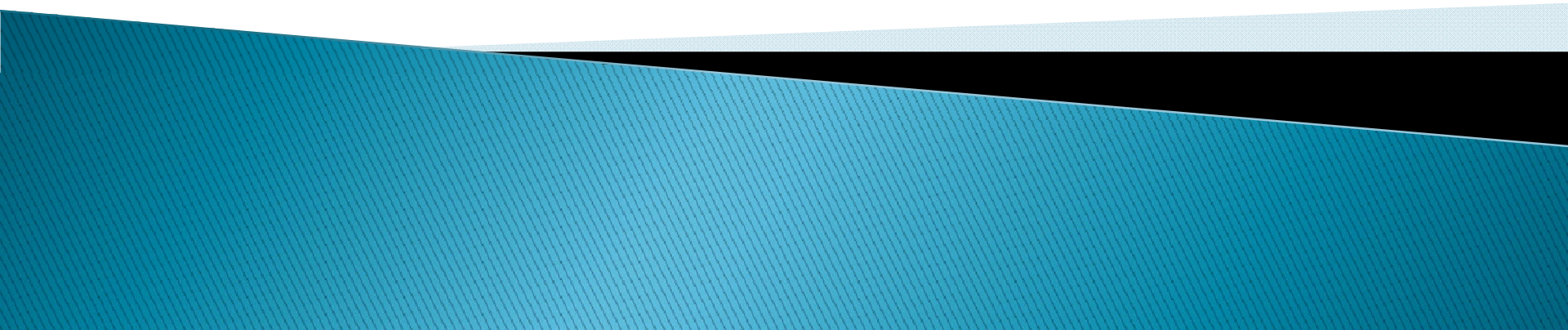


Discussion Presentation

Current Situation and Issues in University Governance - the U.S. and Japan -

Professor Takashi Hata

Center for the Advancement of Higher Education, the University of Tohoku



Three Main Points for Discussion

- ▶ **What is the purpose of university governance, particularly at national universities?**


Due to rapid changes in government financing patterns, national university governance objectives should focus on raising funds and cutting costs, regardless of scale. We must once again clarify the purpose of governance at national universities.

- ▶ **Management at higher educational institutions and optimizing systems**

Corporatization has increased university autonomy, but there are many system-level problems that must be addressed to optimize management at educational institutions.

- ▶ **What can we learn from overseas higher education institutions, particularly those in America?**

The way in which higher education institutions become established depends on the context specific to each country. Globally speaking, higher education institutions in both the U.S. and Japanese possess unique characteristics. Finding areas of common experience requires close examination.

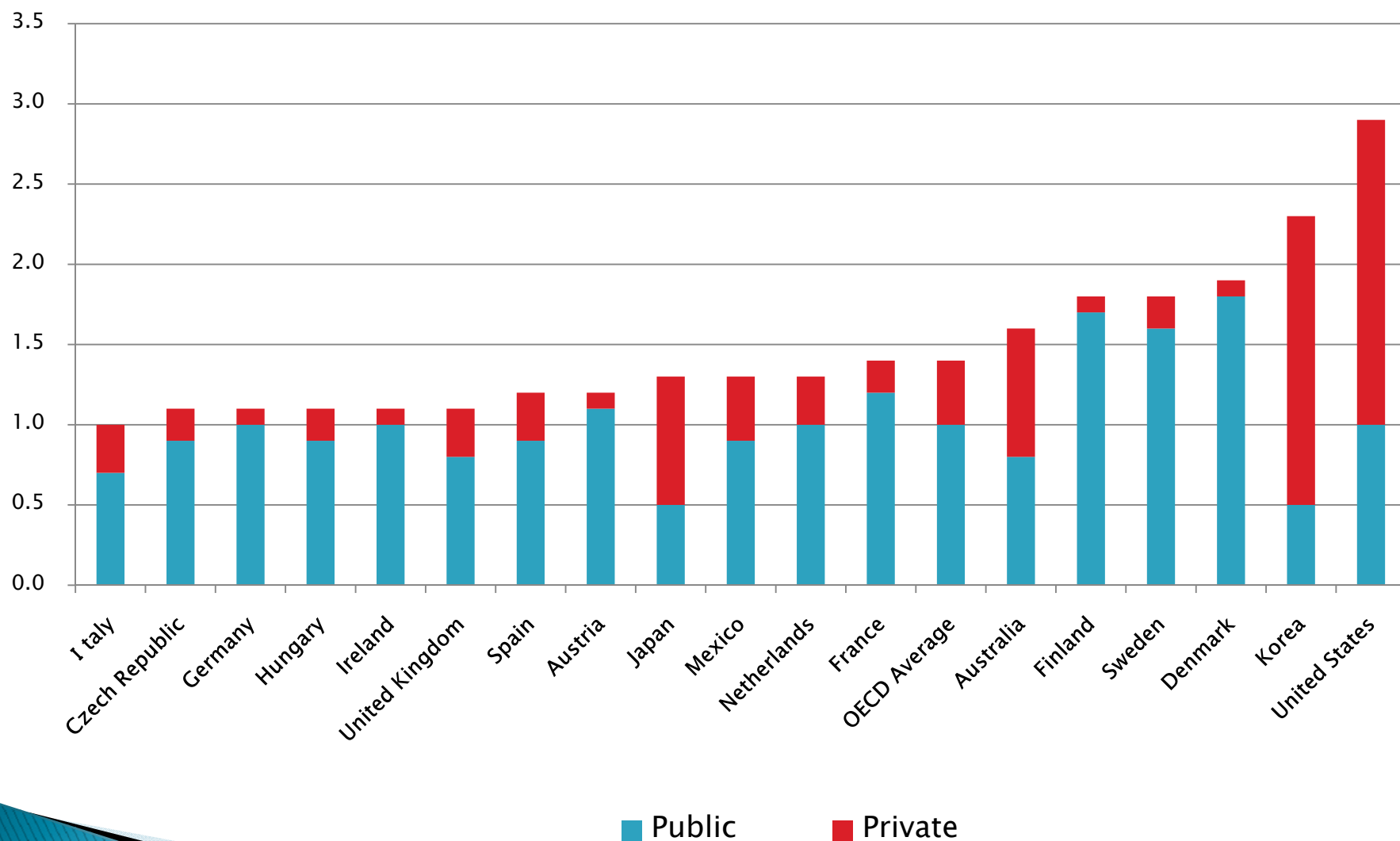


1. The Crisis at Public Universities and University Governance

- ▶ What is the “Crisis” of public universities in world-wide?
(Stephan Vincent-Lancrin.2007. *The “Crisis” of Public Higher Education: A Comparative Perspective Research & Occasional Paper Series*)
- ▶ Despite declining numbers, the public sector represents the mainstream of higher education.
- ▶ Japan and Korea have unique government financing structures for higher education institutions.
- ▶ The crisis at U.S. public universities:
 - Characterized by high-tuition, high-aid, and competition derived from the ranking system
- ▶ How are the roles of public universities changing?
(Ehrenberg.2006. *What’s Happening to Public Higher Education? The Shifting Financial Burden*)

Expenditure on educational Institutions as a percentage of GDP (2004)

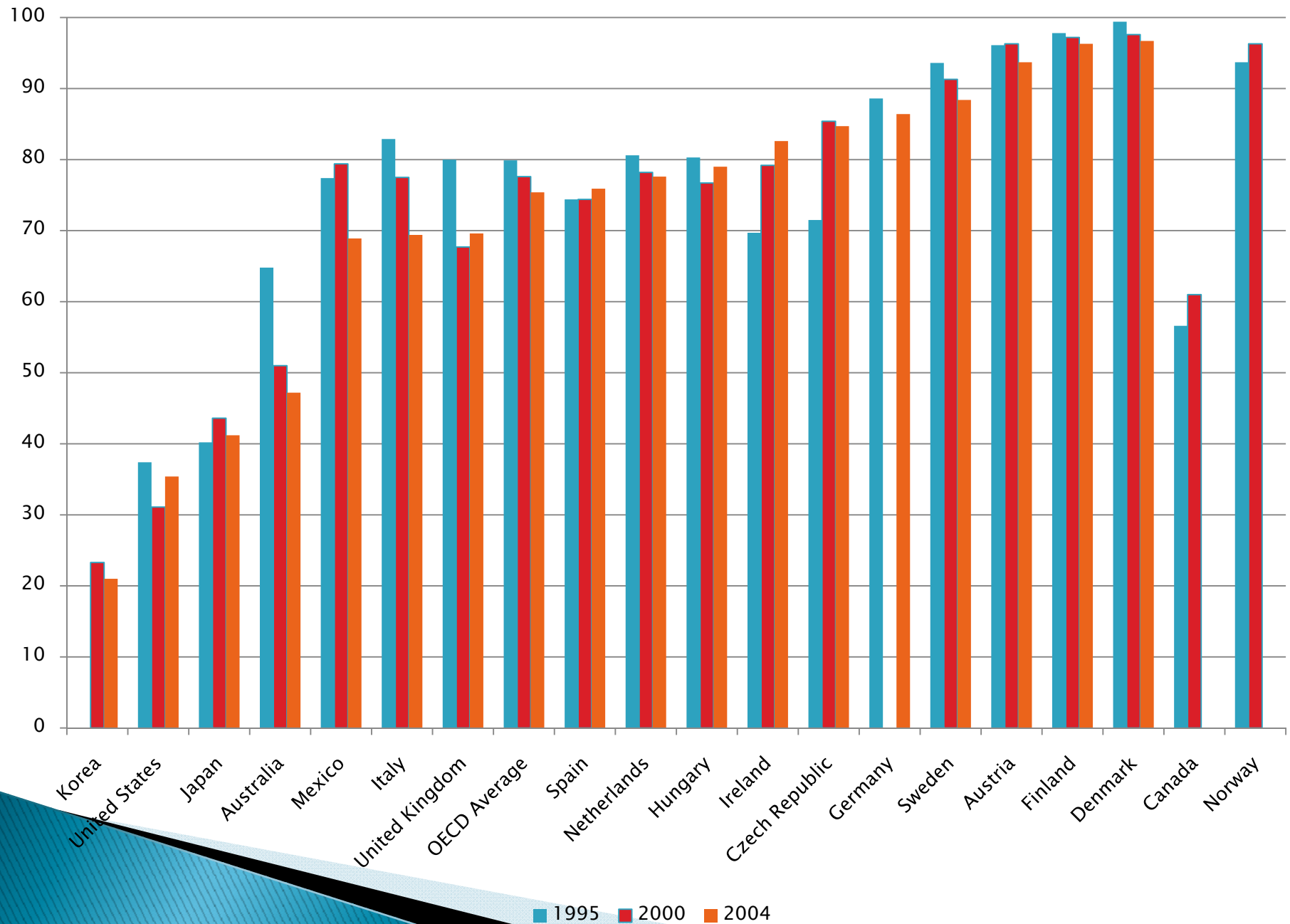
OECD, Education at a Glance 2007



Distribution of public and private expenditure on HEIs (2004)

OECD, Education at a Glance 2007

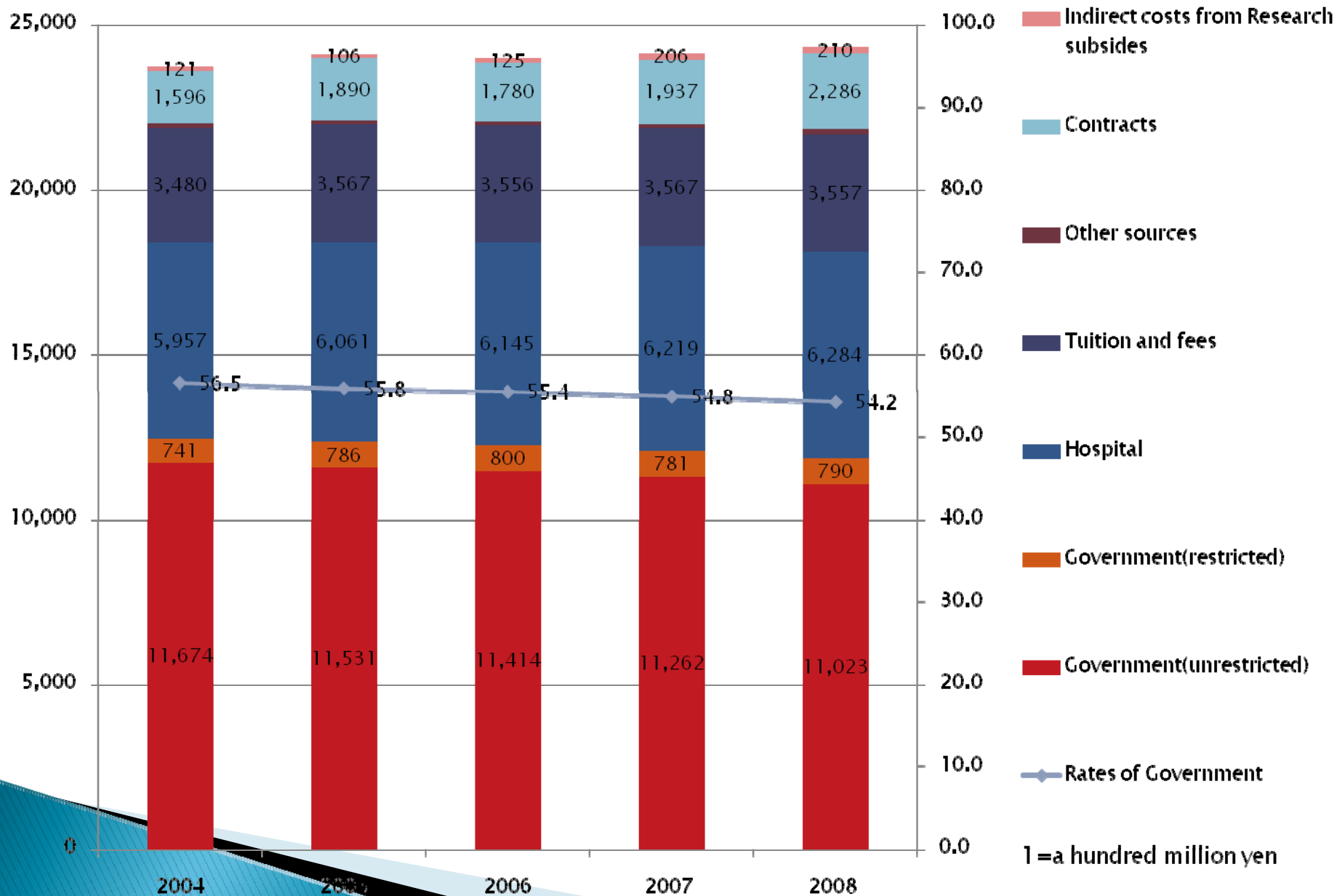
%



2. What is the “Crisis” of National Universities in Japan?

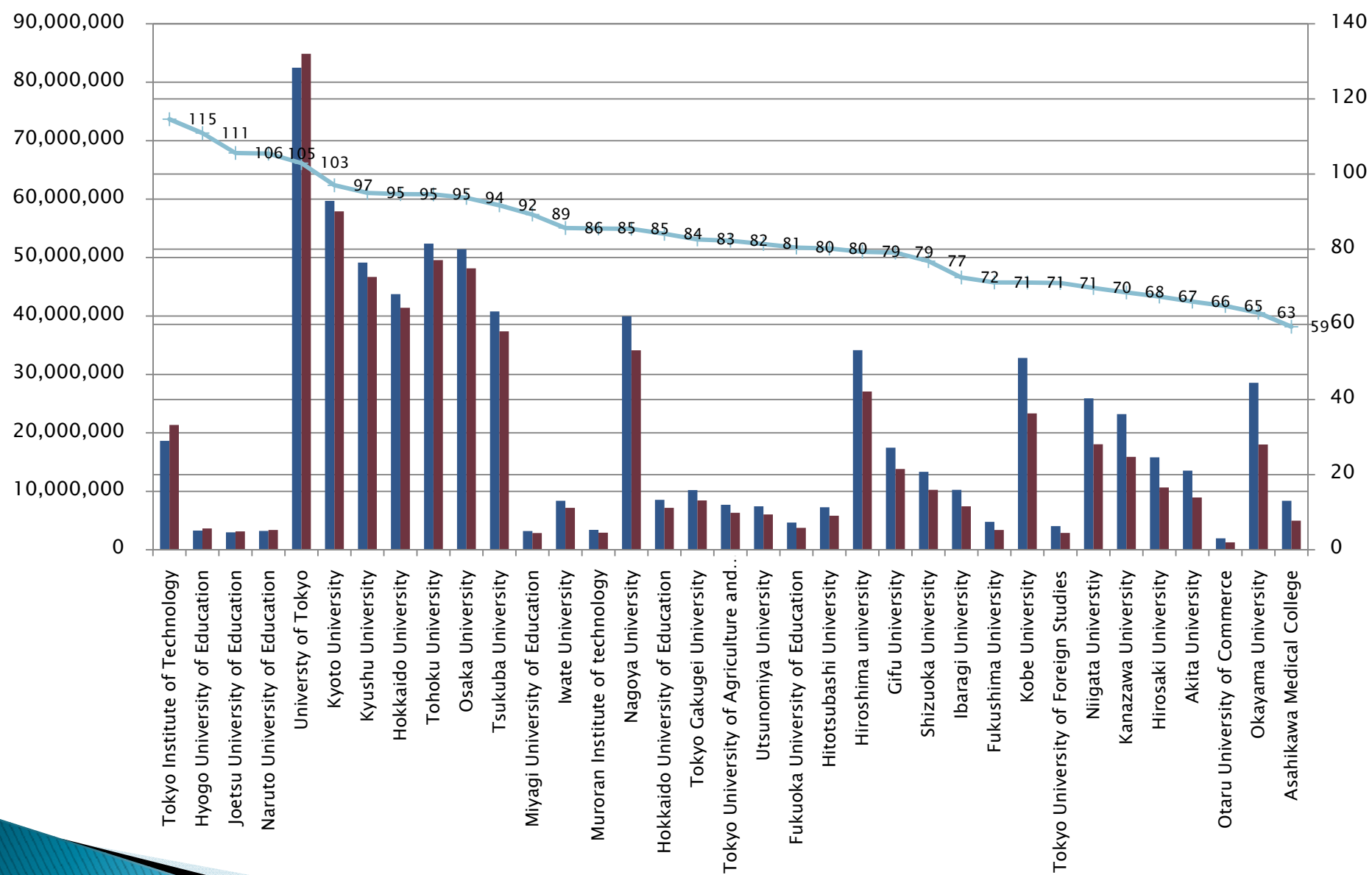
- ▶ The macro-level government financing situation.
 - Total resources don't decline
 - A decline in sources of public funding
 - A decline in general funding sources and an increase in specific & reserved funding sources
 - Indirect expenses revenues unable to absorb decline in general funding
- ▶ Disparities between educational institutions.
 - Government funding and Personnel costs
 - Differential capabilities for raising Competitive fund
- ▶ Pre-corporatization disparities have been transferred to the post-corporatization system.
 - How should make a balance between Universities

Sources of Revenue for National University Corporations (2004–2008)



(thousand yen)

%

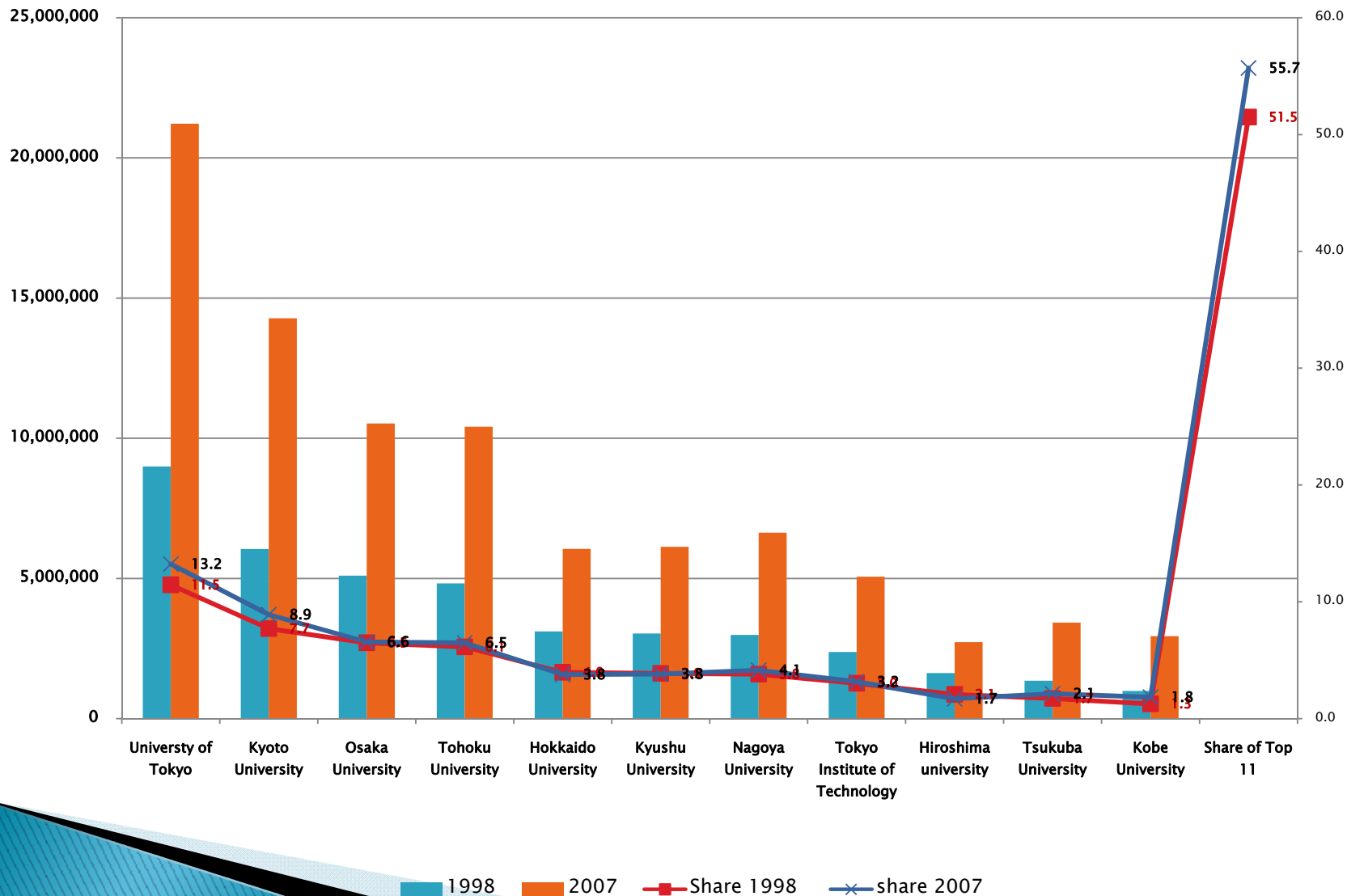


Faculty and staff costs Government funding Government funding/Faculty & staff costs

(thousand yen)

Share of Grant-in-Aid for Scientific Research Top 11 National Universities

%



3. What is Public functions of National universities ?

- ▶ Expanding participants in decision-making process
 - Pressure to national universities for changing the role of them
 - From institutions under the education policy to core-institutions for comprehensive national policy
 - Self-distrust of national universities
- ▶ Exchange roles under dual higher education system
 - “Success” of private universities for Massfication
 - Challenging of private universities under decreasing of 18 age population
 - Doubts on significance of national universities
- ▶ Re-definition the public functions of national universities

4. Public functions of National universities

▶ The role of government for higher education



- owner
- core funder



- planner
- partner
- customer

▶ Achieving regional equality for educational opportunities.

- There remains major inequalities in the opportunities for students in regions to progress to higher education.

▶ Higher educational institutions opened to all income classes.

- An unusual situation exists in Japan, where income inequalities are not reflected in inequalities in opportunities for students to progress to higher education.

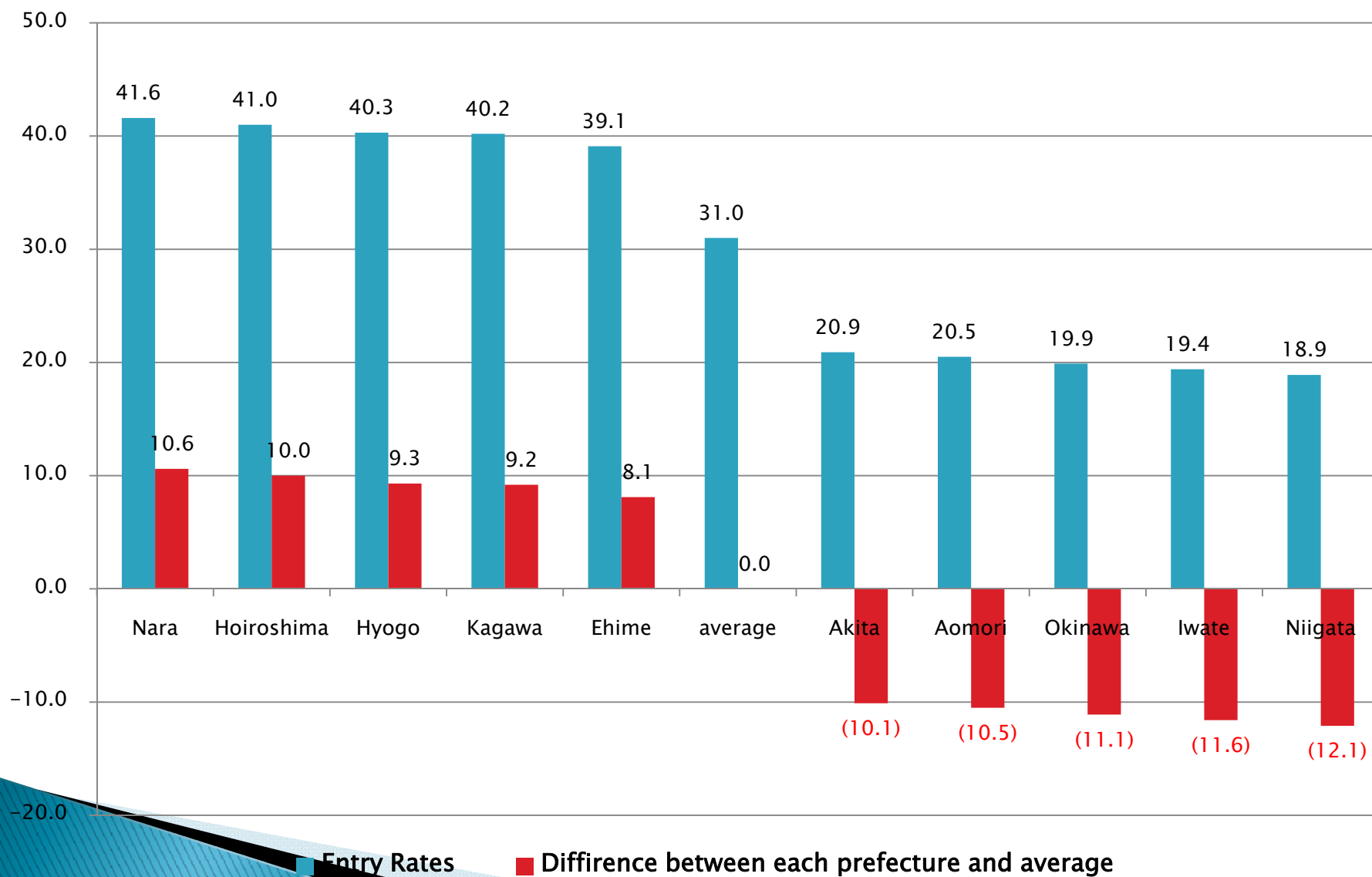
- Problems with data

- The results of the efforts of families

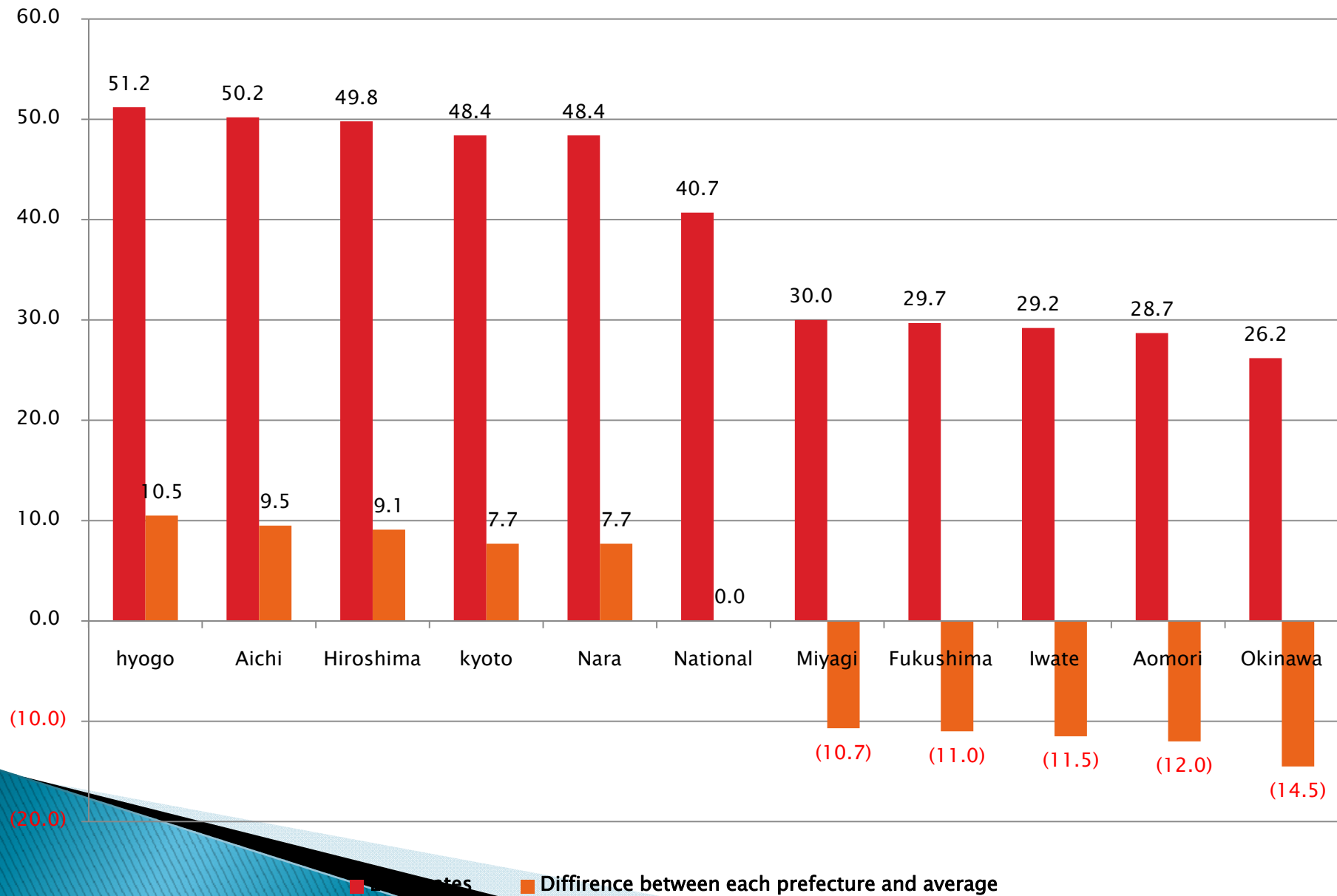
- The combining of income, academic ability, and gender factors (Kobayashi 2008).

▶ The pursuit of knowledge that exceeds short-term demand and reproduction.

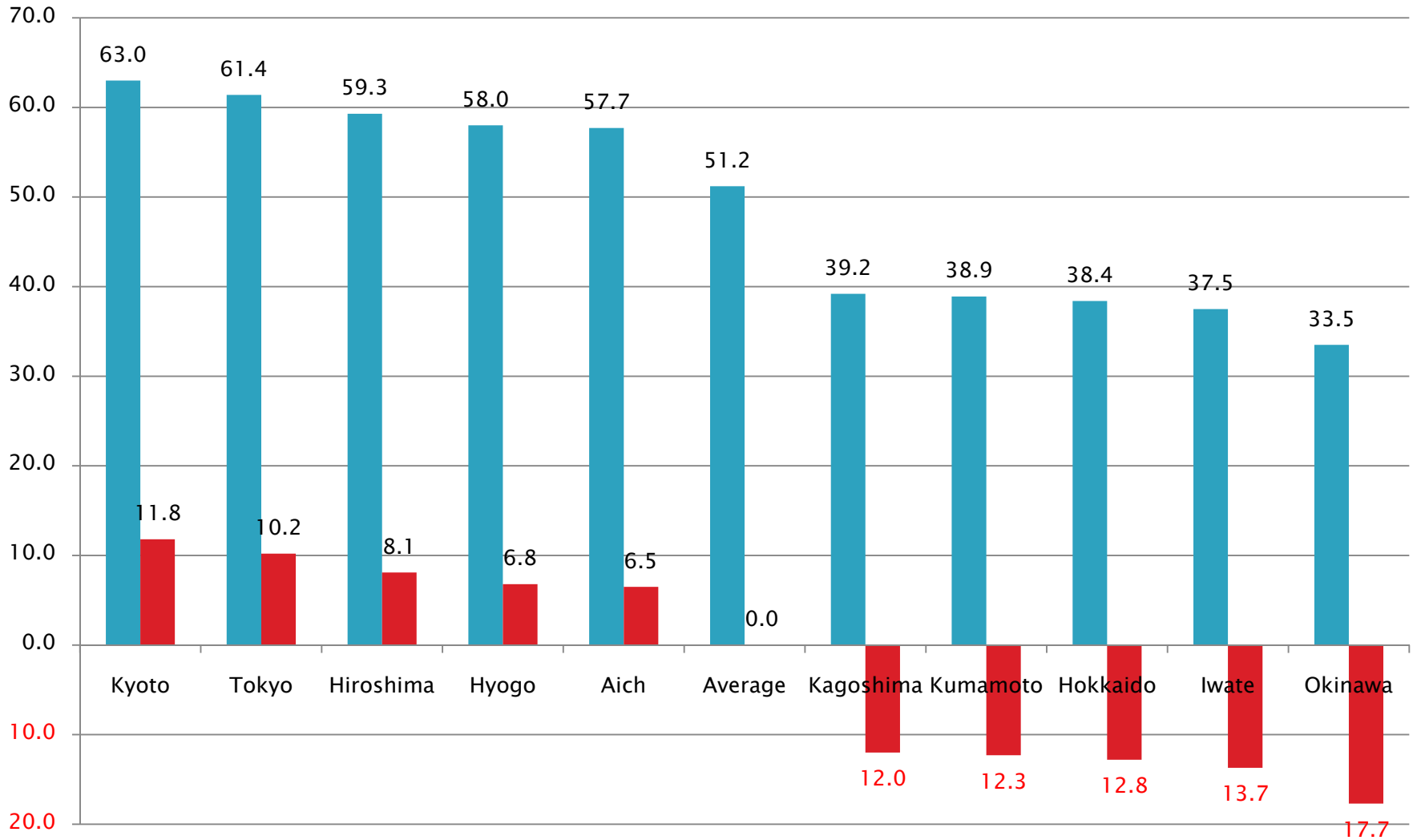
Entry rates into Higher Education(1987)



Entry rates into Higher Education(1997)



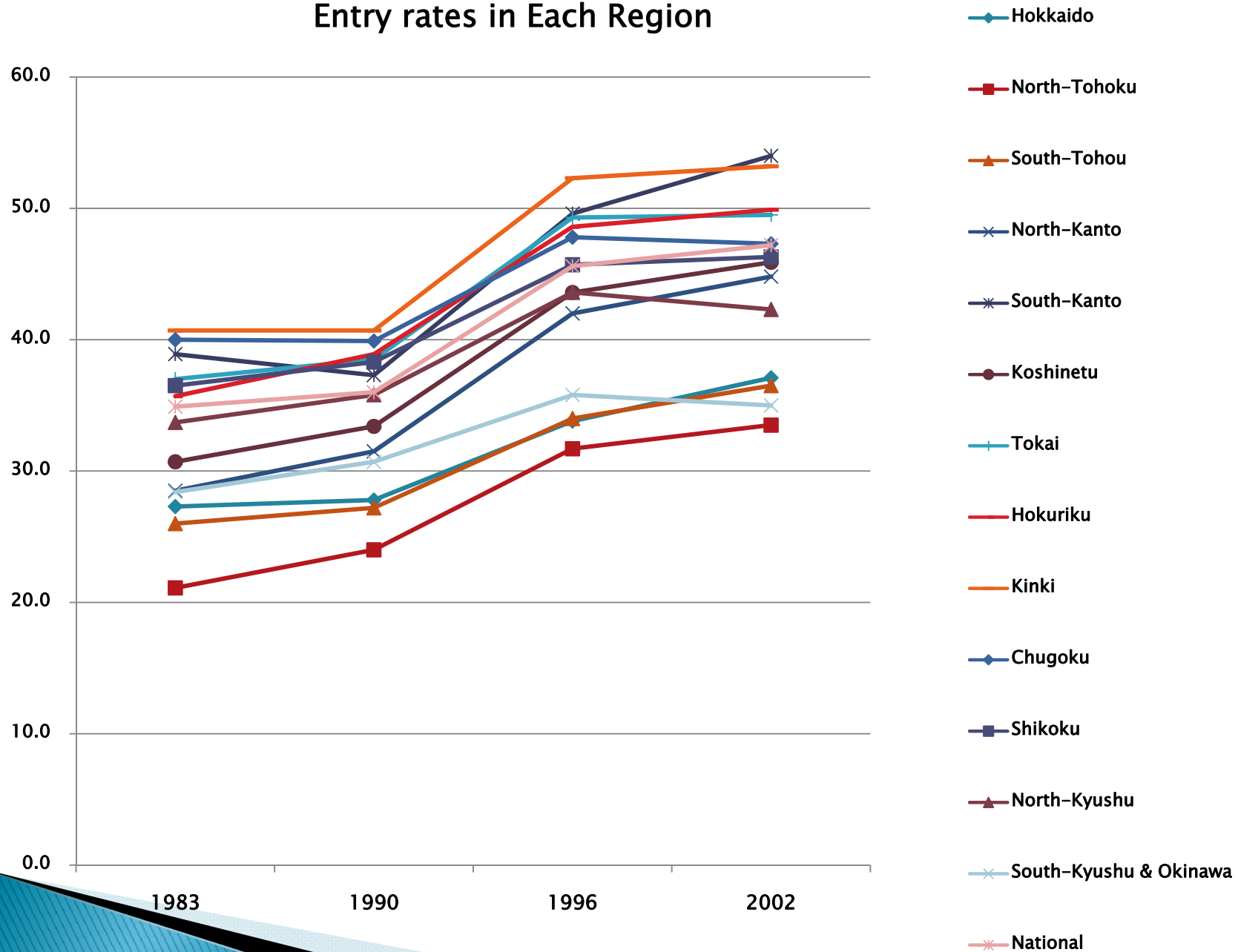
Entry rates into Higher Education(2007)



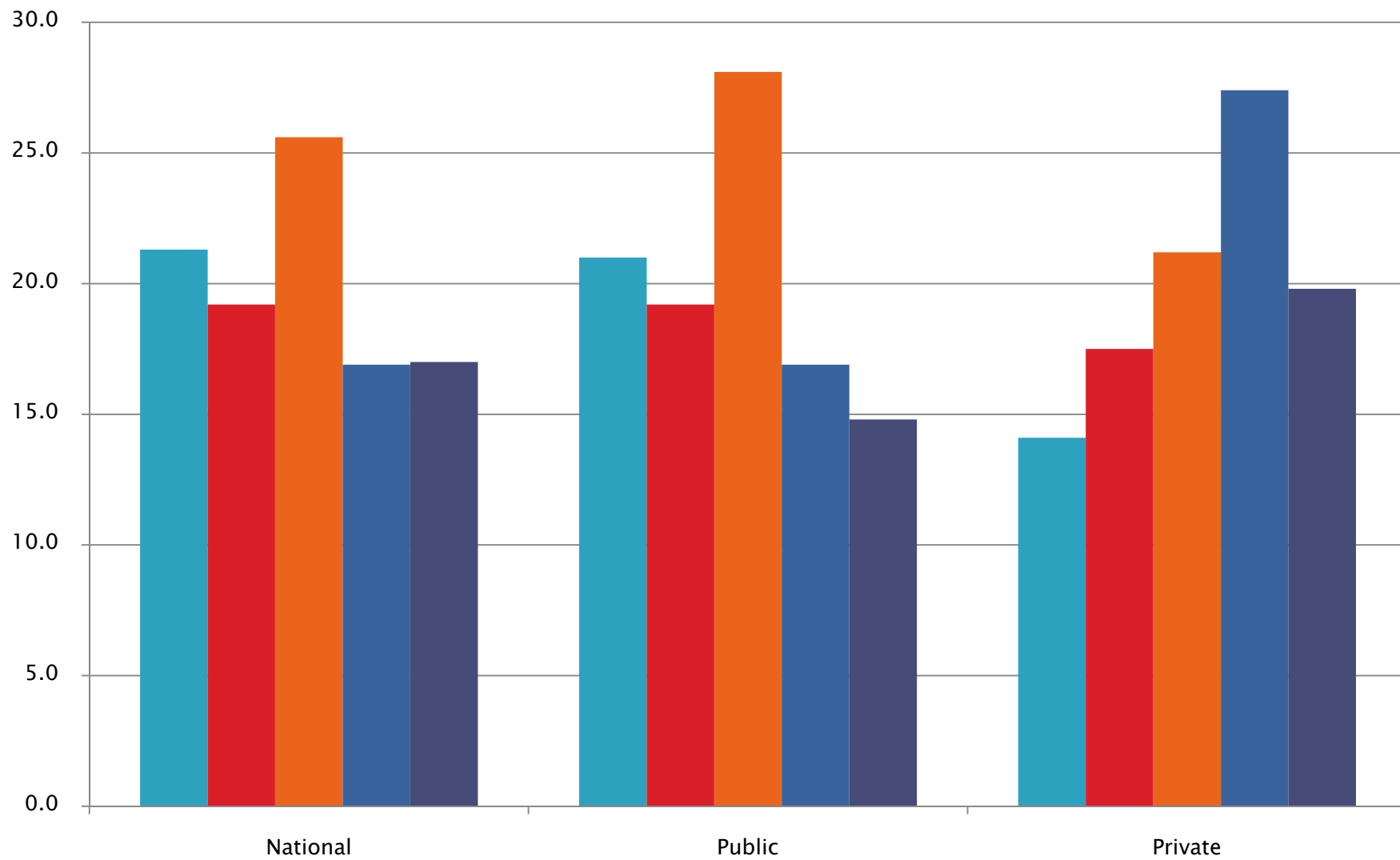
Average

Difference between each prefecture and average

Entry rates in Each Region

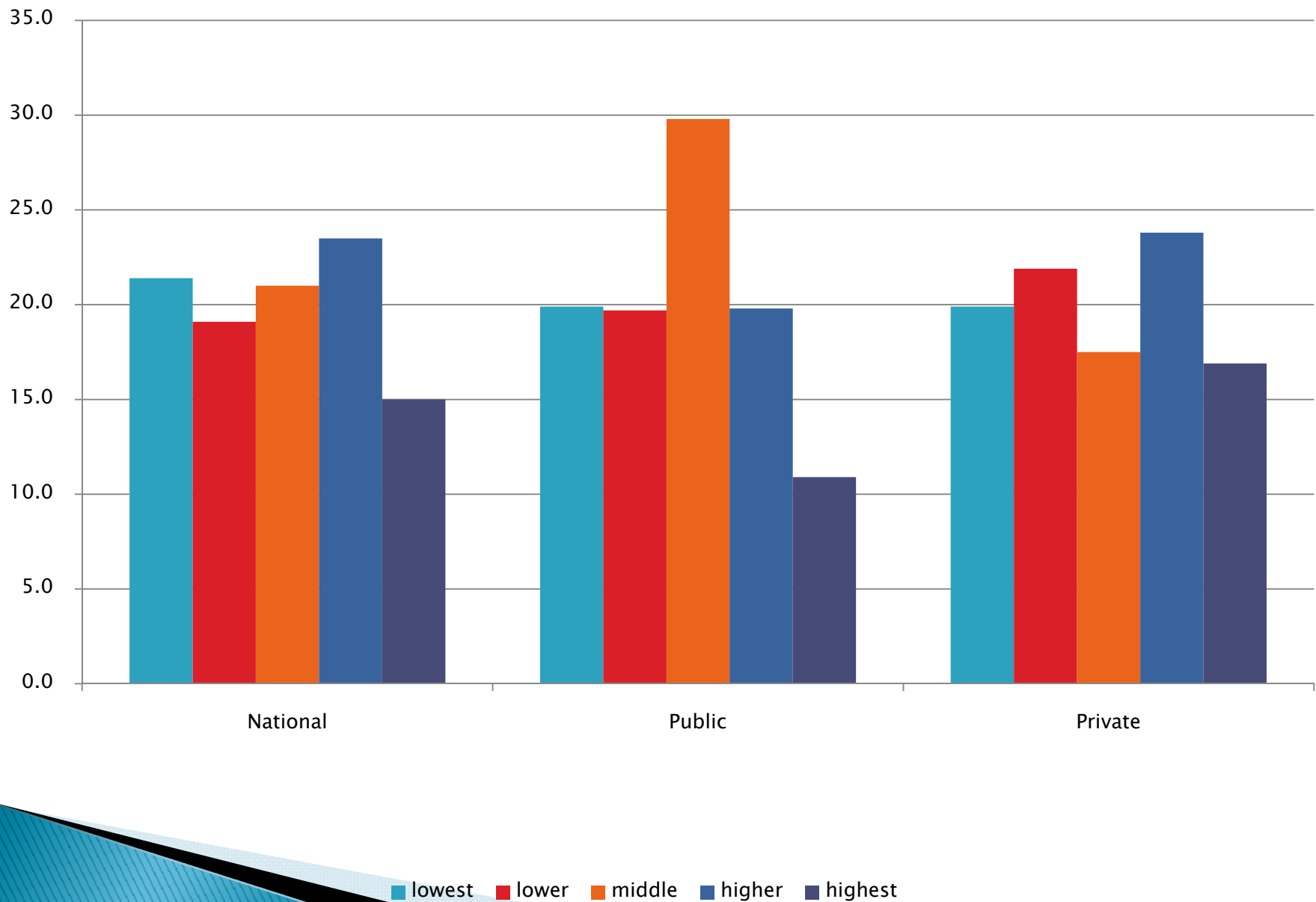


Percentage of studens between the Income classes (MEXT,1998)

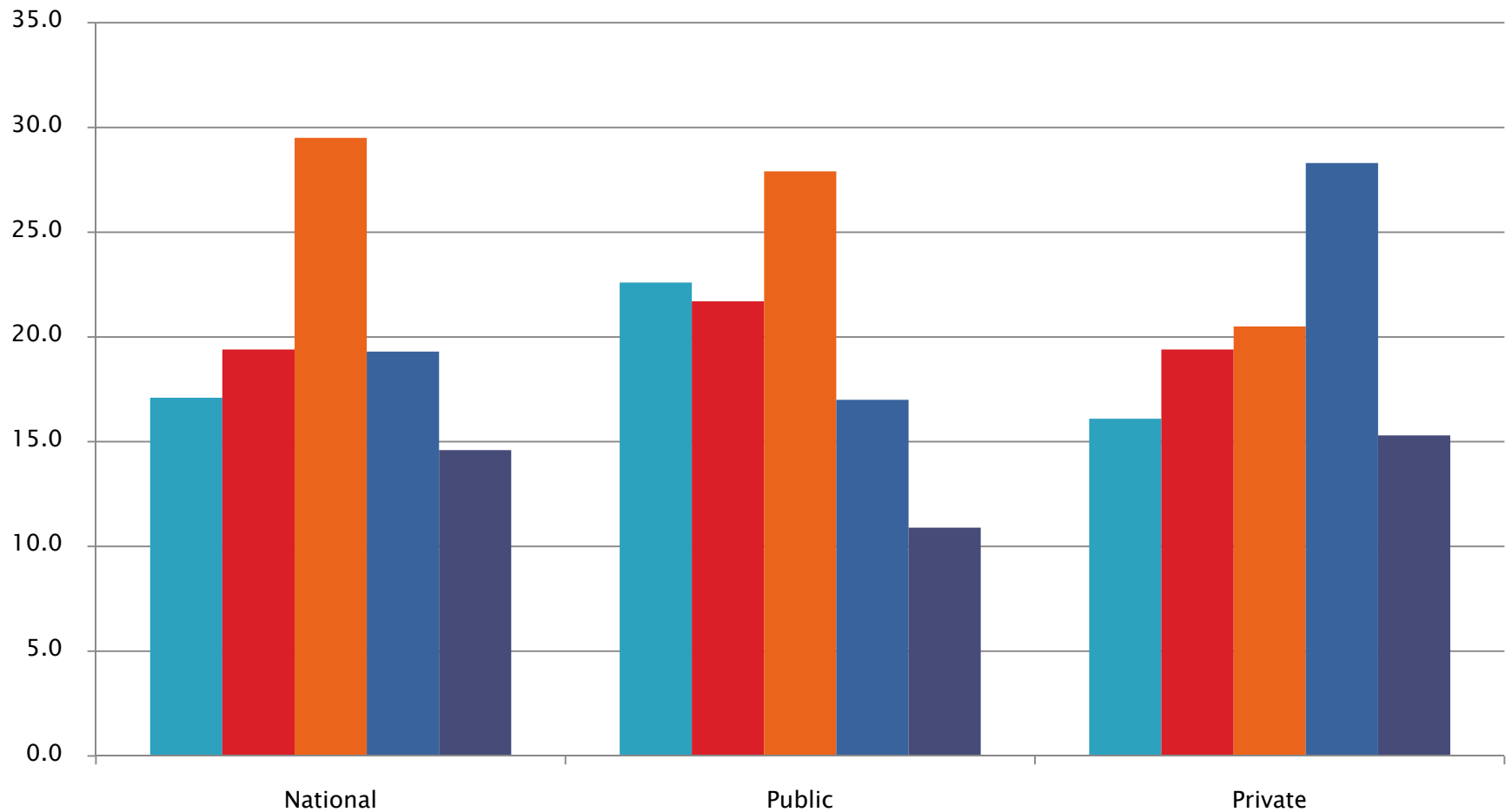


lowest lower middle higher highest

Percentage of students between the Income classes (MEXT,2004)

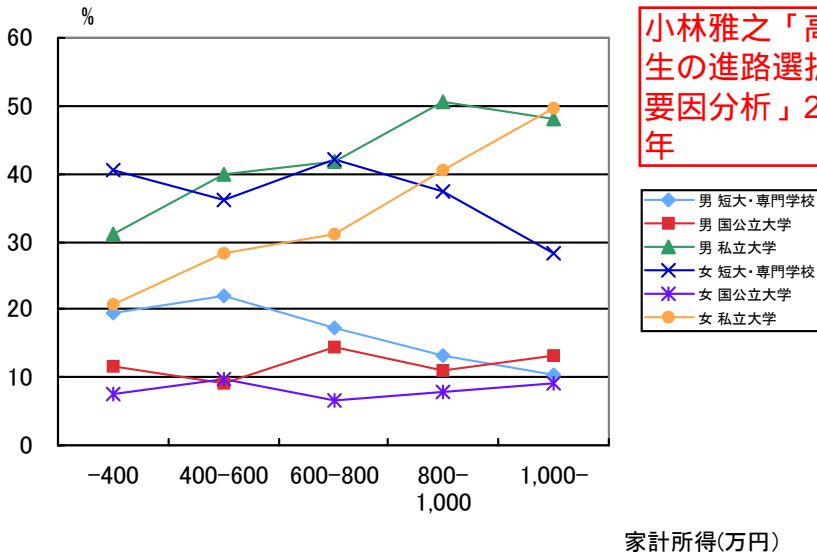


Percentage of students between the Income classes (JASSO,2006)

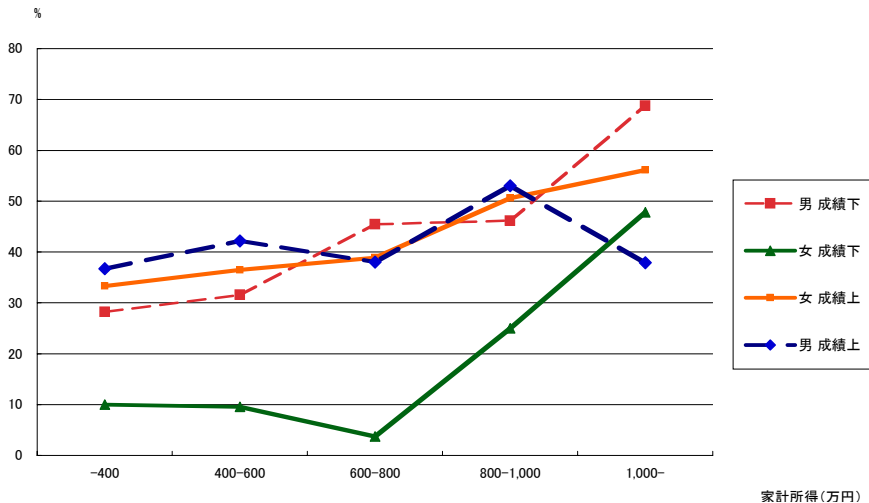


■ lowest ■ lower ■ middle ■ higher ■ highest

小林雅之「高校生の進路選択の要因分析」2007年



(データ)学術創成科研「高校生調査」2005年11月, 2006年3月



(データ)学術創成科研「高校生調査」2005年11月, 2006年3月

Region	University Status	Humanities	Society	Science	Engineering	Agriculture	Health	Home Economics	Education	Art	Other	Total Staff
Hokkaido	National	185	905	300	1,680	720	565		1,260			5,615
	Public		300				410			80	240	1,030
	Private	2,578	5,173		1,700	545	905	240		230	840	12,211
Kita-Tohoku (Aomori, Iwate, Akita)	National	560			890	395	481		490		590	3,406
	Public		390		400	150	90				390	1,420
	Private	400	1,425		490	580	200			70		3,165
Minami-Tohoku (Miyagi, Yamagata, Fukushima)	National	1,275	420	509	1,460	305	539		655		180	5,343
	Public					120	340				440	900
	Private	685	2,805		1,750		1,190	240	600	161	2,240	9,671
Kita-Kanto (Ibaraki, Tochigi, Gunma)	National	635	260	205	1,400	330	447		1,020	100	1,220	5,617
	Public	120	900		262		285				60	1,627
	Private	300	4,475		650		2,210	250	500	315	1,480	10,180
Minami-Kanto (Saitama, Chiba, Tokyo, Kanagawa)	National	1,275	2,932	1,010	4,847	1,065	710	125	2,095	477	1,287	15,823
	Public				270		730				1,950	2,950
	Private	33,314	73,300	3,325	20,193	4,860	12,562	5,104	5,822	7,097	41,490	207,067
Koshinetsu (Niigata, Yamanashi, Nagano, Shizuoka)	National	860	670	615	2,005	755	868		840		780	7,393
	Public	690	260				445	50			180	1,625
	Private	420	3,160		500	120	1,025	240	300	300	3,040	9,105
Tokai (Gifu, Aichi, Mie)	National	390	355	270	2,780	595	635		1,390		175	6,590
	Public	695	230	70	80		640			195		1,910
	Private	6,205	14,372		2,780	300	2,735	2,292	1,277	1,170	6,635	37,766
Hokuriku (Toyama, Ishikawa, Fukui)	National	355	790	400	1,349		780		365	115	160	4,314
	Public		200		190	200	160			150		900
	Private	110	980		1,317		546				1,630	4,583
Kinki (Shiga, Kyoto, Osaka, Hyogo, Nara, Wakayama)	National	1,685	2,670	851	3,660	450	1,113	140	2,145		730	13,444
	Public	710	1,415	440	1,182	110	1,025	123		193	1,145	6,343
	Private	21,652	37,370	343	6,685	620	5,735	2,705	2,320	4,145	15,020	96,595
Chugoku (Tottori, Shimane, Okayama, Hiroshima, Yamaguchi)	National	500	1,245	590	1,930	775	1,350		1,185		1,095	8,670
	Public	230	1,070	210	140		420			170	365	2,605
	Private	2,685	4,089	700	2,240		2,531	1,330	400	490	3,004	17,469
Shikoku (Tokushima, Kagawa, Ehime, Kochi)	National	295	460	495	1,365	490	854		690		770	5,419
	Public	80	30				195	60				365
	Private	885	1,925		720		540	735	80	50		4,935
Kita-kKyushu (Fukuoka, Saga, Nagasaki, Oita)	National	160	1,435	277	2,731	484	1,015		920		1,115	8,137
	Public	590	1,040		250		355				380	2,615
	Private	3,663	9,357	240	3,235		1,833	1,140	200	645	2,915	23,228
Minami-Kyushu (Kumamoto, Miyazaki, Kagoshima, Okinawa)	National	170	210	575	1,688	770	909		925		1,170	6,417
	Public	280					180			105	380	945
	Private	1,405	3,550		1,110	460	1,200	325		190	1,405	9,645
All Japan	National	8,345	12,352	6,097	27,785	7,134	10,266	265	13,980	692	9,272	96,188
	Public	3,395	5,835	720	2,774	580	5,275	233	0	893	5,530	25,235
	Private	74,302	161,981	4,608	43,370	6,905	33,592	14,801	11,499	14,793	79,769	445,620

Source: Data prepared by National Universities Association Survey and Research Department, based on the "List of Japanese Universities" (MEXT Education Association) compiled by the Center for Research and Development for Higher Education, University of Tohoku

5.How should we measure the public functions?

- ▶ New trend , university ranking

University of Tokyo(17, *Times*), Kyoto University(25), Osaka University(46), Tokyo Institute of Technology (90), Tohoku University (102), Nagoya University (112), Kyushu University(136), Hokkaido University (151), Keio University (161) , Waseda University (180)

- ▶ Could university rankings become a indicator for national universities?

- Do the rankings reflect the functions of HEIs, especially of national universities?

6. Governance Issues for national Systems and Institutions

- ▶ Has government control changed with capitalization?
 - Control by other government ministries has replaced MEXT controls.
 - Continulative evolution for universities
- ▶ University presidents, departmental heads, and department chairpersons have different perspectives on the nature of governance
- ▶ An ideal model for governance at each level
 - Bureaucratic level: the University President, the Vice-President, the Management Council
 - Departmental representative level: the University Council, the All-Department Committee
 - Decentralized departmental level: faculty meetings
- ▶ A gap exists to those national university presidents, departments, and faculties that have gone ahead of the rest.
- ▶ A high-level strategic agreement through a private universities agreement model.

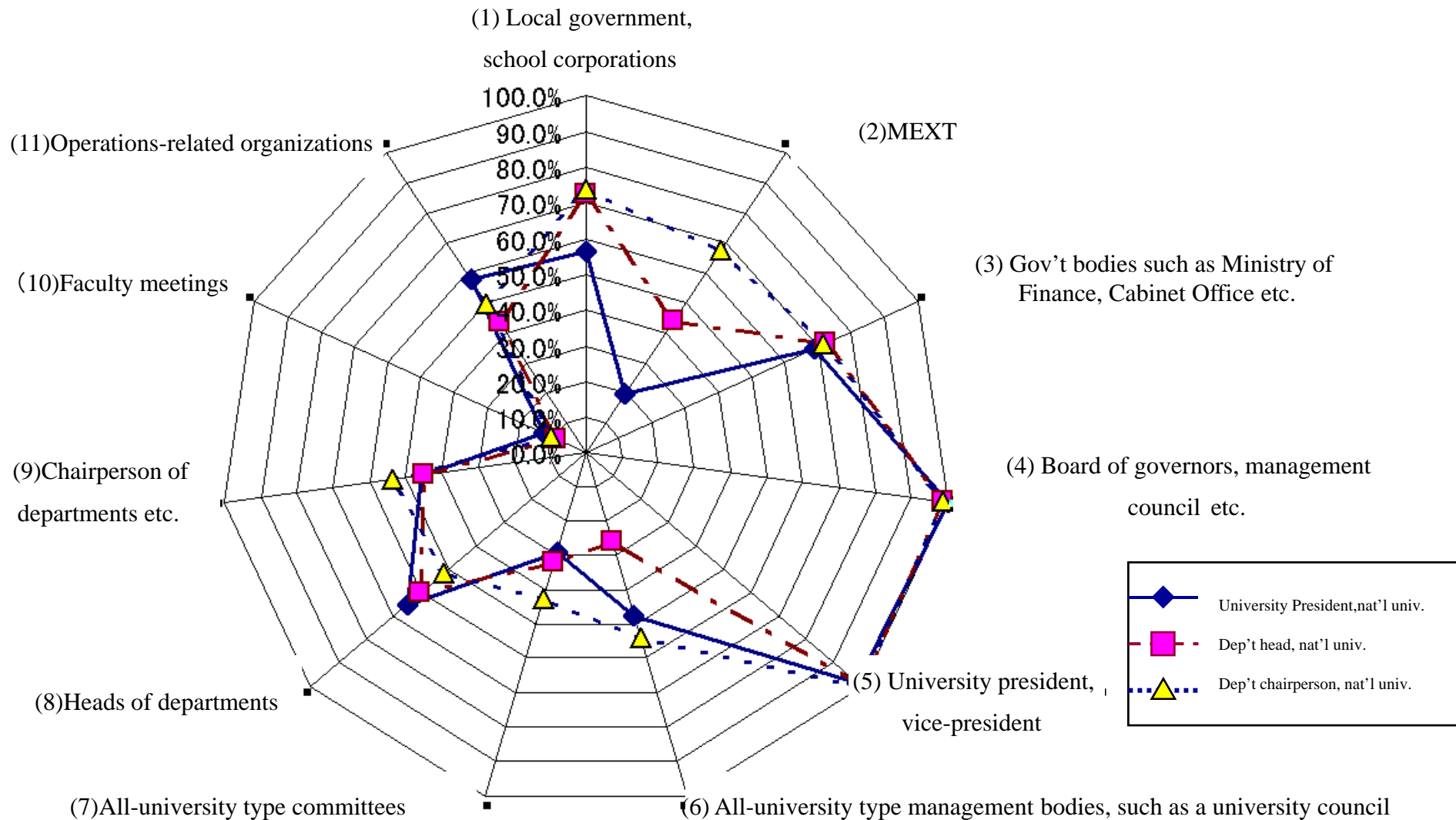
7. The National University as Sector

- ▶ Higher education governance throughout the world - creating a “peak” group reflecting the interests of all higher education institutions.
 - the United Kingdom (UUK) • Australia (UA) • the U.S. (UAE)
- ▶ Trends toward the creation of higher education groups
- ▶ Japanese university groups are partitioned according to sector, national, public and private
- ▶ Can the Japan Association of National Universities grow up real university organization not a saloon?
- ▶ What responsibilities should the leading national universities fulfill for all of national universities and higher education?

University Management Model

	National Universities	Public Universities	Private Universities
University President	Bureaucracy systems	Bureaucracy systems Departmental representation systems	Bureaucracy systems Departmental representation systems Weak departmental decentralization systems
Head of Department	Departmental representation systems Department decentralization systems	Bureaucracy systems Weak departmental decentralization systems	Bureaucracy systems Departmental representation systems Department decentralization systems
Chairperson of Department	Departmental representation systems Department decentralization systems	Departmental representation systems Department decentralization systems	Bureaucracy systems Departmental representation systems Department decentralization systems
Opposition	University President v heads of departments & department chairpersons	University President & heads of departments v department chairpersons	University President; heads of Departments; department chairpersons

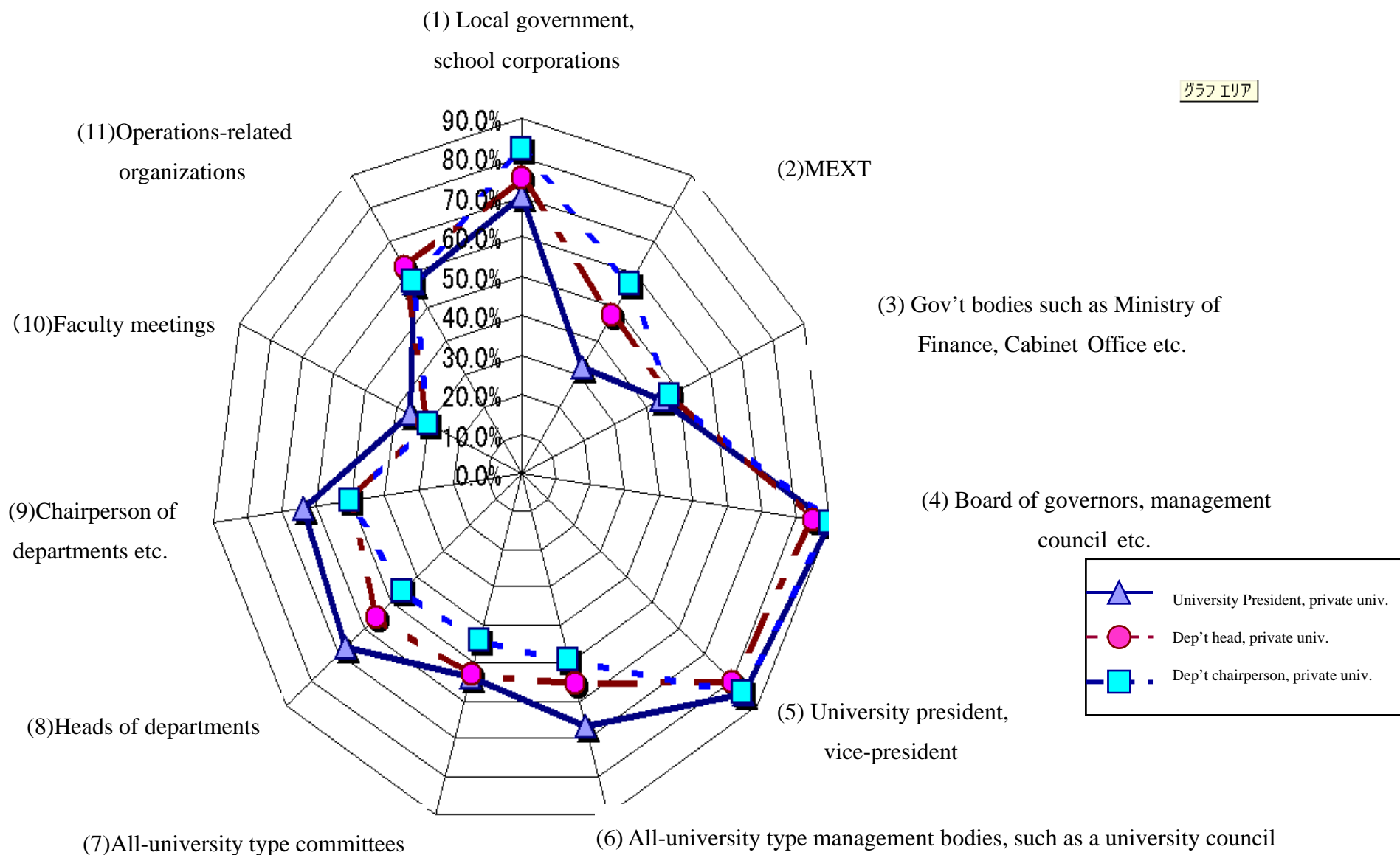
Graph 1 Strengthened by University Management (National Universities)



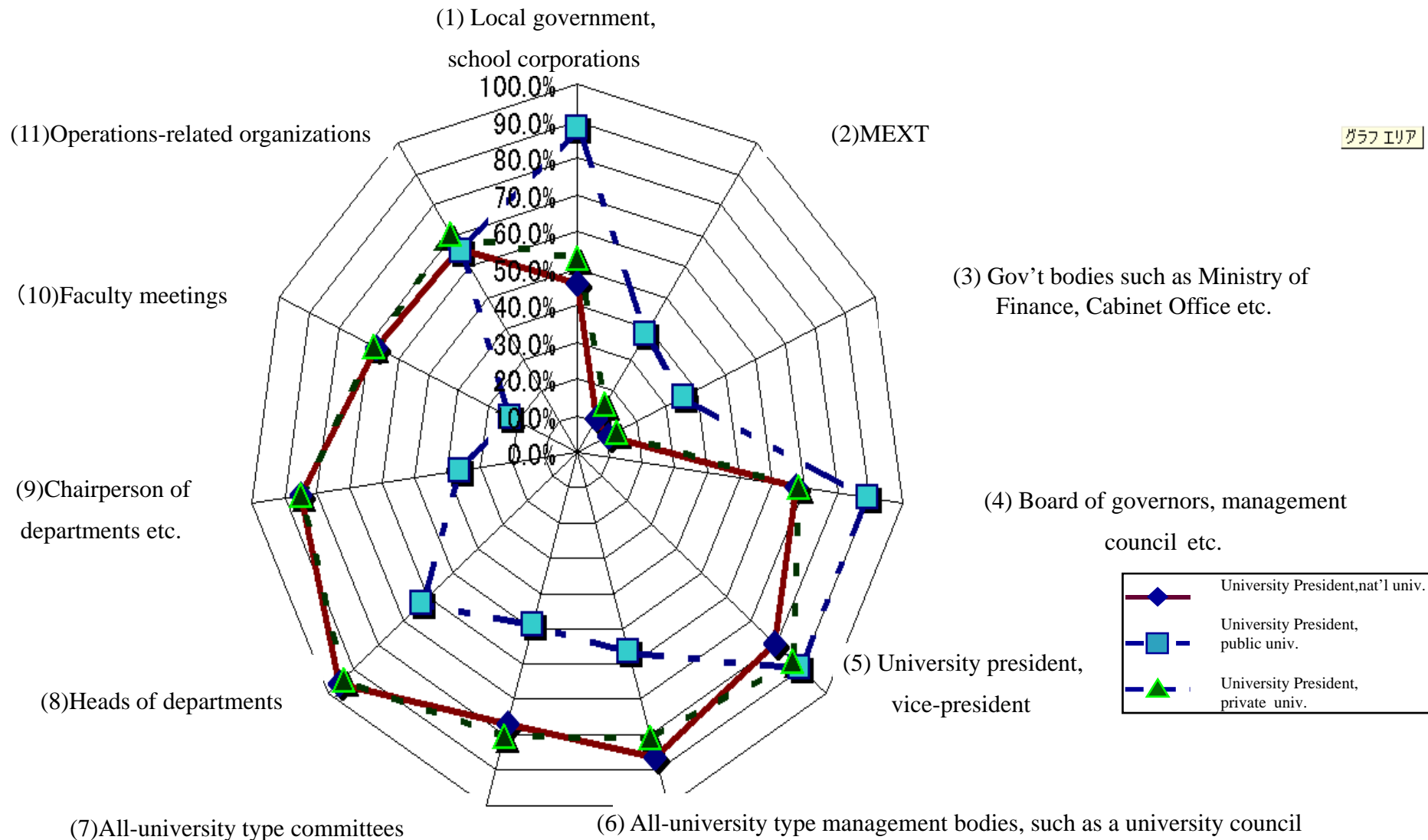
"Survey Research on University Organizational Changes"; Researcher, Takashi Hata, 2007; Research Institute for Higher Education, the University of Hiroshima

Graph 3 Strengthened by University Management (Private Universities)

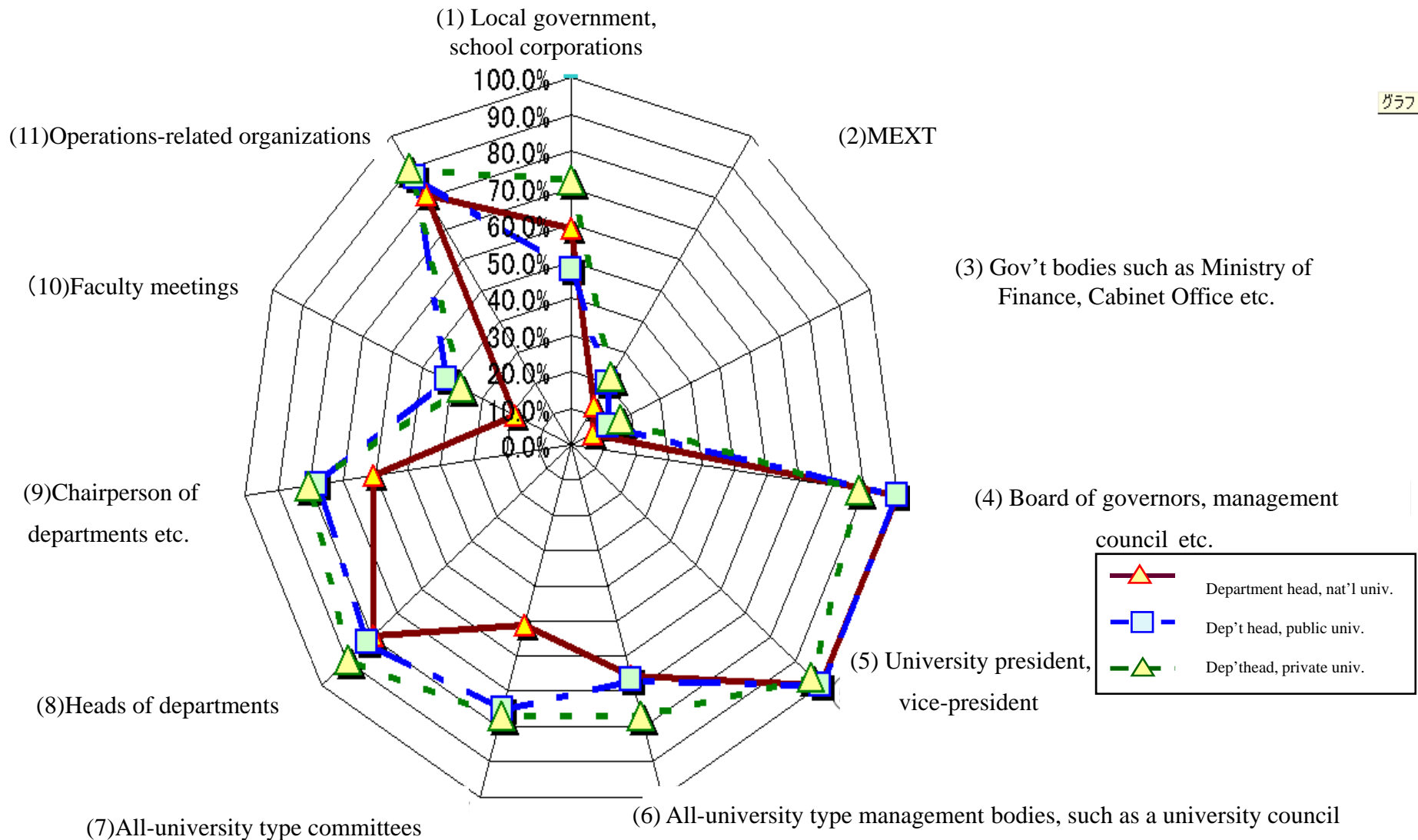
グラフ エリア



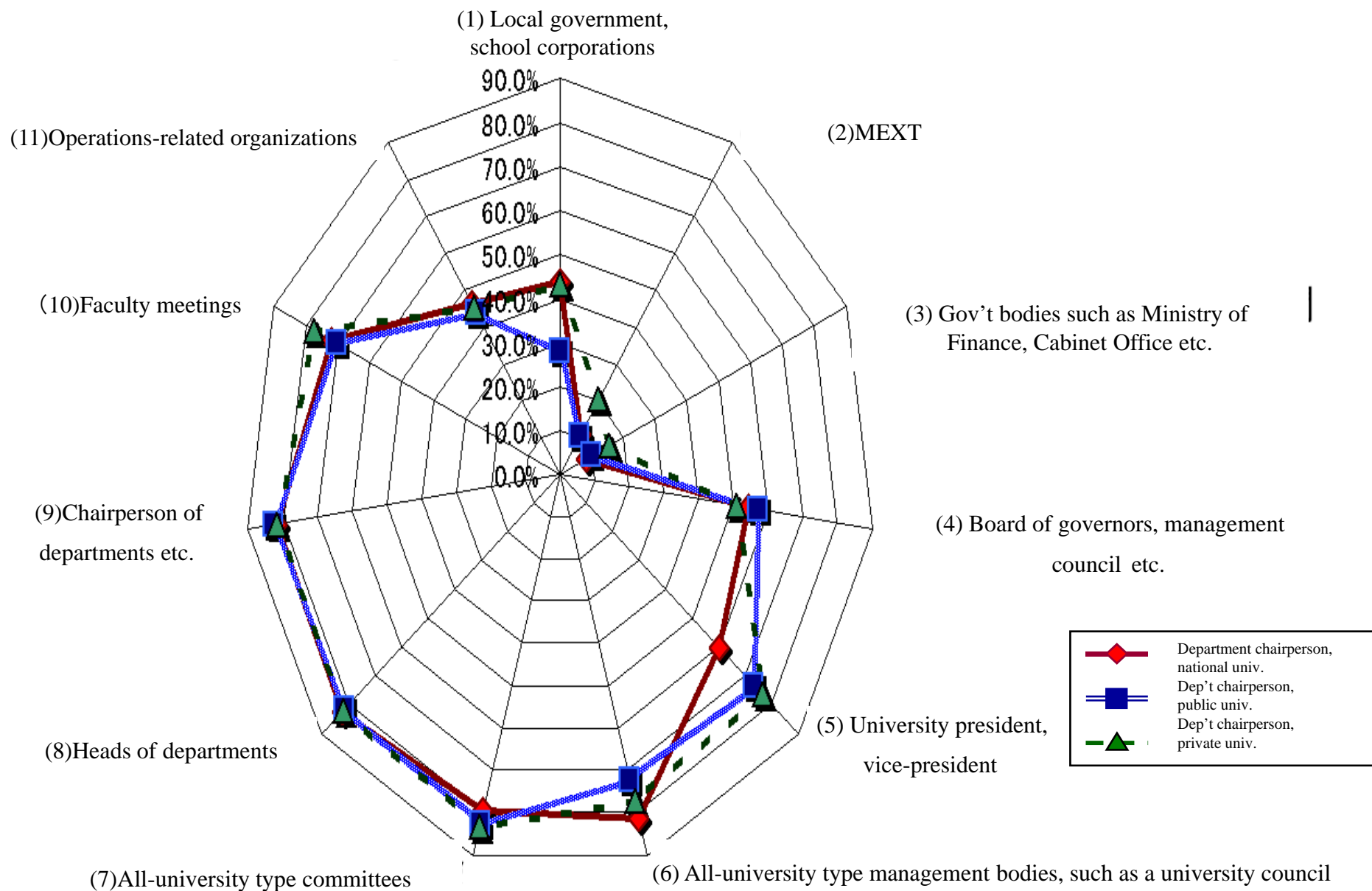
Graph 4 Strengthening of the University President's position



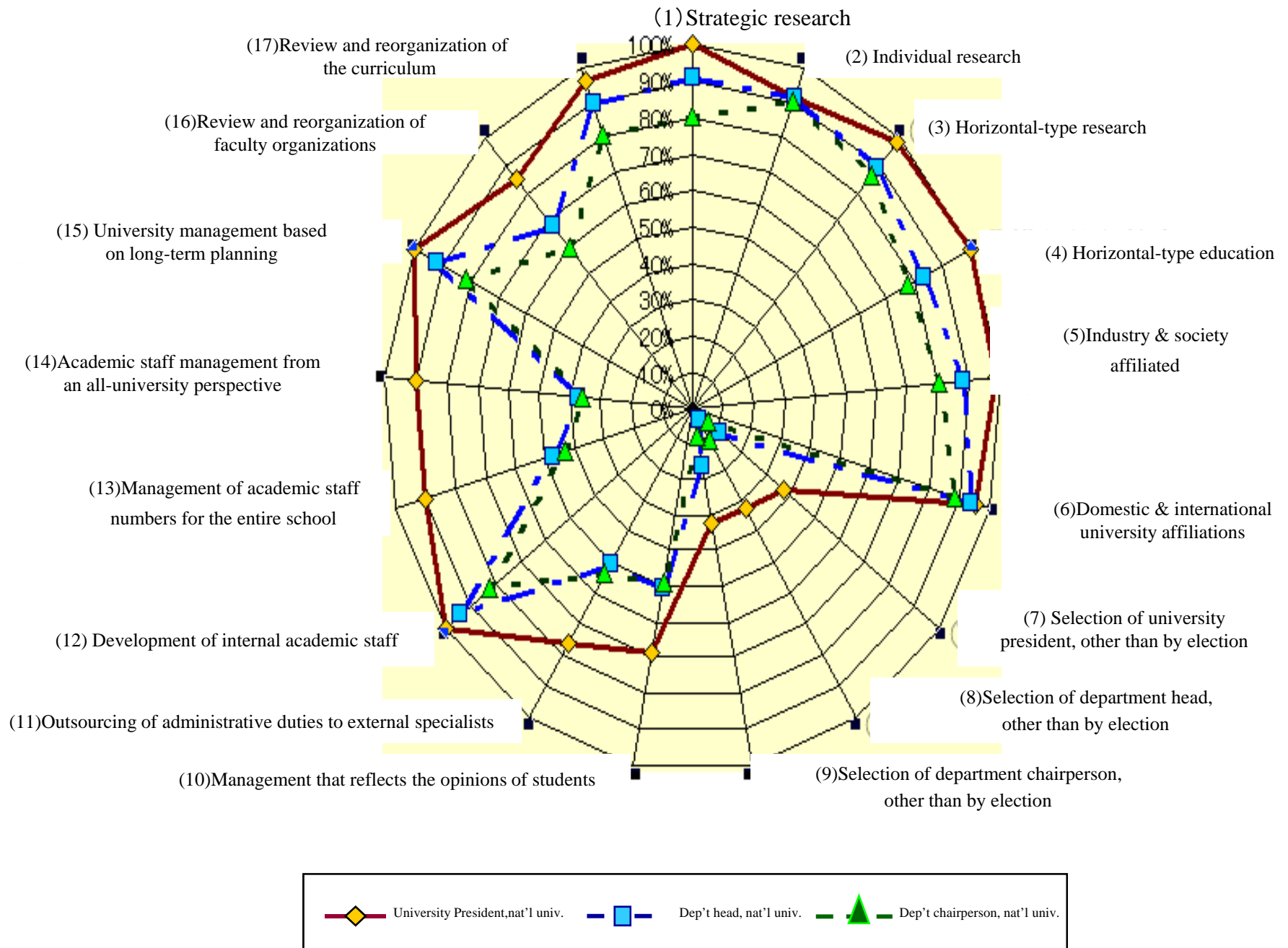
Graph 5 Strengthening of the position of Head of Department



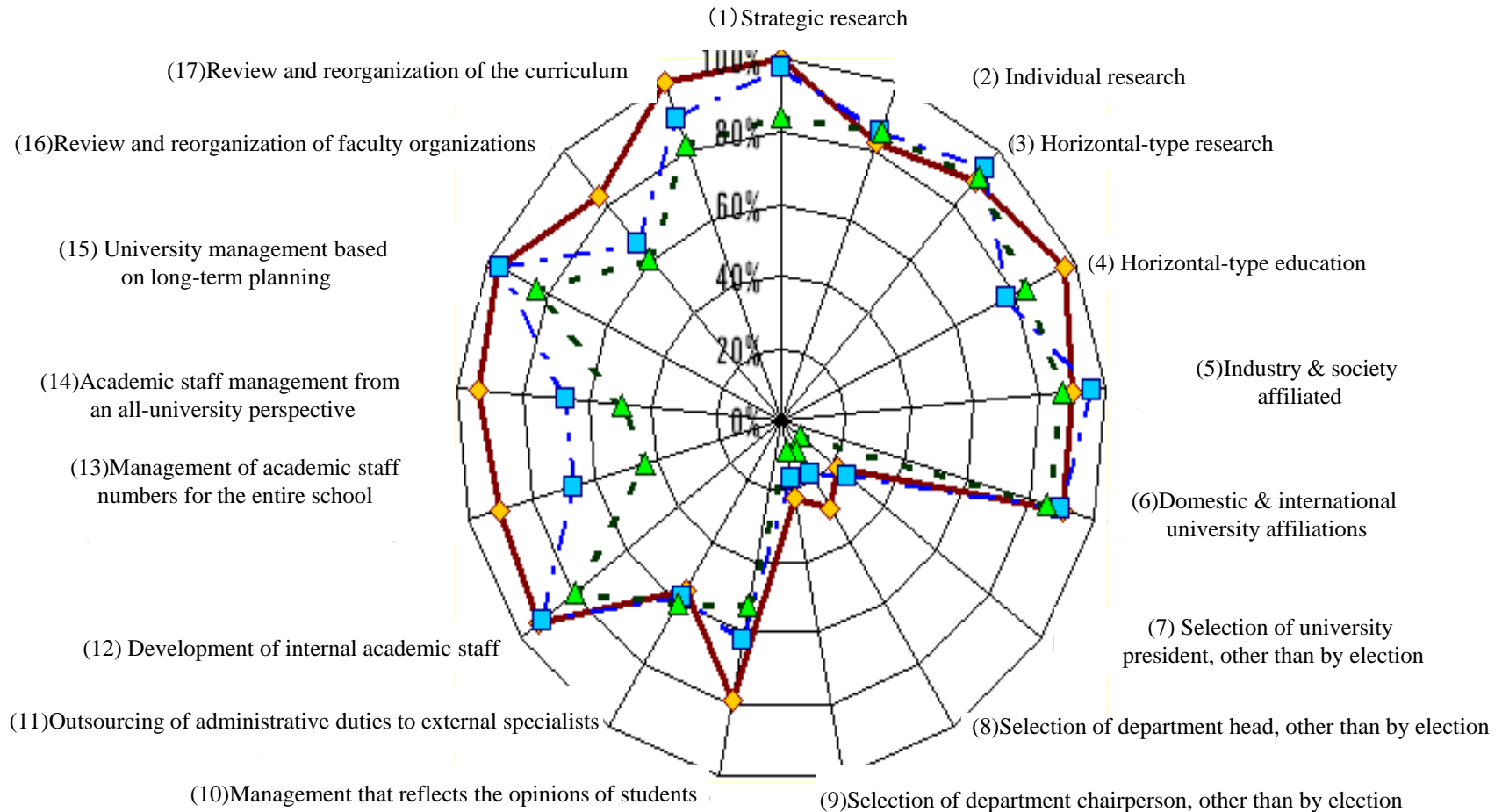
Graph 6 Strengthening of the position of Department Chairperson



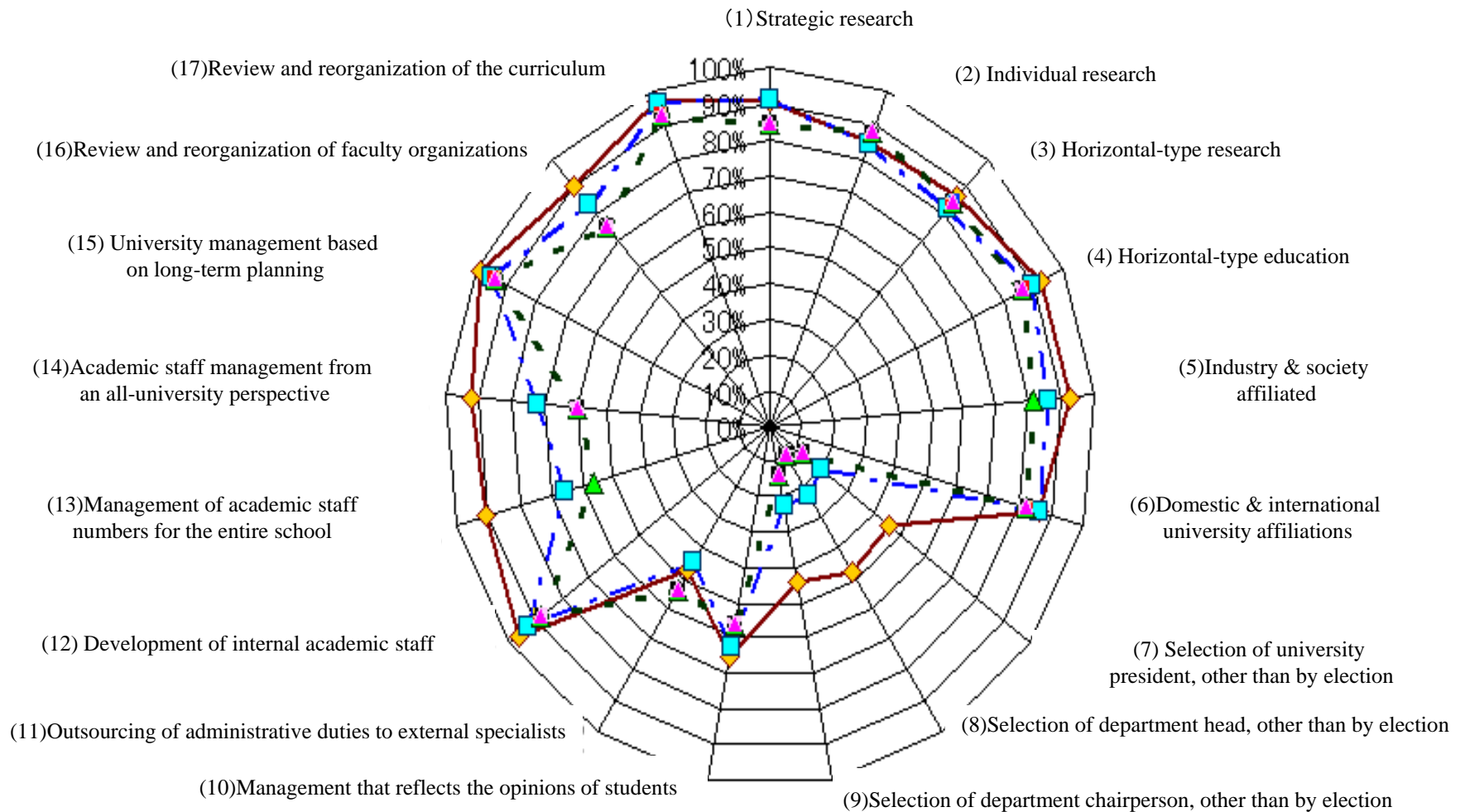
Graph 11 Directions in University Management (at National Universities, According to Level)



Graph 12 Directions in University Management (at Public Universities, According to Level)



Graph 13 Directions in University Management (at Private Universities)



University President, private univ.



Dep't head, private univ.



Dep't chairperson, private univ.