Discussion Presentation

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

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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?
  

- 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?
  
Distribution of public and private expenditure on HEIs (2004)
OECD, Education at a Glance 2007

Graph showing the distribution of public and private expenditure on HEIs (Higher Education Institutions) in various countries for the years 1995, 2000, and 2004. The y-axis represents the percentage of expenditure, and the x-axis lists the countries, including the United States, Japan, Australia, Mexico, Italy, United Kingdom, OECD Average, Spain, Netherlands, Hungary, Ireland, Czech Republic, Germany, Sweden, Austria, Finland, Denmark, Canada, and Norway. The bars indicate the percentage of expenditure for each country in each year.
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
Share of Grant-in-Aid for Scientific Research
Top 11 National Universities


- University of Tokyo
- Kyoto University
- Osaka University
- Tohoku University
- Hokkaido University
- Kyushu University
- Nagoya University
- Tokyo Institute of Technology
- Hiroshima University
- Tsukuba University
- Kobe University

Share of Top 11

(1998: 51.5%) vs (2007: 55.7%)

(thousand yen)
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 Massification
  - 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)

Nara: 41.6  
Hiroshima: 41.0  
Hyogo: 40.3  
Kagawa: 40.2  
Ehime: 39.1  
Average: 31.0  
Akita: 20.9  
Aomori: 20.5  
Okinawa: 19.9  
Iwate: 19.4  
Niigata: 18.9

The chart shows the entry rates into higher education for each prefecture in Japan, with the average entry rate being 31.0. The differences between each prefecture and the average are indicated by the red bars. For example, Nara has an entry rate of 41.6, which is 10.6 higher than the average. Niigata has an entry rate of 18.9, which is 12.1 lower than the average.
Entry rates into Higher Education (1997)

- Hyogo: 51.2
- Aichi: 50.2
- Hiroshima: 49.8
- Kyoto: 48.4
- Nara: 48.4
- National: 40.7
- Miyagi: 30.0
- Fukushima: 29.7
- Iwate: 29.2
- Aomori: 28.7
- Okinawa: 26.2

The difference between each prefecture and average:
- Miyagi: (10.7)
- Fukushima: (11.0)
- Iwate: (11.5)
- Aomori: (12.0)
- Okinawa: (14.5)
Entry rates into Higher Education (2007)

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Percentage of students between the Income classes (MEXT, 1998)
Percentage of students between the Income classes (MEXT,2004)
Percentage of students between the Income classes (JASSO, 2006)
分位）では男女とも約半数であるのに対して，400万円以下の低所得層（第1分位）では男31%，女21%と男女とも所得階層差はきわめて大きい。また，男女とも所得が高いほど就職が少ない。これらは，予想される結果である。しかし，ここで興味深いのは，国公立大学進学者は男女とも所得階層差があまりみられないことである。この結果，国公私立をあわせた大学進学率は，低所得層では男42.9%，女28.3%であるのに対して，高所得層では男61.4%，女58.7%と差は小さくなっている。しかし，女子で所得階層別格差が大きく，特に低所得層では男女差が大きい。これに対して，高所得層では男女差はほとんどない。

また，短大・専門学校進学者は男女とも，おおまかな傾向として，所得が低い層ほど多くなっている。この結果として，高等教育（大学・短大・専門学校）進学率（浪人含む）は，高所得層では男女とも82%であるのに対して，低所得層では男56%，女61%と差はみられるものの，大学進学率に比べると小さくなっている。つまり，高等教育に進学できるか否かという点では，依然として所得階層別の格差が存在しているものの，その差は比較的小さいと言える。しかし，とりわけ女子の場合には，私立大学進学に関して，大きな格差がみられることも明らかである。

3. 居住形態の選択と地域間格差

3.1. 居住形態の選択

もう一つの大きな高卒者の進路選択は，自宅か自宅外かである。当然，自宅外では生活費が多
ていることが大きな問題である。学力は、所得階層と正の相関があり、所得が高いほど高くなっている。この結果として、高所得層は大学進学しやすいのに対して、低所得層はしにくくなっている。このことは、先にもみたように「高校生調査」の結果にも明確に示されている。

図 7 男女別成績別所得分位別私立大学進学率

とりわけ、興味深いのは、男女の差である。先に、男子の場合には成績に関わりなく、私立大学に進学していることをみたが、図7のように、所得階層別成績別に見ると、所得階層の影響はみられるものの、いずれの階層でも成績が低くても進学している者は多い。とくに私立大学進学率に関しては、この傾向は明瞭であり、男子の成績上の場合には、低所得層の進学率は36.7%で高所得層の37.9%とほとんど変わらない。所得階層の影響を受けていないと言える。しかし、男子の成績下の場合、高所得層では68.8%が進学しているが、低所得層では28.2%と低くなっている。これに対して、女子の場合、成績上でも高所得層は56.1%が進学しているが、低所得層では33.3%にすぎない。さらに、成績下では、高所得層の進学率47.8%に対して、中低所得層では1割以下にすぎない。つまり、女子の場合には、所得階層が学力を媒介として進学を規定し、女子低学力中低所得層の大学進学を困難にしている。

なお、学力と所得階層に相関がある要因のひとつは、学習時間にもとづいている。所得階層が高いほど高校の学習時間は長くなっている。第1分位（家計所得400万円以下、低所得層）では、毎日、ほとんど勉強しない者が51.0%と半数以上となっているのに対して、第V分位（家計所得1,000万円以上の高所得層）では、27.3%と4分の1強となっている。逆に4時間以上勉強する者は、第1分位では、12.4%であるのに対して、第V分位では、29.3%となっている。このことは、学習時間が進路希望と関連していることにもとづくが、所得階層と学力は必ずしも直接関連し
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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.
  - Continuative 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

<table>
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<th>National Universities</th>
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<th>Private Universities</th>
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<td>University President</td>
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<td>University President &amp; heads of departments v department chairpersons</td>
<td>University President; heads of Departments; department chairpersons</td>
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</tbody>
</table>
Graph 1 Strengthened by University Management (National Universities)

(1) Local government, school corporations
(2) MEXT
(3) Gov’t bodies such as Ministry of Finance, Cabinet Office etc.
(4) Board of governors, management council etc.
(5) University president, vice-president
(6) All-university type management bodies, such as a university council
(7) All-university type committees
(8) Heads of departments
(9) Chairperson of departments etc.
(10) Faculty meetings
(11) Operations-related organizations

"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)

(1) Local government, school corporations

(2) MEXT

(3) Gov’t bodies such as Ministry of Finance, Cabinet Office etc.

(4) Board of governors, management council etc.

(5) University president, vice-president

(6) All-university type management bodies, such as a university council

(7) All-university type committees

(8) Heads of departments

(9) Chairperson of departments etc.

(10) Faculty meetings

(11) Operations-related organizations
Graph 4 Strengthening of the University President’s position

(1) Local government, school corporations
(2) MEXT
(3) Gov’t bodies such as Ministry of Finance, Cabinet Office etc.
(4) Board of governors, management council etc.
(5) University president, vice-president
(6) All-university type management bodies, such as a university council
(7) All-university type committees
(8) Heads of departments
(9) Chairperson of departments etc.
(10) Faculty meetings
(11) Operations-related organizations
Graph 5 Strengthening of the position of Head of Department

(1) Local government, school corporations

(2) MEXT

(3) Gov’t bodies such as Ministry of Finance, Cabinet Office etc.

(4) Board of governors, management council etc.

(5) University president, vice-president

(6) All-university type management bodies, such as a university council

(7) All-university type committees

(8) Heads of departments

(9) Chairperson of departments etc.

(10) Faculty meetings

(11) Operations-related organizations

Department head, nat’l univ.
Dep’t head, public univ.
Dep’t head, private univ.
Graph 6 Strengthening of the position of Department Chairperson

(1) Local government, school corporations
(2) MEXT
(3) Gov’t bodies such as Ministry of Finance, Cabinet Office etc.
(4) Board of governors, management council etc.
(5) University president, vice-president
(6) All-university type management bodies, such as a university council
(7) All-university type committees
(8) Heads of departments
(9) Chairperson of departments etc.
(10) Faculty meetings
(11) Operations-related organizations
Graph 11 Directions in University Management (at National Universities, According to Level)

1. Strategic research
2. Individual research
3. Horizontal-type research
4. Horizontal-type education
5. Industry & society affiliated
6. Domestic & international university affiliations
7. Selection of university president, other than by election
8. Selection of department head, other than by election
9. Selection of department chairperson, other than by election
10. Management that reflects the opinions of students
11. Outsourcing of administrative duties to external specialists
12. Development of internal academic staff
13. Management of academic staff numbers for the entire school
14. Academic staff management from an all-university perspective
15. University management based on long-term planning
16. Review and reorganization of faculty organizations
17. Review and reorganization of the curriculum
Graph 12 Directions in University Management (at Public Universities, According to Level)

- Strategic research
- Review and reorganization of faculty organizations
- Horizontal-type research
- Horizontal-type education
- Industry & society affiliated
- Domestic & international university affiliations
- Selection of university president, other than by election
- Selection of department head, other than by election
- Selection of department chairperson, other than by election
- University management based on long-term planning
- Academic staff management from an all-university perspective
- Management of academic staff numbers for the entire school
- Development of internal academic staff
- Outsourcing of administrative duties to external specialists
- Management that reflects the opinions of students
Graph 13  Directions in University Management (at Private Universities)

(1) Strategic research
(2) Individual research
(3) Horizontal-type research
(4) Horizontal-type education
(5) Industry & society affiliated
(6) Domestic & international university affiliations
(7) Selection of university president, other than by election
(8) Selection of department head, other than by election
(9) Selection of department chairperson, other than by election
(10) Management that reflects the opinions of students
(11) Outsourcing of administrative duties to external specialists
(12) Development of internal academic staff
(13) Management of academic staff numbers for the entire school
(14) Academic staff management from an all-university perspective
(15) University management based on long-term planning
(16) Review and reorganization of faculty organizations
(17) Review and reorganization of the curriculum

Legend:
- University President, private univ.
- Dep’t head, private univ.
- Dep’t chairperson, private univ.