaching in Higher Education Short Course, to consultancy. The Center also promotes peer observation of teaching in order to encourage individual teaching faculty to continuously review, improve and update the quality and effectiveness of their teaching competencies, which in turn will contribute to improve the quality of education at Brighton.

One of the activities to promote the importance of teaching and to improve the quality of education is the Teaching Excellence Award, which rewards lecturers who show enthusiasm for their subject, their willingness and ability to explain difficult concepts clearly, and their concern for students' welfare and intellectual development. For the year of 2002/3 six lecturers won this Award and are given a personal award of £3,000, with a further £2,000 for their School to spend on teaching resources.

Today it is critical for the University to secure fund from the second and third legs to keep financial health. The University recognizing these challenges recently established "virtual research support unit" which gives advice to academic staff on how to apply for research funds. It is also tough challenge for the senior staff to manage the university effectively and efficiently in the fast changing and very competitive environment. The University runs the programs for leadership and middle management training and development such as the Management Forum and the Senior Staff seminars.

Quality Assurance

To assure the quality of learning and teaching at higher education institutions is urgent issue both in UK and Japan. At Brighton many organizations are responsible for maintaining and improving the quality of education there. Academic Standards Committee is the principle body responsible for assuring the quality of education. This committee is comprised of the Vice-Chancellor, Pro-Vice-Chancellor in charge of academic affairs, deans, academic staff and representatives of the student body. This committee regularly reviews the quality of the subjects and courses currently offered at Brighton based on the self-study reports submitted by the units concerned. When the School or the Department has the plan to develop the new course, the proposal should be submitted to and approved by the Academic Development Committee. And once approved by the ADC, the "course outline" prepared by the Course Development Team should be submitted to the Academic Standards Committee to be validated whether or not the proposed course is fulfilled the academic standard as the course offered in the name of the University of Brighton.

In the course of developing a new course the Academic Standards and Research section of the Registry will give useful advises and supports. This section, which is responsible for the academic quality of taught courses and research, is engaged in such activities as internal quality assurance, liaison with QAA and other external quality assurance agencies and administration of committees of the Academic Board other than the course development and approval, and monitoring the development of planned and current courses.

Conclusion

Even though the history and the mission of Kobe University are not alike to those of the University of Brighton, it was very fortunate for us to have the opportunity to visit the University of Brighton rather than visit the "old " university because Brighton was a former Polytechnic under the control of the local government and the University has managed to become a true university under the strong leadership and effective management together with the extensive participation by the all members of the university community. The situation in which Kobe University and other national universities are now is very similar to that of Brighton a decade ago.

As Brighton has struggled to depart from the bureaucracy to become the self-reliant academic community, many challenges will be waiting for us. To overcome these challenges, we need the strong institutional leadership while, at the same time, we must guarantee all members of the university community to participate in the planning and the decision making process. At this moment all national universities in Japan are struggling to develop new governing system under the new National University Corporation scheme to fulfill these two requirements necessary for the self-reliant university. The governing and management system of Brighton would be one of the models, which we might follow.

We learned secondly that the clear statement of the relatively unchangeable institutional mission and the goals to be achieved in the fixed period is necessary and indispensable to run the University effectively and efficiently. Without them we may waste time and resources in the time of economic difficulty. In this sense the introduction of the medium-term goals and plans required to submit by the MEXT for all National University Corporations is the good chance to think the future of us strategically. We must remind ourselves, however, we should have the sense of the "ownership" of the medium-term goals and plans rather than think of it to be forced to make them by the MEXT.

Finally we learnt the university is not a factory nor a company but a community. This remind us students and staff are the members of the community, not the resources to be exploited. The university is obliged to help to develop individual member's potential fully. In return individual members have to recognize that unless he or she have to contribute to achieve institutional aims and objectives actively, his or her goals could not be achieve either. In this sense the relationship between the university and members is mutually beneficial, thus the university must invest as much as resources to enable its staff to act competently.

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The University of Brighton, *Staffing Strategy and specific plans for 2001-4*

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Committee of University Chairman, *Guide for Members of Governing Bodies of Universities and Colleges in England, Wales and Northern Ireland*

Nagoya University

Outline of study visit

Project Members

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Hideaki Watabe (University Assessor; National Institute for Academic Degrees)

Dates

10th to 12th December 2002

Theme

Quality Assurance

University visited

University of Warwick (henceforth referred to as Warwick University)

Persons interviewed

Susan BASSNETT (Pro-Vice-Chancellor, Center for Translation and Comparative Cultural Studies)
John JONES (Pro-Vice-Chancellor, Professor of Mathematics)
Jim RUSHTON (Deputy Registrar)
Malcolm McCRAE (Chair of the Board of Graduate Studies)
Peter JEWEL (Assistant Director, the Centre for English Language Teacher Education)
John McELDOWNEY (Professor in Law)
Michael REDDISH(Lecturer in Law)
Richard SMITH(Lecturer in ELT/Applied Linguistics, the Centre for English Language Teacher Education)
Antony Gribbon (Director/ International Office)
Jon Inegbedion (Senior International Liaison Officer/ International Office)
Mandie DREW (Region Secretary for East Asia and Far East Asia/ International Office)
Marcus WILLIAMS (Acting China Liaison Officer/ International Office)
Kevin LAMBERT (Educational Consultant/ National Academy for Gifted and Talented Youth)
Masato KAMIKUBO(Graduate Student)

1. Status of Quality Inspections by Third Parties

The following is a simple summary of the recent history and trends relating to quality assurance systems in UK universities.

Quality assurance within UK university education has conventionally been implemented through the utilization of an external examiner system, allowing the self-assessment of universities on an individual basis. The national strategies that were introduced to tertiary education in the late 1980s and early 1990s as part of the implementation of public accountability systems in regard to taxpayers, along with the inclusion of non-university sector tertiary education polytechnic colleges into the university system, brought about significant changes to the self-assessment system. This was the start of the Quality Assessment system for tertiary education, involving a third party assessment agency.

The QAA (The Quality Assurance Agency for Higher Education) was founded in 1997, allowing educational assessments by third parties to be provided by a single, unified, specialist organisation. The QAA provides subject reviews for each faculty, as well as an institutional review of the university as a whole. The evaluation method used is a combination of peer reviews and self-evaluation documents (SEDs) applied to departments.

Subject reviews cover the six areas as follows:

Curriculum design, content, and structure

Tuition / learning processes, marking and evaluation

Student results

Student guidance and advice

Study resources

Management (organisational activities in regard to quality maintenance / improvements)

Evaluations are scored on four criteria (establishment of objectives / methods for objective attainment / educational resources for objective attainment / examination of levels and standards for objective attainment). The Agency's assessment examines organisational response from the first lecture given to students on entering the university, right through to the final examinations, based on the same four criteria indicated earlier in regard to subject reviews.

Subject reviews were carried out over a period of 8 years to 2001, covering all 42 subjects taught at UK universities, but since almost all universities met the required targets and almost no disparity was recorded, it was widely felt that the cost inefficiencies involved in the creation of self-assessment reports by many universities were unacceptable, and as of 2003, a new assessment system was introduced with the aim of reducing the burden of assessment work on the universities. As a result, subject reviews have been abolished and have been replaced by the self-assessments implemented to date by individual universities. Instead of this, the QAA now implements institutional audits under a newly devised system.

Under the new assessment system, an assessment team of between 3 and 7 members visits the university to implement a peer review, and evaluates whether the quality of education provided and the maintenance of standards are reliable, through interviews with staff and students. The results of this evaluation are published in printed form and on the internet. The new system emphasizes self-assessment by universities, with a built-in system for external assessors, and in fact shows no significant changes from the original system on which it was based. This essentially means that rather than focusing on the micro-organisational level of

individual departments, the university as a whole is the subject of the review, and as a result, the review aims to bring an effect on the level of education being offered by individual departments, as well as on the maintenance of standards.

This aim can also be understood from the three documents listed below, which were created to clarify the standards for agency assessments. These documents were not created with the intention of being enforced in regard to universities, but rather to provide a loose framework operating in a way that will facilitate quality and standards.

The Code of Practice for Assurance of Academic Quality

The Framework for Higher Education Qualification

Subject Benchmark Statements

The details of these documents are not to be discussed in this report, but since it is thought that they present much that is significant in regard to Japan's tertiary education institutions, we would advise readers to consider them on a personal basis.

2. Warwick University's Quality Assurance activities

1． Outline of Warwick University

Warwick University was founded in Coventry in 1964. It is known for its location in one of the UK's centers of business and industry, and also for the fact that Tony Blair referred to the university as 'a university of the future'.

The university consists of 10,904 undergraduate and 6,889 graduate students, giving a total student body of 17,793 (see chart 1). There are 3,567 overseas students. The university has a total staff of 4,000, of which 800 are academic staff engaged in both teaching and research, and 700 in research only. The university is of a similar scale to Nagoya University.

In financial terms, the university's gross income is 192 million GBP per year. Of this, 43.6 million GBP comes as a subsidy from the HEFCE (Higher Education Funding Council for England), and 48.6 million is provided by tuition fees. Competitive research funding makes up 28.1 million GBP (see chart 2). The fact that the university gains 70% of its income from profit-making activities marks it out as unique. These activities include short-term courses operated independently by the university, as well as research contracts, a management training center, conferences, product sales, and restaurants, among others.

Warwick University has an integrated teaching base, as shown in the departmental list in chart 3, according to which students can study humanities, social studies and natural sciences. It also runs the Warwick Business School and Science Park, and has notable links between its departments and the business and industrial world.

Warwick University maintains high standards of research. Its research has been evaluated by HEFCE, and almost all departments were scored with a 5 or 5* . Warwick was placed 5th nationally for research quality (Research Assessment Exercise 2001). Warwick was ranked by the Financial Times in 2003 as 6th from top in a list of UK universities.

1. Figure 1 Warwick University

Source:http://www2.warwick.ac.uk/about/tour

Chart 1 Basic Data

Total student body	17,904
No. of graduate students	10,077
No. of undergraduates	6,272
No. of exchange and overseas students	2,948
No. of overseas students engaged in other programs	1,063
No. of people registered in continuing education programs	15,934
Total no. of staff	3,850
No. of teaching and research staff	775
No. of research staff	675

Source:University of Warwick(2002) Warwick Profile 2002

Chart 2: Financial data (unit: million GBP)

Total income	174.5
Income from HEFCE subsidy	46.5
Income as tuition fees	42.3
Income from competitive research funding sources	26.3

Source:University of Warwick(2002) Warwick Profile 2002

Chart 3: Composition of departments

Faculty of Social Studies – 9,005 students (51% of which graduate students)

Continuing education, economics, law, philosophy, politics and international studies, social policy and social projects, sociology, education, business

Faculty of Science – 6,004 students (33% of which graduate students)

Biological sciences, chemistry, computer science, engineering, mathematics, physics, psychology, statistics, postgraduate medical education

Faculty of Arts – 2,453 students (of which 15% graduate students)

Comparative American studies, classics and ancient history, English and comparative literary studies, film and television studies, French studies, German studies, history, history of art, Italian, theater studies, Translation Studies, British Cultural Studies

Faculty of Medicine – 203 students.

Source:University of Warwick(2002) Warwick Profile 2002

2．Evaluation of education provided by Warwick University.

Warwick University has been highly evaluated according to an educational review carried out by the QAA (Quality Assurance Agency for Higher Education). Subject reviews at the university awarded 22 of the 24 departments a grade of 'excellent', which requires a minimum score of 21 out of a possible 24. In addition to this, the departments of politics and international studies, philosophy, economics, education, physics, sociology and theater studies received the maximum possible score of 24.

Chart 4 shows the results of the educational reviews performed since 1995. The university has received high scores (the maximum score is 4) in all categories examined by QAA (Curriculum design, content and organisation; Teaching, learning and assessment; Student progression and achievement; Student support and guidance; Learning resources; and Quality assurance and enhancement). The area of student support is particularly noteworthy. Under this category, the 17 areas assessed all achieved a top score, demonstrating the excellent standard of support given at the organisational level to students at the university.

The universities in the UK are ranked privately, although based on the results of QAA assessments, in an annual guide known as The Sunday Times Good University Guide. According to this guide, Warwick University is ranked 4th for the quality of its teaching and 8th overall.

Warwick University publishes information about high standards in its educational activities, as assessed by external parties, in pamphlets and on its Internet site. The University is proud of the results of these assessments (see figure 2).

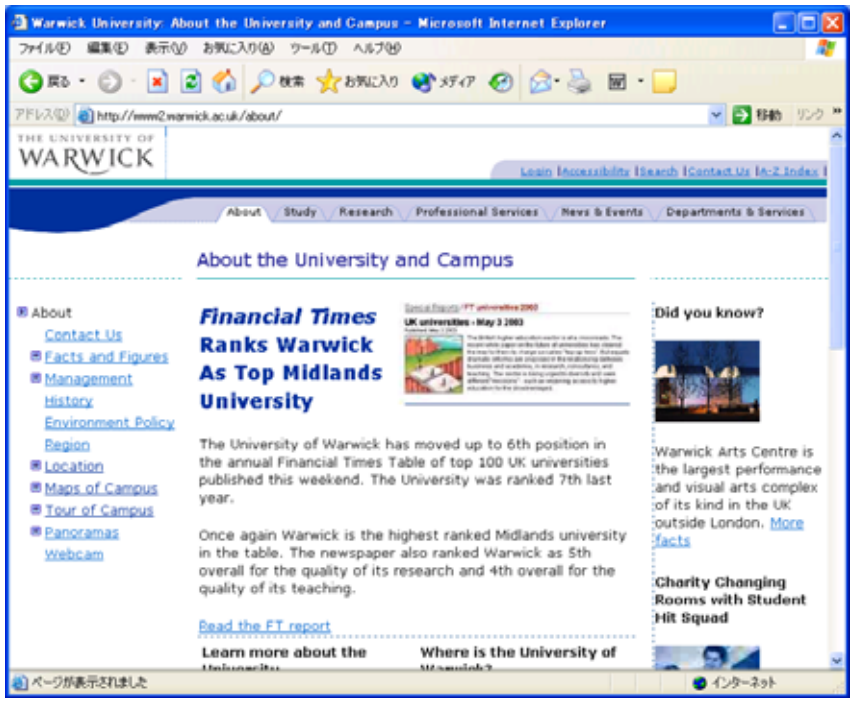
Chart 4: Results of Reviews by QAA since 1995

	Curriculum design, content and organisation	Teaching, learning and assessment	Student progression and achievement	Student support and guidance	Learning resources	Quality assurance and enhancement	Total
Politics and International Studies (2001)	4	4	4	4	4	4	24
Philosophy (2001)	4	4	4	4	4	4	24
Classics (2001)	4	4	4	4	4	3	23
Economics (2001)	4	4	4	4	4	4	24
Education (2000)	4	4	4	4	4	4	24
Mathematics and Statistics (2000)	4	3	4	4	4	3	22
Physics (1999)	4	4	4	4	4	4	24
Psychology (1999)	4	3	3	4	4	3	21

Biological Science (1999)	4	4	4	4	4	3	23
Engineering (1998)	4	3	3	4	4	3	21
Film and Television Studies (1996)	4	3	4	4	4	4	23
French Studies (1996)	3	3	4	4	3	4	21
German Studies (1996)	4	3	4	4	4	4	23
History of Art (1998)	3	3	4	4	4	3	21
Italian (1995)	3	3	4	4	3	4	21
Sociology (1996)	4	4	4	4	4	4	24
Theatre Studies (1996)	4	4	4	4	4	4	24

Source:http://www2.warwick.ac.uk/study/tqa/results/

Figure 2: Example of introduction of review results as published on internet website.



Source：http://www2.warwick.ac.uk/about/

3. Warwick University's activities in regard to quality assurance

As has already been seen, Warwick University has achieved an extremely good reputation for the quality of its teaching as reviewed by external agencies. What is it that has facilitated this good reputation? Our study visit this time gave the opportunity for interviews and collection of resources that clarified the fact that Warwick University has been thorough in its introduction of various systems and structures that allow internal improvements to the quality of its education. These have undoubtedly led to excellent review results in external assessments. In other words, behind the excellent results lies a full and detailed set of quality assurance mechanisms.

The body responsible for quality assurance at Warwick University is the Academic Quality and Standards Committee. This committee cooperates with various other committees (faculty education committees, the graduate school education committee, etc.) and related centers in maintaining internal quality assurance mechanisms. In particular, the following 5 areas stood out as strong examples of quality assurance mechanisms.

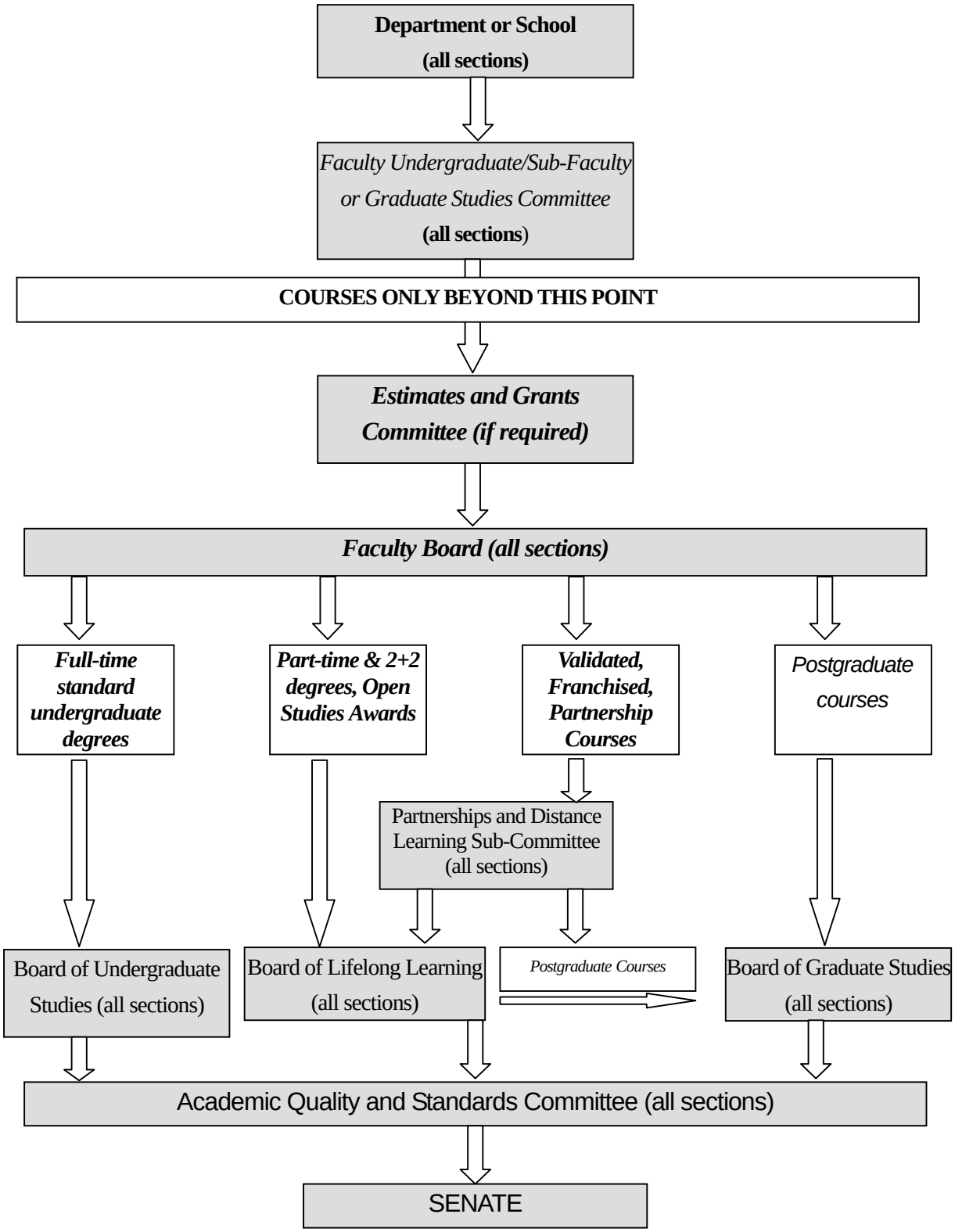
Approval of new courses
Periodic course reviews
System of feedback from students
External examiners system
Staff development
Teaching strategies

The following is an explanation of Warwick University's activities in regard to quality assurance in the above six areas.

(1) Approval of new courses

The process of approval for new courses is as shown in figure 3, and decisions are made by the Senate, via the committees responsible for teaching quality and standards, the relevant Faculty committee and Undergraduate or Graduate Studies committee. The process of approval is particularly noteworthy for the following reasons. Firstly, the clarification of study objectives and results. Proposals for new courses are required to detail what students completing the course will be able to do, and clarify the skills and knowledge that will be imparted by the course. Secondly, the clarification of teaching methods is also worthy of note. A proposal includes details of how students taking the course will be taught in order to achieve the targets set. Thirdly, there is clear evaluation of results. Proposals are required to detail how they propose to evaluate students taking the course in the light of the objectives established. Manuals and check-lists have been established (see chart 5) to assist the smooth running of the approval process.

Figure 3: Approval process for new courses



Source: Academic Quality and Standards Committee(2002), The Approval of New Degree Courses, New Modules and Amendments to Existing Courses and Modules

Chart 5: Checklist for new course approval

1. Is the course documentation complete in every section?
2. Have Course Leaders been identified for each course?
3. How is a new course justified? Does the course form a coherent pattern of provision with other existing or planned courses?
4. Is the course viable given:
   (i) likely student demand;
   (ii) student characteristics?
5. Are the course aims and intended learning outcomes appropriate? Are they clear and set out in the correct format? Are they compatible with University aims?
6. Is the course structure itself coherent, with clear student progression?
7. Are assessment regulations consistent with current University regulations? If not, what variations require approval?
8. Is there a coherent academic rationale for the content, structure, methods of delivery and assessment of the course? How will the methods of assessment demonstrate the achievement of the aims and learning outcomes of the course?
9. Has adequate account been taken, in the design of the course, of the likely eventual employment, education or training destinations of students?
10. Are there adequate arrangements for student support and guidance and for the development of the study and other skills required in order to learn effectively on the course?
11. Is there adequate consideration given to the overall range and quality of student experience on the course?
12. If an external adviser has been asked to comment on the proposal, what is his/her view? What are the views of an accrediting body (if sought)?
13. Have other departments who might be affected by the proposal been properly consulted?
14. What administrative and resource issues are raised which are likely to require new arrangements or additional resources? Have these been agreed by the appropriate University Committee or Officer?
15. Do all modules add to the coherence of the course and do module learning outcomes contribute to the achievement of overall course learning outcomes?

Source: Academic Quality and Standards Committee(2002), The Approval of New Degree Courses, New Modules and Amendments to Existing Courses and Modules

(2) Periodic course evaluations

Warwick University has been implementing periodic reviews of its courses since 1986. All courses in undergraduate and graduate departments are evaluated every six years. These reviews are based on self-evaluations, done to QAA teaching review standards. Annual reports produced by each department are provided as additional materials for evaluation. In order to avoid duplication, the QAA arranges its external reviews at different times to these internal reviews. The areas focused on in reviewing self-evaluation materials are as shown in chart 6 below.

Chart 6: Review of self-evaluation materials – focus points and structure

Focus points of review

- Appropriateness of academic standards it has set for its courses
- Effectiveness of the curriculum in delivering the intended outcomes of the courses
- Effectiveness of assessment in measuring attainment of the intended outcomes
- Extent to which the intended standards and outcomes are achieved by students
- Quality of learning opportunities provided for students

Structure

A. Overall aims of the subject provision

B. Evaluation of the subject provision

i) Learning outcomes

ii) Curriculum and assessment

iii) Quality of learning opportunities

iv) Maintenance and enhancement of standards and quality

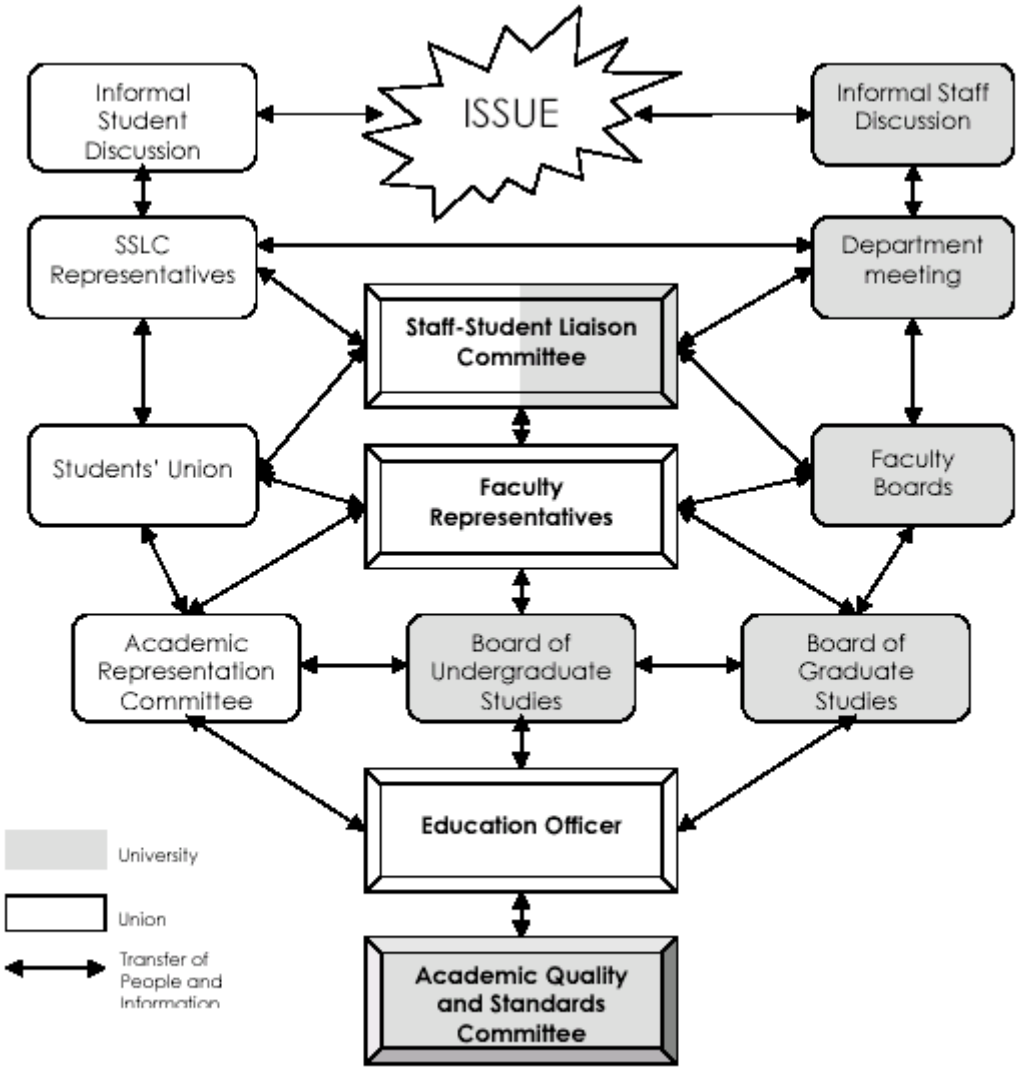
C. A course specification for each degree course under review

Source: http://www.warwick.ac.uk/info/reviewforms/

(3) Student Feedback System

Warwick University has established Staff-Student Liaison Committees (see figure 4). The activities of these committees have been defined in the Staff-Student Liaison Handbook, and include student evaluations of courses, discussions with teaching staff, and other aspects that allow student opinion to be reflected in the curriculum of the University's education. In addition, the committees' activities are published in an annual report. In this way, the University seeks to maintain an organisational structure in which staff and students work together to solve problems. The Staff-Student Liaison committees are at the center of this policy. The SSLC's student representative(s) is consulted as part of the periodic review process.

Figure 4: Staff-Student Liaison Committee structure



Source: http://www.warwick.ac.uk/info/sslc/

(4) External examiner system

UK universities employ an external examiner system, under which examination problems and results are checked by external agencies. External examiners are appointed by the senate on the recommendation of the department being examined. Their period of tenure lasts for a maximum of four years. External examiners are required to produce reports based on materials supplied by the universities. These reports contain details regarding student attainment objectives, criteria for evaluation of results, course structure and content, and educational standards as seen from the perspective of examinations. Recently, moves have been taken to increase the efficiency of the external examiner system, through introducing pass / fail borderlines and other important aspects on which assessment can be based. The external examiners' reports are an important resource for periodic course reviews.

(5) Staff Development

The Center for Academic Practice works on developing links with various academic departments and promoting and supporting staff development. Warwick University has clear definitions, objectives and aims for staff training, and the Center for Academic Practice implements various activities based on these clear objectives.

Chart 7: Warwick University's Staff Development Definition, Aims and Objectives

Definition
Staff development is defined as the processes and activities which enable academic staff to develop their capabilities and their working practices and, in so doing, improve the quality of the work of the institution, in the areas of teaching, research and administration.
Aims The central aim of academic staff development is to enable academic staff to develop their capabilities and working practices, thereby assisting the University in achieving excellence in research, teaching and other academic duties, in an appropriate and cost-effective way.
Objectives Staff development processes and activities enable the University to: develop and review academic staff development policy and practice devise and co-ordinate an internal staff development programme for academic staff, in conjunction, where appropriate, with other staff groups support the planned and systematic development of academic staff at departmental level support departments and individual staff in the development and evaluation of approaches to teaching and learning and assessment encourage the dissemination and exchange of best educational practice further its Equal Opportunities policy monitor the relevance, quality and cost-effectiveness of staff development.

Source : http://www.warwick.ac.uk/services/CAP/Overview/Policy/policy.html

The Center for Academic Practice operates programs to train staff in teaching methods, such as lecturing and computer assisted teaching, as well as awards programs for staff recognized as excellent teachers, and the Warwick University academic licensing system.

Chart 8 shows some of the training programs for academic staff offered by the Center for Academic Practice. New teaching staff are required to attend 9 of these courses within the first four years of their appointment. All graduate teaching assistants are also required to undergo training.

Chart 8: Training program for academic staff, provided by the Center for Academic Practice

Details of training program	Time required for study
教育への準備 Preparing to Teach	3 days
教育の開発 Developing Teaching	1 day
教育の評価 Reviewing Teaching	1 day
大学への導入 Institutional Induction	1 day
研究費の申請 Applying for and Administering Research Grants and Contracts	Half day
チューターの役割 Role of the Personal Tutor	Half day
情報サービス：コンピュータ University Information Services: Computing	Half day
図書館 Library	Half day
研究指導 Research Supervision	1 day

Source:http://www.warwick.ac.uk/services/CAP/Overview/Policy/policy.html

(6) Teaching strategies

Warwick University has established a learning and teaching strategy, which are created based on the strategic plan of the University as a whole. The University's strategic plan is as shown in Chart 9. The strategy was created based on the HEFCE's manual 'Strategic Planning in Higher Education: A guide for heads of institutions, senior managers and members of governing bodies' (pub. 2000) (http://www.hefce.ac.uk/pubs/hefce/2000/00_24.htm).

Chart 9: Warwick University's Strategic Plan

Mission:

To build an institution widely recongnised, at a regional, national and international level, as a world leader in research and teaching.

Main Objectives

研究水準の高さの維持

Maintaining research strengths

学士課程、大学院課程の教育および継続教育の卓越性の維持

Maintaining excellence in teaching at undergraduate, postgraduate and post-experience levels

大学の科学と技術の基盤の開発

Development of the science and technology base of the University

大学院の維持と開発

Maintaining and developing the Graduate School

大学の目標を支援するインフラストラクチャーの維持

Maintaining the infrastructure to support the University's academic aims

学術的な提携、アクセス、広い参加の機会の維持と開発

Maintaining and developing opportunities for academic collaboration, access and widening participation

ヨーロッパにおける大学の役割の向上

Enhancing the University's role in Europe

財源の開発に関する大学の方針の継続

Continuing the University's policy of income generation.

Source : http://www.warwick.ac.uk/services/CAP/Teaching/LT_strategy.html

The learning and teaching strategy has been established based on this strategic plan. By clarifying the objectives and stages relating to teaching, it is possible to assess how far these objectives have been met. The Learning and teaching strategy is comprised of a four year plan, with annual targets also established. These comprise 8 targets, as shown in chart 10. The development of a framework for quality assurance is built into strategy 6 in particular.

Chart 10: Structure of the Learning and Teaching Strategy

Strategy１　教育の卓越性の維持
Maintaining excellence in teaching
Strategy２　研究志向の教育
Research-led teaching
Strategy３　学習教育の革新
Extending Innovation in Learning and Teaching
Strategy４　スキルのフレームワークの実施
Implementing the Framework for Skills
Strategy５　大学院レベルの学習教育の向上
Enhancing Graduate Level Learning and Teaching
Strategy６　質の保証のフレームワークの開発
Developing the Quality Assurance Framework
Strategy７　学習教育環境への投資
Investment in the learning and teaching environment
Strategy８　学術的な提携、アクセス、広い参加の機会の維持と開発
Maintaining and developing opportunities for academic collaboration, access and widening participation

Source : http://www.warwick.ac.uk/services/CAP/Teaching/LT_strategy.html

４．Warwick University – the Challenge of Quality Assurance and Outstanding Issues

At Warwick University, various quality assurance systems are in place, covering issues such as course approval, periodic course reviews, feedback from students, external examiners, staff development and teaching and learning. The internal mechanisms have ensured that the University has received excellent reviews both from the QAA and the private sector publication The Sunday Times Good University Guide 2003. Warwick University has been ranked as the no. 6 University in the UK by this guide.

All these mechanisms have in common the fact that they are organisationally structured. The structures and objectives as well as methods are documented and published on the University website. This ensures that even if the people operating the system are replaced, the standards and results are still attainable, since the system does not depend on particular people.

As can be seen above, Warwick University has excellent mechanisms for assuring the quality of its education. There are however several outstanding issues. The first of these is the difficulty experienced in defining ‘quality’ in education. As long as there is no clear definition of quality of education, there can be no clear guarantee of such quality. Establishing a definition of quality of education which can be agreed upon by all members of the relevant committees, however, is not an easy task. In fact, Warwick University has apparently not yet established a clear definition of quality in education, and is involved in the complex process of debating methods and mechanisms for quality assurance without achieving this definition.

The second issue is that of the difficulty involved in clarifying educational objectives. Reviews and evaluations are extremely important in order to guarantee quality. In order to perform objective evaluations, it is necessary to establish clear objectives for curriculums and courses. In a university setting, however, while some subjects may have easily definable educational objectives, some subjects are much less simple to define. This was made clear in interviews.

The third issue is one of cost in regard to implementing quality assurance. It appears that there have been many people who have expressed the opinion that the amount of time and effort being spent on quality assurance is too significant. In addition, the documentation that was required at the introductory stage was considered too complex, and many people thought it should be simplified. It can be seen from this that in fact what is required is a balance between the costs incurred and the effectiveness of quality assurance.

3. Internal assessment system at Warwick University

1． Philosophy behind the design of Warwick University's Education and Research Evaluation System.

The internal assessment system at Warwick University has been designed with great attention to its relationship with the external assessment system. As has been mentioned, the external assessment system in the UK centers on the QAA (The Quality Assurance Agency for Higher Education). External reviews comprise Subject Reviews and Continuation Audits.

Based on lessons learned from its Continuation Audit in 1998, Warwick University has defined the following areas as requiring focused improvements. It is thought that the organisation of Warwick University's internal assessment system has been done so as to deal with the following issues and attain specified targets in regard to these.

Publication of information related to examinations (including complete publication of information relating to external examiners)

Establishment of a complaints procedure for students
Standardization of qualification approval criteria for graduate students
Publication of Good Practice Guidelines in the student handbook
Refinement of the Curriculum Design & Content Organisation
Reorganisation of Teaching, Learning and Assessment
Student Progression and Achievement
Quality Management and Enhancement

In fact, the external assessment system has continued to change significantly since its instigation in 2002. Many of those representing Warwick University admit frankly that conventional external assessments changed the awareness of the University community drastically, and raised awareness of the importance of appropriate quality management and efficiency in regard to teaching and research. At the same time, however, most of the academic staff interviewed for this study raised the point that the burden of evaluation by sector was just too large under the external evaluation system. In order to undergo an external assessment, not only were departments required to submit huge quantities of paperwork and materials, but the energies and resources of a great number of research staff also needed to be invested in the preparations for assessment, and this burden was said to be 'just too great' in many cases.

For this reason, Warwick University abolished the sector-based assessments, and changed over to an audit-led model in which internal self-assessments are audited by external agents ('audit-based model').

Our interviews showed that Warwick University has decreased the functions of the external assessment, and that a high level of internal assessment is being maintained. It appears that they have restricted the function to making sure if each university is being making efforts to improve and maintain the quality of teaching and research, and that they adopted a strategy by which positive implementation of quality management itself in an autonomous way under self-assessment systems would lead to more fruitful outcomes, which has been faithfully implemented.

In fact, changes to UK law since 2002 may be seen as developments in line with the opinions being expressed by Warwick University. The central concept to these changes is the system known as the National Qualifications Framework. This system comprises five levels, and functions not only to guarantee domestic and international (EU and other) standard in regard to degrees and other qualifications, but also aims to provide viewpoints and criteria for external and internal assessments.

It is important to note when examining the features detailed below that the internal assessment system employed by Warwick University is designed on the one hand to reduce the burden created by external assessments, while at the same time encouraging creative thinking in regard to initiatives for self-management of quality issues.

2. The Quality Management Handbook

Warwick University's Quality Handbook is an excellent example of the University's commitment to internal assessments. At Warwick University, various quality assurance structures have been put in place and refined in order to improve the quality of teaching and research management. The details of these have been compiled into a handbook which is published on the Internet. This handbook explains the quality management systems, as well as basic policies and implementation processes, and also discusses related quality management systems both within and outside the University (see figure 5).

Figure 5: Quality Handbook website

Source: http://www2.warwick.ac.uk/insite/info/quality/

3. Outline of Quality Assurance System

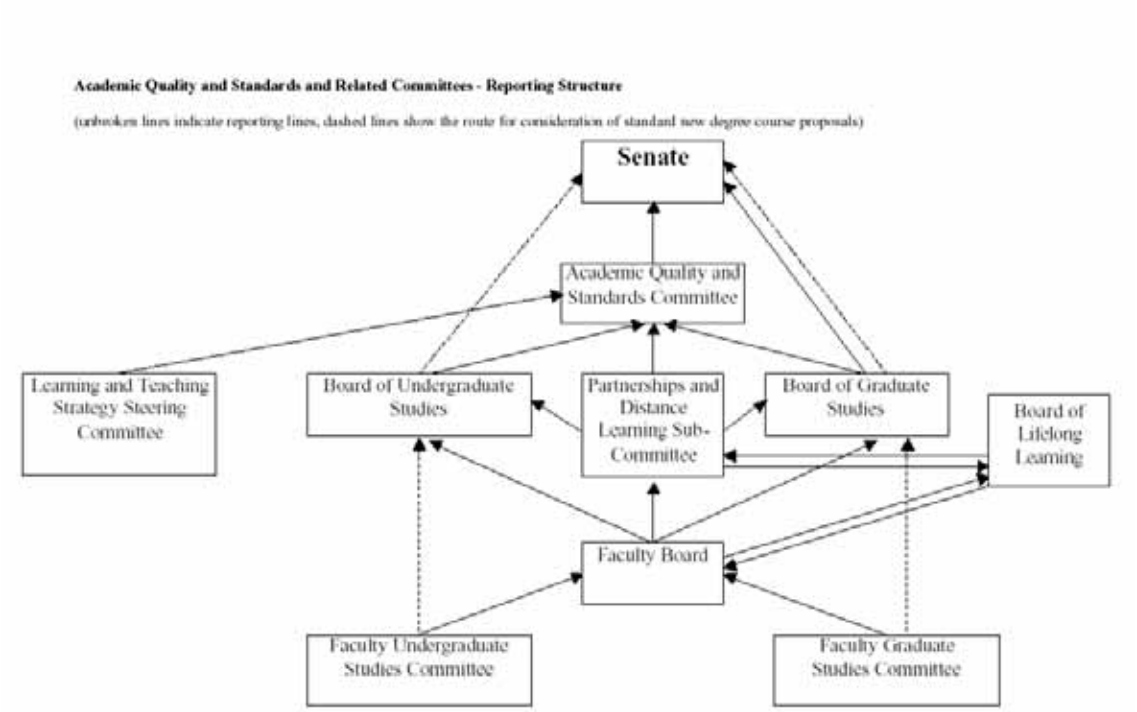
Warwick University considered the framework for its quality assurance system from the following 4 angles, and reflected the results of this consideration in the University's teaching and research quality assurance strategies and systems.

Quality assurance systems within the University (includes the process for establishing new courses / departments and evaluation by students)
External quality assurance systems (including those by the QAA)
Quality assurance in research
Staff training and skills improving

4． Internal organisational structure related to quality assurance

An appropriate operating organisation is required in order to effectively implement quality assurance systems. (Please see organisational figure below). Warwick University has established an implementing organisation based around the Academic Quality and Standards Committee for the whole University (this is led by the Pro-Vice-Chancellor). Among the agencies represented on the organisational figure, the Senate, which is at the top of all committees, is equivalent to the Council of a Japanese university, while the Faculty Board is equivalent to the board of professors.

Figure 6: University structure and operating organisational figure relating to Quality Assurance.



(1) Academic Quality and Standards Committee

This committee is responsible for implementing the decisions of the Senate in regard to quality. The committee is chaired by the Pro-Vice-Chancellor responsible for quality. It comprises main members and student representatives from each university faculty, the graduate school, the lifelong learning committee, and other departments related to teaching and research such as the staff training and evaluation committee, and operates primarily to implement quality assurance. This committee has decision making powers in regard to the new establishment of degree courses, internal assessments of degrees awarded by departments, and the functions of assessment systems overall.

The educational committees of the graduate school, as well as the departments, hold primary responsibility for quality assurance in relation to the education provided by their departments, and are in constant communication with this committee. Documentation published by the committee includes the following:

1. Information Pack on Procedures for the Approval of New Degree Courses

2. Information Pack on Procedures for the Review of Courses of Study
3. Course regulations
4. Details of the operation of the External examiner system at Warwick
5. Student feedback mechanisms and the Staff-Student Liaison Handbook
6. The University's Learning and Teaching strategy
7. Procedures for Academic Appeals and Complaints
8. Good practice guide on preparing departmental handbooks
9. Examinations issues
10. Staff development and the work of the Centre for Academic Practice

(2) Partnerships and Distance Learning Sub-Committee

Bears responsibility for the quality of courses operated in partnership with other agencies and distance learning programs, and works in cooperation with related departments.

(3) Board of Graduate Studies

The organisation that broadly represents graduate studies, and considers new areas of graduate study, as well as evaluating existing areas of study. Considers and has the power to implement changes to suggestions regarding external examiners.

(4) Board of Undergraduate Studies

Broadly represents undergraduate departments, considers new areas of study and evaluates existing courses. Considers and has the power to implement changes to suggestions regarding external examiners.

(5) Academic Staff Development and Appraisal Committee

Warwick University considers the monitoring and review of all staff (including permanent, non-permanent, TA and other staff) in their teaching and research activities as an extremely important aspect of quality assurance. The system that has been put in place to handle this is the Academic Staff Development and Appraisal Committee, which implements various activities in these areas. This committee works on basic strategies for the training and development of staff (including the definition of training objectives and attainment objectives), implementation systems, specific measures and related documentation processes, among other aspects. The person with implementation responsibility in these areas is the University's Academic Staff Development Officer. This officer is in particular required to oversee the training of new academic staff. The committee develops and provides a variety of programs, through the Center for Academic Practice, which are used to improve the skills of staff in areas of teaching and research, and a system is employed that allows staff to participate in these programs in an autonomous way. Program development is done through staff making anonymous applications to the committee detailing their own development needs. Permanent staff are allowed to apply for a term's sabbatical after seven terms of teaching. The results of these study programs are considered when staff undergo review.

Each department and office is also expected to implement training, and the person responsible for this training is titled the Staff Development Coordinator. This post is filled by selecting from among the academic staff of

each department. The training programs provided by departments are subject to internal assessments by the Academic Staff Development and Appraisal Committee.

Warwick University employs a system of accrediting specialization, issuing academic staff who complete certain training programs with certification known as Warwick Teaching Certificates. Specific themes include Preparing to Teach, Assessing and Evaluating, Curriculum Design, and Lecturing in Practice, among others, but various other programs are prepared alongside these. In addition to these programs, support programs are offered, such as inter-university cooperative programs, information technology services, a language center, graduate school teaching training, consultancy contracts, etc.

(6) Staff-Student Liaison Committees

Student opinions regarding their education is treated as an important source of information in regard to the University's quality assurance practices. Various committees collect evaluations regarding courses and other aspects. This information is not simply collected, but is also required to be subjected to the University's published Good Practice Guidelines for Obtaining Student Feedback.

(7) Research and Teaching Development Committee

This committee is responsible for the distribution of research and teaching grants to staff.

As can be seen from this study, Warwick University has organized its internal assessment system so as to assist the external review process, taking various autonomous initiatives to maintain and improve quality and respond to the demands of external review. Through doing this, the University has reduced the burden formerly placed upon it by the process of external reviews, and notably, has created policies based on this new approach. If this approach turns out to be successful, and mechanisms for the improvement and maintenance of quality within the university function smoothly, it is thought that the need for periodic external reviews will gradually reduce. Various people in the UK pointed out the fact that the main objective of external reviews was in any case to bring about a change in awareness. Warwick University's approach gives an insight into the process of external examinations subsequent to such a change in awareness.

Kyusyu Institute of Technology

1. Outline of the University of Surrey (henceforth referred to as Surrey University)

Surrey University is located in the outskirts of Guildford, in the county of Surrey, England. It was founded in 1891 as a College of Technology, and was established as a university in 1966. The University has a long tradition of international cooperation.

The University comprises disciplines such as various types of engineering, education, biological and life sciences, nursing and postgraduate medicine, human sciences, linguistics, law, and international studies, as well as service-industry management, music and dance, and physics.

Surrey University has high standards of research, with 60% of its teaching staff attached to departments that have received review scores of 5 or 5* (see note[1]). As part of its research strategy, the University maintains a fund that allows it to invite talented researchers from around the world to work at the University for a period of 3 years. Surrey awards the fifth highest number of doctorates per year among universities in the UK.

The University is also exemplary in its application of technology transfer, maintaining a Research Park, and is well-known as a proactive player in partnerships with industry and regional activities. Including the income generated by such projects, the University achieves a total of 70% of its income from non-governmental sources.

One example of this technology transfer is the manufacture of the micro-satellite known as UoSAT-14, with a height of 1m and weighing between 35 and 70kg. The University founded a subsidiary known as Surrey Satellite Technology, which has already launched 22 of these satellites, and is a center for micro-satellite research. The company is in the process of transferring micro-satellite technology to Korea, Singapore and China, and has an extremely good reputation among countries looking to secure a footing in space technology due to the fact that it can implement small-scale projects that do not require vast investment.

The University also runs an organization promoting partnerships with industry, known as UniSdirect. The main objectives of UniSdirect are the promotion of partnerships with industry, the management of intellectual property, and support and training for venture startups, and in the period 2001 – 2002, the organization achieved 12 patent licenses and established 5 startups, based on technologies patented within the University. Furthermore, the University owns a Research Park located near to the University campus, which has become a focal point for regional corporations, and now houses more than 110 companies with 2,700 employees who are engaged in joint research with University departments.

Teaching activities have a similar good reputation, and have been highly evaluated not just within the UK but also at an international level. Teaching programs are designed to give students practical skills for employment, and accordingly graduates have a high ratio of employment success. Last year, Surrey graduates achieved the highest ratio of employment nationwide, the second time the University has achieved this position on a national scale in the previous 3 years.

According to Benchmarking materials, the number of students and staff at the University is as

follows:

Undergraduates: 7,294 (as of February 2001)

Postgraduates: 3,895 (as of February 2001)

Teaching and research staff: 518 (as of January 2000)

Other staff: 1,699 (as of January 2000)

1 Review grades are awarded in the following 7 categories:

5*: Half or more of the research results submitted are of world-class standard, and the rest is excellent on a domestic scale

5: Less than half the research results submitted are of world-class standard, and the rest is almost all excellent on a domestic scale

4: Almost all the research results submitted are excellent, with some examples displaying content that is proven to be world-class

3a: Two-thirds of the research results submitted are excellent on a domestic scale, and some examples are thought to be world-class

3b: More than half of the research results submitted are excellent on a domestic scale

2: Less than half of the research results submitted are excellent on a domestic scale

1: Of the research results submitted, almost none or none reached a level of excellence on a domestic scale.

2. Quality Assurance at Surrey University

This report will deal with the quality assurance system at Surrey University, as far as it can be understood from our three-day visit, along with various reference materials obtained. The report will detail first the committee organization system and the processes for proposal and approval of programmes, and subsequently the Periodic and Annual Reviews carried out based on internal systems, as well as introducing the student feedback system, which is an important element of assessment.

2.1 Introduction

What constitutes quality assurance within a university? Surrey University has no particular definition of this, but follows the definitions given by organizations such as the British Standards Institute and the QAA. While this is not an official quotation, the definition of quality assurance usually given by the QAA is as follows.

'Assurance that the obligation to attain university criteria and a level of quality in teaching programs and degrees is being met by people in responsible positions, based on methods and procedures established by degree-awarding organizations and other responsible agencies'.

Surrey University has adopted and published a Policy Statement on Quality and Academic Standards, which covers 8 principles (see University Handbook for details). This is also referred to by the Academic Standards Guidelines (ASG).

2.2 University criteria and committee organization relating to quality assurance

The highest academic authority in the University is the Senate. This is chaired by the Vice-Chancellor of the University. Areas subject to quality assurance within University practice (teaching and learning, research and startups, staff development and training) are led by specially appointed Part-time Pro-Vice-Chancellors. The Pro-Vice-Chancellors bear the responsibility of accountability to the Vice-Chancellor in regard to the developing and strengthening of the various areas.

The Vice-Chancellor is the chair both of the Senate and of the newly created Executive Board. The latter committee is based around the senior management team, which includes the heads of all Schools. As of January 2003, heads of school are required to report to the Deputy Vice Chancellor (a newly created post). The Director of Planning and Director of Information Services also report to the Deputy Vice Chancellor.

The Pro-Vice Chancellor responsible for teaching and learning chairs the Academic Standards Committee and the Teaching Policy & Development Committee. These committees support the Senate by debating and documenting policies in order to have them approved by the Senate.

The Pro-Vice-Chancellor responsible for research and startups is chair of the Research Committee. This committee has the responsibility for considering and implementing the University's research objectives, as stated in the Vision Statement.

The Pro-Vice-Chancellor with responsibility for Staff Development chairs the Staff Development Committee, the Health & Safety Committee and the Academic Staff Review Committee.

The Director or External Academic Relationships (a new post created in August 2002) is chair of the Committee for Strategic Collaborative Provision, and is responsible for student recruitment strategy, as well as development and management of the vision with regard to regional, domestic and international relationship policies. He or she also bears responsibility for the establishment of strategic alliances with other organizations.

The Registrar offers management support to the Vice-Chancellor, and has responsibility for the processing and recording of students entering the University, examination preparation, as well as the preparation and arrangement of QA activities that are organized centrally at the University.

Heads of Schools are responsible for the strategy, processing and implementation of regulations regarding QA issues in their own schools.

The organizational structure of committees that are responsible for the management of quality assurance and the University's standards is as shown in **Figure 1**. The gray blocks in the figure represent committees that are related to the University federation, while the white blocks represent University-wide committees, and the black blocks show school committees. Solid lines represent relationships in which one organization reports directly to another, while dotted lines represent a relationship in which information is exchanged between two parties.

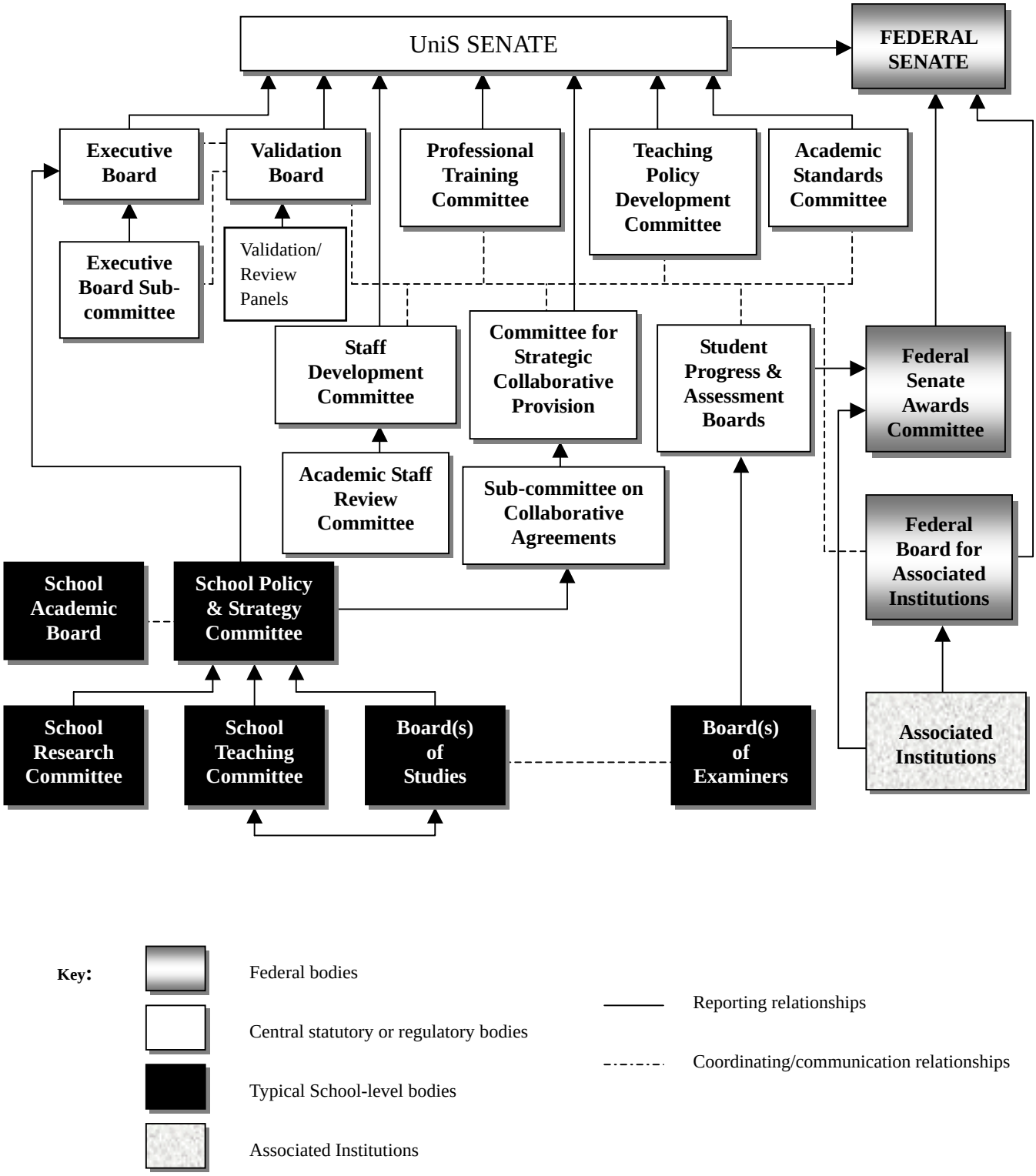


Figure 1: Relationships between the main committees responsible for standards and quality assurance.

2.3 Proposal and approval of programs

The following is an explanation of the procedure implemented for the consideration and approval of new programs proposed by the University Schools. The structure of this process is as shown in **Figure 2**. (The procedure is similar for significant amendments, corrections or discontinuation of existing programs).

The first stage starts with the program being initially considered within the school and continues until the new program proposal is approved by the school.

The second stage involves the new program, having been proposed by the school, being given final approval by the Senate, chaired by the Vice-Chancellor. Before this can happen, the program changes also require approval at various stages by committees made up of differing members. The first two stages of this involve an outline of the new program being submitted for approval to the Executive Board and the Senate. Consideration of the full program details and their appropriateness is done by a meeting of the Validation Panel which makes recommendations to these bodies.

During the various stages of this operation, the leader of the team working on the new program within the relevant school must discuss any issues with the Quality Assurance & Enhancement Office, as well as seeking comments on the proposal from the Planning Department, the Library, Computing Services and the Finance Department. During the second stage, further discussions with appropriate responsible central staff are generally required.

Furthermore, before a new program can be proposed, it is necessary to implement a market survey to establish demand for the program, and to hear the opinions of groups of specialists outside the University and discuss the program with industry representatives. During these processes, it is not permitted for the same person (i.e. a specialist or representative of industry) to be involved in more than one capacity.

In figure 2, the word School is used on the left hand side. These schools may be combined from a number of departments and form the main academic organisational base of the Institutional. After initial validation which is normally for five years, further regular reviews are carried out (there are two types of review – an Annual Review and a Periodic Review – the latter is implemented once every five years). The latter is not dissimilar to the initial validation process and includes external membership in the review panel. External reviews are also carried out according to subject, by the QAA (Quality Assurance Agency), professional bodies where relevant, and in an operational sense by external examiners. Reviews of this type are now being phased out by the QAA who will in the future be taking an audit approach to university provision.

The fact that Surrey University educational system is subject to the influence of external agencies in the approval process means that courses being proposed as a means to qualification are required to be consistent with the level of qualification offered, as well as have established objectives and standards within the discipline they represent, along with consideration in regard to access for people

with disabilities, and the approval of specialist industry bodies and legal bodies. The courses of course also have to comply with Surrey University's educational policies and strategies, as well as with Quality Assurance standards.

It can be seen from this how the proposal of a new or amended program or course at the University is examined at all levels starting with the school and proceeding to the University-wide. Once a course is implemented, it is still subject to reviews and alterations as well as external auditing and overall monitoring, all of which is built into the organizational structure.

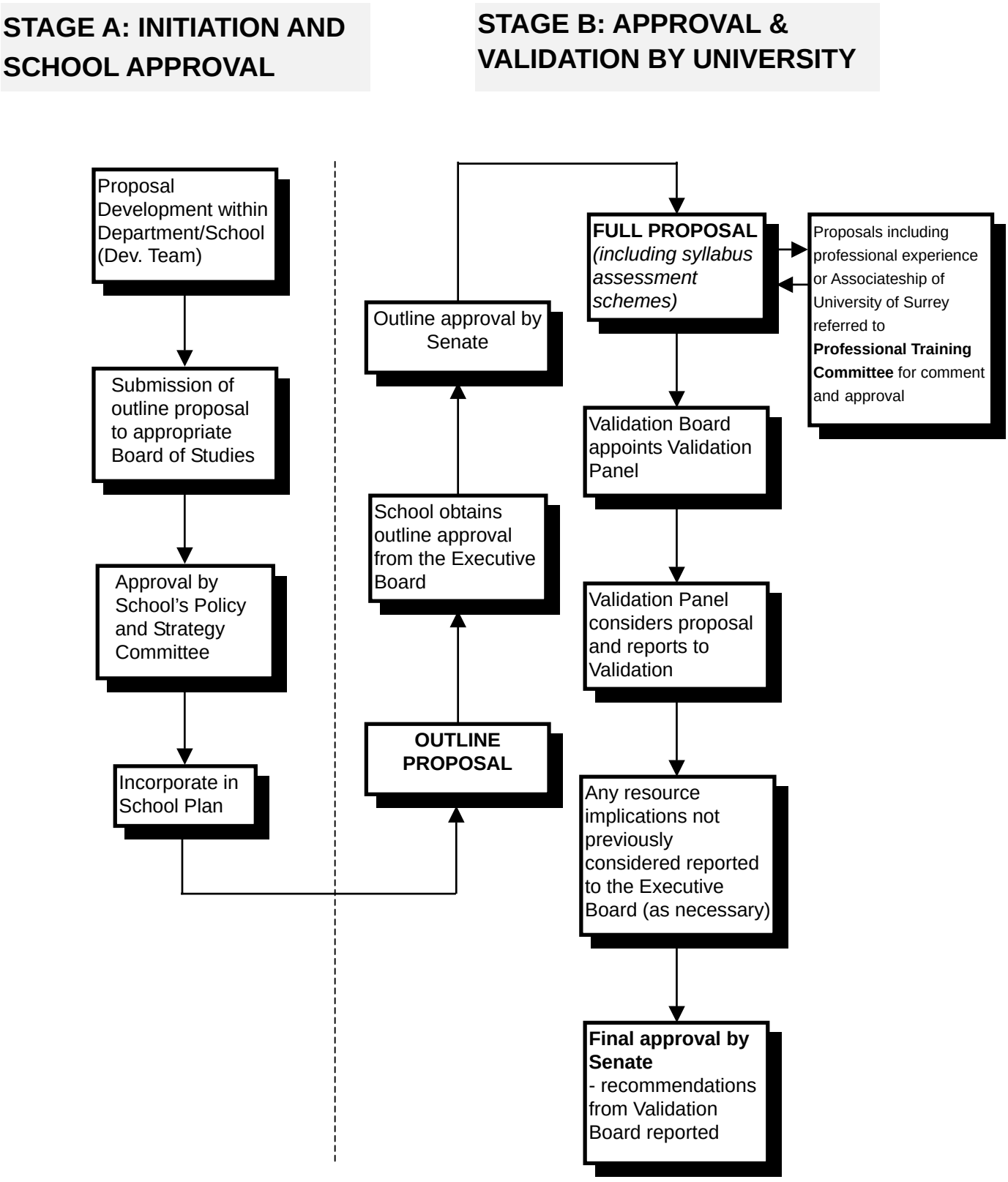


Figure 2: Procedure for consideration and approval of new programs.

2.4 Periodic Reviews

The following is an explanation of the details and methods employed in Surrey University's periodic reviews.

(Purpose of periodic reviews)

1. Periodic reviews are the process by which University activities are re-approved. The University periodically implements assessments to check that existing study programs are appropriate, meeting the needs of the time, have appropriate aims and objectives as well as expected levels of achievement, and have sufficient facilities.

(Frequency of program reviews)

2. Following on from approval, new study programs are subject to regular reviews. The timing of the next major review is usually recommended by the initial Validation Panel or the previous Review Panel who approved the program. The maximum period between reviews is five years. Ordinarily, therefore, a program will be fully reviewed after the first five years, and then every five subsequent years. With the prior agreement of the Validation Board, a review can be delayed by up to one academic year.

(The role of QAEO)

3. The Quality Assurance & Enhancement Office (QAEO) prepares a rolling program of program reviews, including validation by appropriate groups of specialists, in order to be able to implement a review at the appropriate time. A yearly schedule of reviews is planned and implemented by the QAEO. The implementation plan and yearly schedule for program reviews is reported annually to the Validation Board and the Academic Standards Committee.

(The process of assessing programs)

4. Schools are advised to maintain close communication with an appropriate officer from the Registry QAEO from an early stage in the process of program evaluation. These officers offer advice to directors of studies who are to be responsible for the assessment process, or to assessment team leaders, regarding procedures, document creation, and other appropriate areas.

5. Periodic reviews by the university involve university staff outside the discipline as well as external subject specialists, as for initial approval procedures. In such cases, the inclusion of external specialists as part of the Review Panel fulfills the requirement that external members should be part of the validation / accreditation process.

Specialist agencies are able to implement individual reviews for example for professional accreditation purposes and sometimes have had an involvement in QAA subject reviews.. In the latter case, the specialist agency will have its own criteria for judging the appropriateness of the program, for example to meet an industrial professional need.. In order to be efficient in both time and effort, attempts are made to unify the nature of documents required by different bodies including the University although this has, in general, had limited success.

6. Ordinarily, periodic reviews are based on the same procedures as those employed in initial validation

and approval of a course. For this reason, as far as possible, documentation regarding reforms or amendments to the program is based around that used for the initial validation or previous periodic review.

(Focal points of Program Review)

7. Focal points of the Program Review include critical evaluation areas and aspects that have been reformed during the period under review. For this reason, documentation used in the periodic review is required to use or refer to the Annual Program Reviews, and includes a critical evaluation of the study program since its initial approval, or the previous periodic review must also be included in the report. Comments must be made in particular regarding the following topics.

(1) Adjustments or changes that have been made to the program since its initial validation or previous periodic review, with reasons for such changes

(2) The level to which the program has attained the established aims and objectives, as well as student targets.

(3) The level to which the program has achieved compatibility with applicable Benchmark Statements

(4) The status of compliance with conditions or recommendations made at the initial validation or previous periodic review

(5) The status of compliance with conditions or recommendations made by specialist agencies or legal bodies

(6) The status of countermeasures implemented during the period under review in regard to issues raised in external examiners' reports

(7) The status of countermeasures implemented as a result of QAA's Subject Reviews

(8) Feedback from students and improvements noted from this feedback

(9) Changes in human and physical resources that have happened during the period under review

(10) Proposals for improvements included in evaluation documentation

(11) Status of student numbers, progress of academic activities, graduations, and recruitment. This should be presented in terms of an analysis of numerical data, which should be included in the report.

(12) Predictions for the future

(13) New measures being taken in terms of teaching or study methods

(14) Issues / program evaluation results and countermeasures being implemented

(15) Results of any accreditation process by specialist agencies and countermeasures being implemented.

(Adjustments to program)

8. If significant adjustments are to be implemented to a study program as a result of evaluation, the Board of Studies is required to define a longer than usual planning stage for the course in question. Similarly, it is important to note that some specialist agencies have a policy of stating that the approval process must be completed one year before the startup of the program, in other words, before the admission of students to a program begins.

(Responsibility)

9. The periodic review of programs is the responsibility of schools. Schools have the responsibility for

managing and operating programs, and this is done by a Panel who are approved by the Validation Board for this purpose. Responsibility for interdisciplinary programs of various types is held by the school playing the major role in the program, while a program that is operated on a 50 / 50 basis by two schools is the equal responsibility of both schools, unless both agree to make it the responsibility of one or the other.

(Appointment of a Review Panel)

10. The Validation Board considers and approves the formation of a review panel who performs a detailed review of the study program. The Review Panel carry out the following tasks:

(1) Evaluation of the philosophy, aims and objectives

(2) Evaluation of the appropriateness, timeliness, structure and content of the program (including the staff development period). In addition, evaluation of the compatibility, completeness and development potential of the course in regard to established aims and objectives. Also, evaluation of the program's compliance with conditions set by specialist agencies and legal bodies.

(3) Consideration of the rationale of proposed changes to the program, and details of such changes

(4) Consideration of the nature of the teaching and learning process, as well as the appropriateness of study results.

(5) Confirmation that the physical facilities and resources (including technical support) available to the study program are suitable to support the program's needs.

(6) Confirmation of the appropriateness of teaching and specialist staff in regard to changes being implemented as a result of initial validation or the previous periodic review, or changes anticipated in the future.

(Recommendations regarding membership of the Review Panel)

11. The Review Panel must be comprised of a minimum of 4 members.

(1) The chair of the Panel must be a member of the Validation Board, but must not be a member of staff related to the study program under review, or the school implementing the program.

(2) The Review Panel must contain a further two members of the University staff

(3) The Review Panel must contain at least one member who is a specialist with appropriate experience in the area of the study program, from outside the University

12. Members of the school with responsibility for the program, and members of joint research organizations, may not as a rule be part of the Review Panel. Where study programs are operated by more than one school, however, or are operated by the University as a whole and involve several schools, members of such schools may be part of the Review Panel. School members, however, with direct responsibility for teaching or directing programs, may not be selected.

13. The school may make suggestions for panel members to the QAEO. Before potential members are nominated, unofficial confirmation will be sought from the individuals concerned to ascertain their willingness to cooperate on review matters. The proposal is submitted directly to QAEO. At this time, the following documents are required.

(1) Explanation of the process by which the candidate is being recommended

(2) Explanation of the candidate's relevant experience and specializations

14. Recommendations for members of the Review Panel must be approved by the Validation Board before appointment by the QAEO. Recommendations should be processed where possible within five weekdays.

(Review Panel Report)

15. The Review Panel is to consider the documentation regarding the program, as well as to discuss the program with school staff responsible for its implementation. Furthermore, the panel should usually meet with students majoring in the study program under review. The Review Panel's report is to be presented to the Validation Board.

16. The Review Panel's report should contain the Panel's conclusions as well as any conditions or recommendations it wishes to make. The outcome should comprise one of the following categories:

(1) Approval (with or without conditions, with a specified length of time for approval, not longer than 5 years)

(2) Non-Approval (in this case, the Review Panel must indicate the area considered to have failed, and propose suggestions for correcting this failure, as well as indicating a time period within which alterations should be made).

17. The report should include an outline of main areas and conclusions as well as the structure, content and methods used in assessment approval. The report should specify the following two aspects clearly, along with appropriate periods for implementation.

(1) Conditions: Items in regard to which the Review Panel wishes to hear an explanation or see satisfactory results by a specified time or date. If these are not fulfilled, the program is not to be approved.

(2) Recommendations: Items in regard to which the Review Panel has reason to make suggestions which it believes would benefit the program, despite considering the proposed program as being workable as a whole.

(Confirmation and appeals in regard to the Report)

18. The Panel's report is distributed to all members of the Review Panel for correction. Before issuing the final edition of the report document, a copy of it is sent to the leader of the program under review to ensure that the contents are accurate. The committee chair is involved in any adjustments at this stage, before the final version is submitted to the Validation Board. The Review Panel's report is considered final once it has been approved by the Validation Board. There are few examples of appeals, but if a school believes there to be irregularities in the evaluation process, or in the case of complaints against the expressions used to represent facts within the report or methods used in the periodic review, comments regarding such are made in writing at the point at which the report is submitted to the Validation Board for approval. Schools are entitled to express their opinions to this board, although appeals may not be made in regard to the academic judgment of the Review Panel. One copy of the final report is kept on record by the QAEO.

(Role of the Review Panel chair)

19. The chair of the review panel bears the responsibility for ensuring that measures are taken by departments to implement actions in response to conditions (where given) or recommendations within the defined period of time. This responsibility is given by the Validation Board.

20. Suggestions from schools in response to conditions or recommendations presented in the Review Panel's report must be considered by the Review Panel. Countermeasures, and the decision of the Review Panel to accept or reject such measures, must be reported on to the Validation Board. The responsibility for ensuring that such a report is made lies with the chair of the Review Panel.

(The role of the Academic Standards Committee)

21. The role of the Academic Standards Committee (ASC) within the periodic review process is to ensure that the validation process is appropriate, being properly implemented and observed, and corrected at points where such correction is considered necessary. It is, however, not part of the individual approval process. In order to achieve this aim, the ASC receives schedules of periodic reviews and validations from the QAEO, as well as information regarding evaluation results and particular problems that are considered to have significance for the improvement of the process itself.

2.5 Annual Reviews

The following section describes the content and method involved in Surrey University's Annual Reviews.

(Significance and Implementation Structure of the Annual Review)

1. The regular monitoring of study programs and research training / teaching activities is an important part of the University's Quality Assurance activities

2. In addition to ongoing observation and evaluation activities, the Board of Studies carries out organized reviews of study programs. The Board has the responsibility to implement this on an annual basis. The Annual Program Review (APR) is required to be an accurate evaluation of the implementation of the study program and its activities since the previous APR. The resulting APR can suggest what changes may occur in the program for consideration by the Board of Studies. The period during which any changes are to be implemented must be set by the Board of Studies.

(Items considered by the APR)

3. The APR (see Figure 3) is compulsory, and is required to consider the following items.

(1) The status of student recruitment activities in regard to objectives

(2) The status of academic results by students and the acquisition of degrees

(3) Employment success among graduates

(4) Changes to aims or content of the program where considered appropriate in consideration of its implementation, or improvements in the level of academic or specialist skills, with consideration of requirements in regard to these, within the scope of regulations (in Figure 3, this is referred to as 'Issues raised previously by Board of Studies')

(5) Opinions or recommendations made by external examiners (in Figure 3, this is referred to as 'External Examines' Reports and any actions previously taken in response')

(6) Evaluation and feedback by students

(7) Issues arising from program validation and periodic reviews, specialist professional accreditation or previous QAA program reviews

(8) Changes to human or physical resources occurring as a result of needs within the program.

(Annual Review procedure)

4. The records of the Board of Studies are to include the annual review and any measures employed as a result. Copies of all Board of Studies records are kept by the QAEO.

5. The annual review and measures taken as a result usually provide the basis of periodic program reviews, and a summary of the annual reviews must be included in the introduction to the periodic review report. In addition, the School Academic Board must also include this information in its annual report to the Senate.

(Procedure for changes to programs)

6. Annual and periodic reviews may result in small or significant changes to programs. The procedure for handling such changes is explained in the 'University Standards Guideline 1: Procedures for Validating the Proposal of New Programs or Changes to Existing Programs'

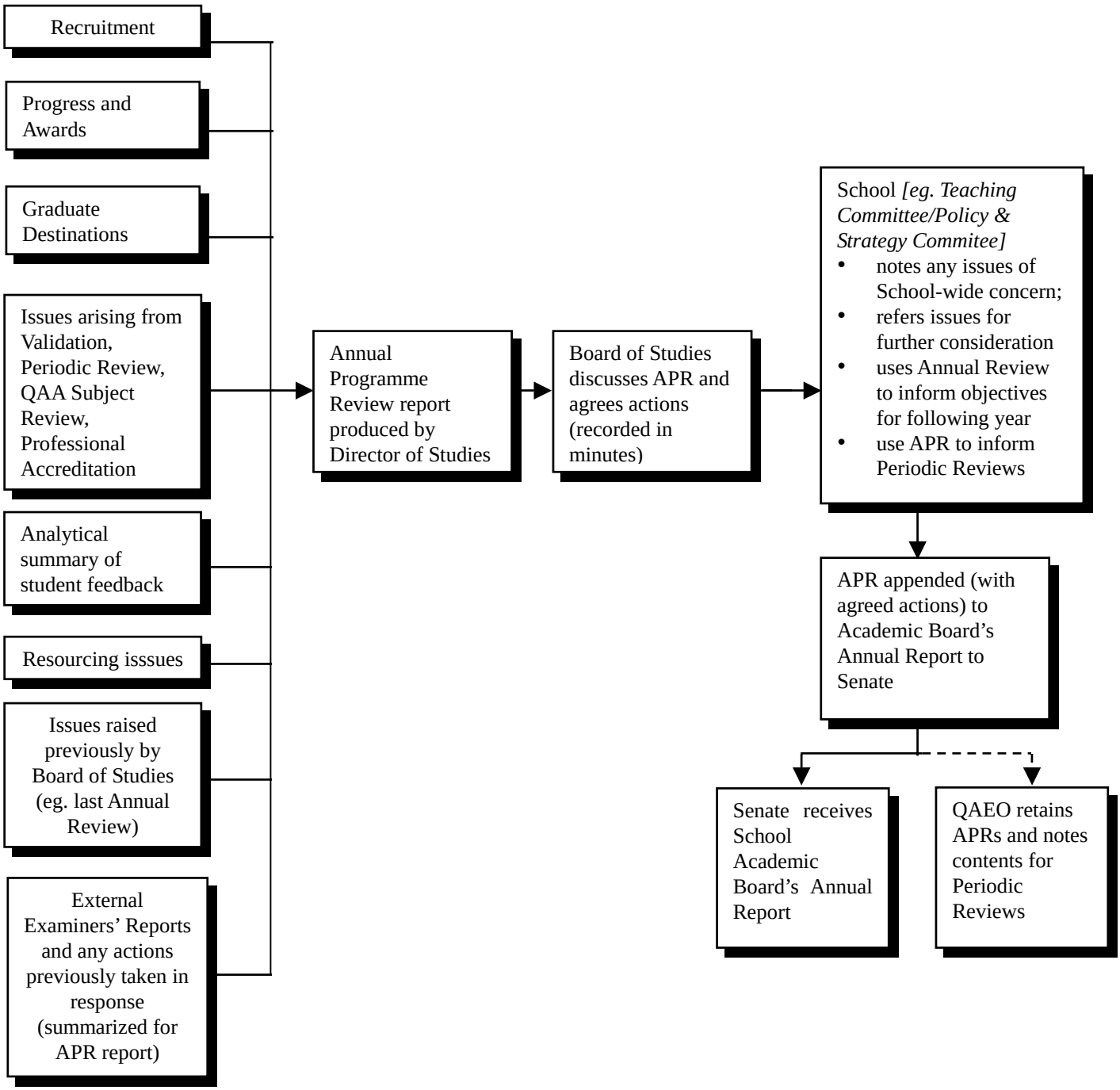


Figure 3: The flow of Annual Program Reviews.

2.6 The role of students in Quality Assurance (student feedback)

It goes without saying that one of the major aspects of a university's work is the education of its students. Asking students to evaluate the overall level of education they are being given at the University is an extremely direct method of assessment, and as such it is useful for proposing improvements. Student feedback to the education program is done partly using questionnaires, but also by student representatives who are elected to university and school committees. The following are examples of methods used at Surrey University.

(The need for feedback from students)

1. Student viewpoints make an important contribution to the development of the University program and various services. For this reason, accurate student feedback in regard to various courses and subjects is considered vital in the management and operation of study programs. Schools decide for themselves the detailed methods they will use to collect student feedback (including the questions to be asked), but each year the Board of Studies will invite students to speak about their experiences, as well as present written or electronic versions of feedback.

(Procedure for collecting feedback)

2. As one part of the framework for quality assurance activities across the school as a whole, student feedback in regard to taught subjects is considered based on the model shown in Figure 4. This model is adjusted as appropriate to fit the needs of different disciplines. The figure shows Quality Loops, which ensure that the system maintains visibility. Within Quality Loops, student feedback is included in issues for staff development reviews, and where necessary is used to indicate particular problems with staff development.

3. In order to maintain accuracy in terms of feedback contents, members of staff involved in the teaching of a particular subject are not permitted to be involved in the collection and / or analysis of student feedback in that subject. It is recommended therefore that student feedback regarding taught subjects is analyzed by the Director of Studies or a third party nominated by the head of the school in question. Comments made in regard to a particular named member of staff are usually removed from the summary presented to the Board of Studies, and considered separately by the head of school or Director of Studies.

(Responding to feedback results)

4. The responsibility for discussing the summary of feedback used as one aspect of the Annual Program Review framework lies with the Board of Studies. Some schools have other methods of examining feedback. Efforts are made to see that actual problems arising are dealt with quickly by the Director of Studies or another member of the board, before it becomes necessary for them to be summarized and discussed by the Board of Studies. Serious problems are dealt with immediately. In such cases, the Board of Studies is required to notify the action it is to take. Action completed by the Board, and actions taken in the past and reported upon, are all required to be recorded. A synopsis of the main issues arising and any changes made to the program as a result should be included in the Annual

Program Review.

(Notifying students of measures taken)

5. Measures approved by the Board of Studies must be reported to the student body. In most cases, this is done by the Board of Studies reporting to the Student Representative (or through the Staff / Student Consultative Committee, where such a body exists). Schools may also display summaries of measures being taken on student notice boards or using other appropriate methods.

(Relationship to Staff Development)

6. It is recommended that the summary of course subjects is passed to the staff development reviewer for use in Staff Development Review discussions. Evaluation categories are used in establishing necessary areas for staff development.

(Two-stage questionnaires)

7. There are various types of questionnaire. The process shown in Figure 4 shows a two-stage model (the whole figure including shaded boxes), which is employed in order to avoid 'questionnaire fatigue'. This model involves a single questionnaire being used jointly for all subjects at first. This allows levels of satisfaction / dissatisfaction / agreement / disagreement to be checked in five stages, in response to a small number of generalized questions, and gives a wide-ranging evaluation of courses according to subject. A space for student comments is placed next to the check boxes. This first stage questionnaire is used to detect courses that are showing problems, and these courses can be analyzed further using a subsequent and more detailed questionnaire. Schools are able to use questionnaires for various other reasons as appropriate (such as the monitoring of a new course subject).

(Student feedback regarding programs)

8. Questionnaires are also used as an opportunity to enquire as to the students' opinions in regard to a program as a whole, for example, the level of satisfaction with the consistency of a course, the number of optional subjects, their relationship with teaching staff, the balance and loading of results evaluation across subjects, study materials and environment within the department (the space available for computing or experiments, etc.), and their ease of use and quality. Departments are able to implement detailed questionnaires in regard to single courses if they so choose. They are recommended, however, to use an overall evaluation at set stages (or the end) of a program.

(The others)

9. It is important to achieve a high rate of questionnaire retrieval in order to guarantee accuracy. Departments are required to consider ways to improve their rate of questionnaire retrieval.

10. Examples of questionnaire format are available from QAEO.

11. The above is a record of student feedback as it is used as an aspect of accurate program monitoring. As well as official feedback, individual tutor relationships between students and staff as part of the University's program of activities, as well as individual interaction, are also required, and it is important to remember that official feedback activities are only a part of the continuing conversation between students and the University.

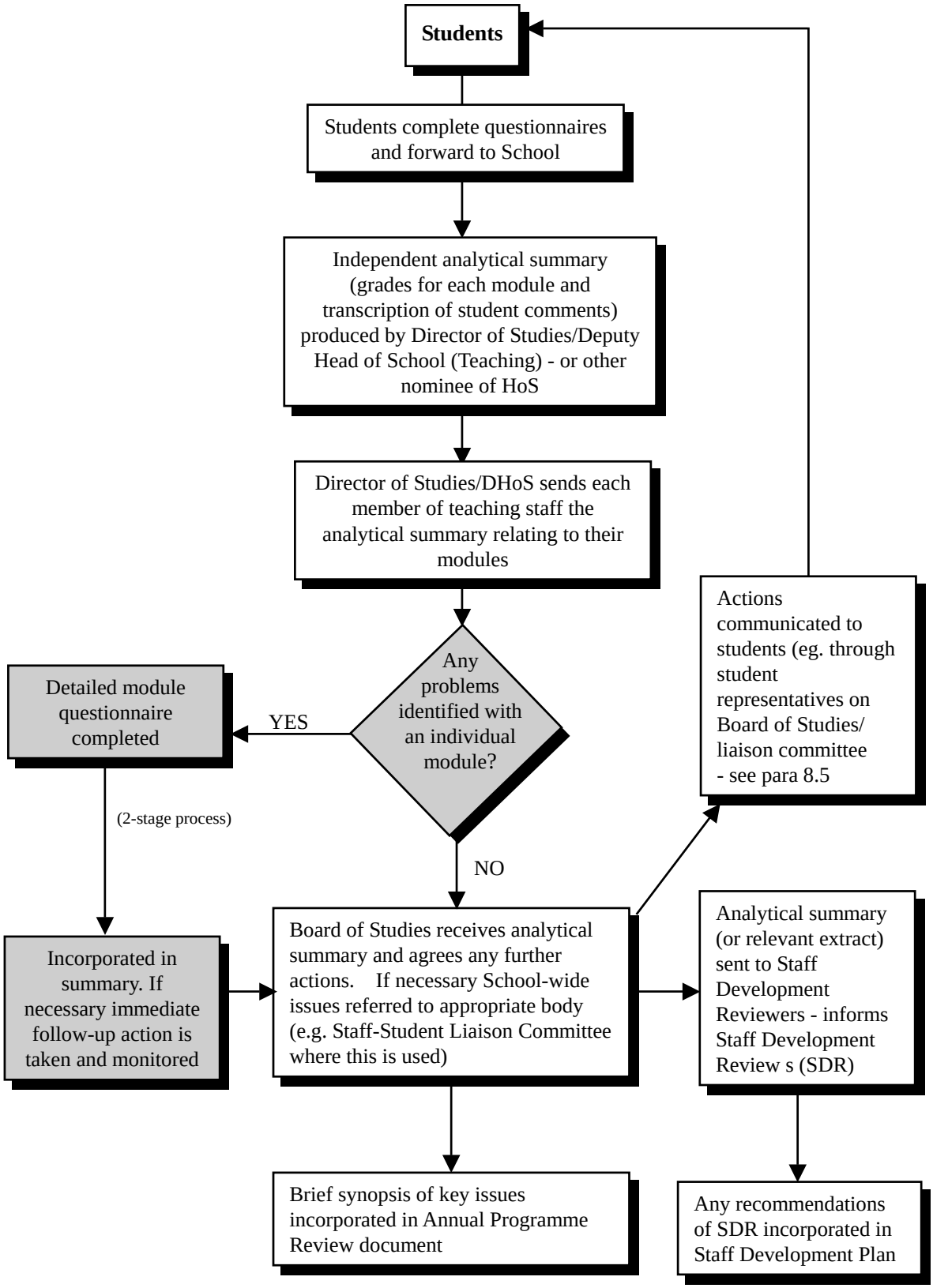


Figure 4: A model of student feedback in regard to course questionnaires.

2. 7 Conclusions

Surrey University's website states that the University's unique features include 1) that it is involved in world-class research, 2) that its educational courses give a thorough grounding in study, research and specialist professions, 3) that its educational facilities are top-level, 4) that it has an extremely high rate of employment among graduates, and 5) that it is an international university. In this study, however, we are more interested not in establishing the truth of these statements, but in focusing on the reasons why the University chose to make these statements the defining features of its activities. This is largely to do with the Quality Assurance system operating within the University. At Surrey, an assessment and improvement system is in place for education and study, research and venture startups, and staff development. These systems are functioning efficiently. In particular, a high level of quality is achieved and maintained in various academic areas of teaching and research programs that span several schools. Our visit to Surrey University involved meeting with various related staff and hearing their explanations of quality assurance in various contexts, and we felt that the system and its applicability are very convincing. The files used to explain the presentation were also extremely well prepared, and explanations were easy to understand. The fact that the speakers seemed used to presenting their material is a mark of the level to which they are involved in quality assurance activities as part of their daily routines.

Recently there have been some significant changes in the composition of students entering universities. Students come from a range of educational backgrounds and cultures (ways of thinking). Against this background, universities face the important challenge of establishing and operating a quality assurance system that will allow these students from diverse backgrounds to polish their own unique skills in a way that can be useful in society. Our visit to Surrey University, as a university which has established and is operating such a system and maintaining a high level of university activity, was a valuable experience from this point of view. The study team very much hopes that it will be possible to establish a high-quality quality assurance system at Kyushu Institute of Technology based on the experience of this visit.

3. Surrey University and partnerships with Industry

Surrey University has one of the highest levels of partnership with industry of all universities in the UK. The organization that plays the main role in industry / academia partnerships is known as UniSdirect. Based on the philosophy that a university has access to technology and intellectual property that is useful to the world at large, and that this has potential to promote economic development, Surrey University founded UniSdirect in 2001. Prior to UniSdirect, the University already had a Business Liaison Office, which had been open since the 1970s, and had established the Office for Research and Commercial Services in 1980s, and the Office for Research Support and University Enterprise in 1996. The Surrey Research Park also opened in 1980.

3.1 UniSdirect

The main objectives of UniSdirect are as follows:

- To vitalize and promote research activities within the University
- To pioneer, develop and promote partnerships with industry and commerce
- To protect and utilize intellectual property belonging to the University
- To develop and promote University corporate activities and venture startups.

In addition, through technical training and the use of University specialist knowledge and facilities, the University is able to offer greater support to regional corporations and businesses, and play a role in supporting their development. This is also the role of UniSdirect.

In order to fulfill the objectives outlined above, UniSdirect has the following functions.

- Supporting corporate and business activities, and venture startups
- Extracting intellectual property that emerges as a result of research and development, and protecting it.
- Utilizing intellectual property
- Supporting small and medium sized regional enterprises
- Supporting research and development
- Marketing research and development
- Supporting policy-making

Of these functions, the office on the Research Park maintains relationships between the University and external organizations, while support for University research and activities related to intellectual property are handled at the University campus office.

3.1.1 Support for corporate activities and venture startups

Surrey University considers its own activities as a base for corporate activities. The University has started up six venture companies, as will be explained below.

(1) Seed funding

Seed funding is allocated to projects that emerge from within University research and are considered to be investment opportunities that guarantee a good return. The investment sums range from 5,000 GBP to 100,000 GBP (around 1 million to 20 million yen), and investments are made to new companies in return for equity, or to other projects in return for a share of profits. This funding is managed jointly by the Universities of Surrey, Sussex, Reading, Brunel and Royal Holloway.

(2) Business Hatchery

UniSdirect has established a pre-incubation facility known as the Business Hatchery on its Research Park, with the aim of developing ideas within a supportive and guiding environment, so that they can reach the stage where a business startup becomes possible. The Hatchery does not involve only University staff and students, but is also offered for use to external clients. At present, the Hatchery offers 15 spaces, of which 14 are in use. 9 of these are being used by external venture corporations, and 5 by University ventures.

(3) SETsquared

The UniSdirect SETsquared center offers facilities and specialist knowledge to intellectually based businesses with particular ideas that have high latent potential for growth and are still in their pioneering stages. Surrey University is one of four universities participating in the SETsquared partnership. The others are Southampton, Bristol and Bath.

3.1.2 Intellectual Property

The University owns all intellectual property created by students or staff. UniSdirect manages the protection and commercial use of University intellectual property. Intellectual property is utilized either by licensing or directly in University venture startups, as appropriate. 14 licenses were granted by the University between 2001 and 2002.

The University's basic policy in regard to licensing is as follows:

- The implementation of trade negotiations based on a realistic awareness of risks and return
- Ensuring development with a wide potential for application
- Ensuring that the licensed party is granted the appropriate rights to enable commercial development
- Ensuring that as many corporations as possible can be granted rights to intellectual property
- Ensuring that various applications can be developed in parallel.

Table 1 (below) shows the distribution ratio of profits gained through licensing.

Table 1: Distribution ratio of profits gained through licensing

	Developer	Center	University
£50,000 or less (10 million yen or less)	70%	15%	15%
£50,000 – 150,000 (10 to 30 million yen)	50%	25%	25%
£150,000 – 250,000 (30 to 50 million yen)	40%	30%	30%
£250,000 or more (50 million yen or more)	35%	35%	30%

3.1.3 Support for regional small and medium sized enterprises

(1) UniSconnect

UniSconnect is a new business club for small and medium sized corporations, which is provided so that members can take advantages of the many resources owned by Surrey University. The club is funded by membership fees.

(2) Surrey Enterprise Hub

Surrey Enterprise Hub consists of 30 corporations local to the Surrey area, which have been founded in the region by SEEDA (the South East England Development Agency). The main purpose of this progressive experiment is to promote economic development in the area shown below.

- Providing a forum in which regional corporations are networked together.
- Promoting the involvement of entrepreneurs in skills, research, technical reforms and business support.
- To provide and promote the use of flexible operating space
- To promote the use of capital in early stage businesses

The Surrey Enterprise Hub is supported by cooperative relationships between the University of Surrey, Royal Holloway University of London, Leatherhead Food Research Association and Business Link Surrey.

The Hub focuses on startups with high potential for growth in high-level technological areas such as digital technology, new media, information security, bioscience and food science. In addition, the University owns the Research Park for small and medium enterprises, which is described below.

3.1.4 Support for research and development

The University supports its staff in undertaking research commissions and technical consultancies,

through providing information relating to research, checking research contracts, and other aspects.

3.1.5 Marketing research and development

UniSdirect has an innovations network manager, who works on marketing of research and development, as well as an innovation forum, which operates as a showcase for research. UniSdirect also has special advisers. The Surrey TCS Center cooperates with the implementation of the University's TCS (Teaching Companies Scheme), through promoting the transfer of skills and knowledge between the University and corporations.

3.1.6 Support for policy making

UniSdirect supports the policy making procedures of the following organizations, through the work of special advisers.

- Government Office of the South East (GOSE)
- South East England Development Agency (SEEDA)
- South East Regional Assembly (SERA)
- Surrey County Council
- Surrey Community Strategy
- Surrey Economic Partnership
- Local District Councils
- Higher Education South East (HESE)

3.1.7 Financial Information

UniSdirect has an annual budget of 1.8 million GBP (approximately 360 million yen). Of this, 620,000 GBP (approximately 124 million yen) come from the University, for research support and enterprise support. 200,000 GBP per year (approximately 40 million yen) is obtained from the HEIF in order to support the Research Park's Hatchery. 300,000 GBP per year (approximately 60 million yen) is being paid over a period of thee years by HEIF to support the Innovation Network Manager and the TCS center. A further 300,000 GBP (approximately 60 million yen) is supplied by the European Social Fund, while 400,000 GBP (approximately 80 million yen) comes from the Higher Education Reach Out to Business and the Community funding.

3. 2 The Surrey Research Park

Surrey University maintains a Research Park 1.5km from its campus, with an area of 28ha. The Park is currently in the process of being developed. The venue has a market value of 70 million GBP (approximately 14 billion yen), and generates income for the University. It provides a

profitable venture development service and is playing a valuable role in encouraging economic development within the region. More than 150 companies are engaged in research over a wide range of subjects, and the Park employs over 2,500 staff. The activities of UniSdirect outside the University campus are focused on the Research Park. This includes the Business Hatchery and the TCS center, as well as the SETsquared center.

3. 3 Venture startups emerging from the University

Surrey University encourages the utilization of research results, and works hard to raise the spirit of enterprise among teaching staff, researchers, students and other staff. The University has several success stories in regard to venture startups. Patrick Dowling, the Vice-Chancellor, believes that commercializing research is an important strategy for universities, as well as a way of closing the gap in financial resources held by various universities.

The most successful venture corporation that has come from Surrey University has been the Surrey Satellite Technology Limited. The company has a building on the University campus. To date, it has launched 22 small-scale satellites on behalf of developing countries, and achieved sales of 90 million dollars (approx. 11 billion yen). The company has a reputation for being a world leader in terms of small-scale satellite applications and technology.

Other examples of University venture corporations are as follows:

-Cybersense (In-situ bio remediation)

-IECOS (Environmental system analysis and software)

-Toric (Anti-jitter electronic circuits for semiconductor chips)

-OmniPerception (Facial perception technology and software)

-Creative X-Ray (Technology that reduces X-ray exposure in airport security systems)

3.4 Conclusions

The following section deals with the industry / academia partnerships maintained by Kyushu Institute of Technology, and a comparison with those of Surrey University. Suggestions are made for ways in which the Kyushu Institute of Technology should be looking to change in the future.

Kyushu Institute of Technology (henceforth referred to as KIT) was established as an engineering vocational school, and has a history dating back almost 100 years. Its history and age are similar to those of Surrey University, and Surrey University's philosophy in regard to industry / academia partnerships contains much that is useful to KIT.

In preparation for the independent incorporation of national universities in 2004, KIT's President Miyasato has noted that academia / industry partnerships will be one of the pillars that support the University in the future. Industry / academia partnerships were not possible under the conventional national universities system, due to various restrictions, but such policies and strategies become

possible once the universities are incorporated, and it is thought that the incorporation system will bring a breath of fresh air to regional engineering and science-based universities. The visit to Surrey University enabled us to examine various possibilities related to this. In addition, the promotion of industry / academia partnerships was clearly seen to be making a direct contribution to the development of the university as well as the growth of the regional economy.

KIT has established a Center for Cooperative Research, which is involved in industry / academia partnerships. The center was opened in 1989, and a second site established (the Iizuka site) in 2000. In preparation for incorporation, further attention is being paid to industry / academia partnerships and their promotion, and the Institute is involved in building up the joint research center, with the intention of changing its organization into an industry / academia partnership center.

In preparation for the establishment of the Industry / Academia Partnership Center, specific proposals that arose as a result of this visit are as follows.

- Conventionally, the has operated with a liaison function involving one member of the Institute's academic staff for each member of the corporation involved (particularly in cases proposed by corporations). In the future, it is thought that there will be a particular need to market research and development emerging from the Institute in an organized way, and the Industry / Academia Partnership Center should play a central role in this.
- The Center for Cooperative Research is planning an industry / academia partnership club (provisionally named the Kyutech Club) similar to UniSdirect at Surrey University. The club will charge a membership fee, and it is hoped that around 500 members will be recruited from among small and medium enterprises in the local area.
- Conventionally, a large number of patent rights have been granted to the individuals engaged in research in cases of inventions or discoveries by teaching staff at national universities. Since, however, it is extremely difficult for individuals to actively utilize patent rights, and since, also, it has become possible for universities to hold the rights to patents once they are incorporated, it is likely that patent rights on discoveries or inventions by university staff will in the future lie with the universities. At present, patents held by the state pay a 30% dividend of their income to the inventor. Once the Institute is incorporated, however, it is thought that raising the percentage paid to the inventor, along the lines of that paid by Surrey University, will reward staff efforts in research, and promote the positive involvement of industry in the development of new technology. At present, the Institute is applying to the Ministry of Education to be allowed to develop an Intellectual Property Office.
- KIT is currently in the process of developing an incubation facility at its Iizuka Campus, as one aspect of its strategy to support venture startups within the Institute. This visit was of great help to us in terms of the amount of ideas generated by visiting the Hatchery and understanding the philosophy of pre-incubation. In fact, KIT intends to include a pre-incubation space within the new facility, to support technical ventures at the idea level. In particular, we intend to allow students to use this space free of charge.

The overall impression gained was that the financial scale of the two organizations is not really comparable, and the distribution of human resources is also significantly better at Surrey. These are both reflections of the importance of industry / academia partnerships.

Kita Kyushu and Iizuka cities are both potentially important centers of regional economic growth that can play an important role in the future of KIT. At the same time, Surrey University is also contributing significantly to the development of the regional economy in its area. KIT must also take seriously its responsibility in this area, and we are convinced that this itself will contribute to the development of the Institute.

4. Future developments

On May 28, 2003, an international exchange agreement was signed by the President of Kyushu Institute of Technology, Tatsuro Miyasato, and the Vice-Chancellor of the University of Surrey, Patrick Dowling. The two men met for the first time in February 2002, and various types of interchange have taken place since then at different levels throughout the universities.

Last September, we hosted Professor Peter Bunyan, Surrey University's specialist on regional partnerships, in a stimulating series of lectures and advice sessions at our Center for Cooperative Research. In addition to this, KIT was selected as a participant in the Japan-UK Higher Education Change Management Project, organized by the National Institute for Academic Degrees and University Reviews, as part of which our President and six other members of staff were able to visit Surrey University. The results of this visit are outlined in this report.

Stimulated by the Japan-UK Higher Education Change Management Project, we are extremely glad to have been given the opportunity to form this exchange and cooperation link with Surrey University, since the University has such high standards.

In particular, this link is not an agreement only for educational and research exchange purposes, but also includes the sphere of industry / academic partnerships and regional partnerships, and it is significant for this reason that the agreement has been made with Surrey University, which is extremely progressive in all these areas. In particular, Surrey University provides an excellent example of a University that has striven to improve its research and educational standards, and achieve budgets appropriate to the level at which it is evaluated, and additionally, take proactive measures to significantly increase its external funding, through technology transfer, industry / academic partnerships, local partnerships, etc. – all areas in which Kyushu Institute of Technology is currently engaged.

We are convinced that the agreement made with Surrey University will be a significant catalyst in moving Kyushu Institute of Technology in the direction it needs to take for the future.

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