

Evaluation System for National University Corporations in Japan — Its Research Aspect —

Naoki MURATA

Executive Director
Japan Society for the Promotion of Science

1. University Evaluation in Japan

Self-examination and Self-evaluation

- All national, public and private universities
- Mandatory
- By themselves

Evaluation by a certified evaluation organization

- All national, public and private universities
- Mandatory, every 7 years
- By a certified evaluation organization

Evaluation of national university corporations

- All national universities
- Mandatory, at the end of each fiscal year and mid-term goal period (6 years)
- By National University Corporation Evaluation Committee

2. Evaluation of National University Corporations(1)

Evaluation at the end of mid-term goal period

- The National University Corporation Committee (NUCEC) established within MEXT evaluates the degree to which the mid-term plans and goals of universities have been achieved at the end of the mid-term period (6-year point).
- NUCEC commissions the National Institution for Academic Degrees and University Evaluation (NIAD-UE) to carry out this evaluation of university education and research programs from a specialist viewpoint, and respects the results of NIAD-UE evaluations.
- The evaluation gauges the level of research results achieved in each field in an effort to improve program quality and enhance the university's institutional uniqueness.
- Universities are given an opportunity to state their views regarding the evaluation before the results are finalized.

Evaluation at the end of each fiscal year

- NUCEC evaluates only the university's governance and management as applied to achieving its annual goals under the mid-term plan. It does this based on the results of the university's self-evaluation.

2. Evaluation of National University Corporations(2)

MEXT sets **mid-term (six-year) goals** for each university, taking into consideration their concepts and proposals.

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Each university prepares a mid-term (six-year) plan, which MEXT authorizes.

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Each university evaluates the achievement of its plan and goals at the end of the mid-term goal period.

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NUCEC assesses the achievement of university plans and goals.

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NUCEC commissions the evaluation of mid-term **education and research goal achievement to **NIAD-UE**.**

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NUCEC carries out overall evaluations and provides the results to each university.

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Each university uses the evaluation results to improve its educational, research and other programs.

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Evaluation results are reflected in the setting of subsequent mid-term plans and goals and in the allocation of resources during the following mid-term goal period.

2. Evaluation of National University Corporations(3)

Overall Evaluation

Item-specific Evaluation

① Quality of education and research

② Operational quality and efficiency

③ Fiscal performance

④ Self-monitoring assessment and information dissemination

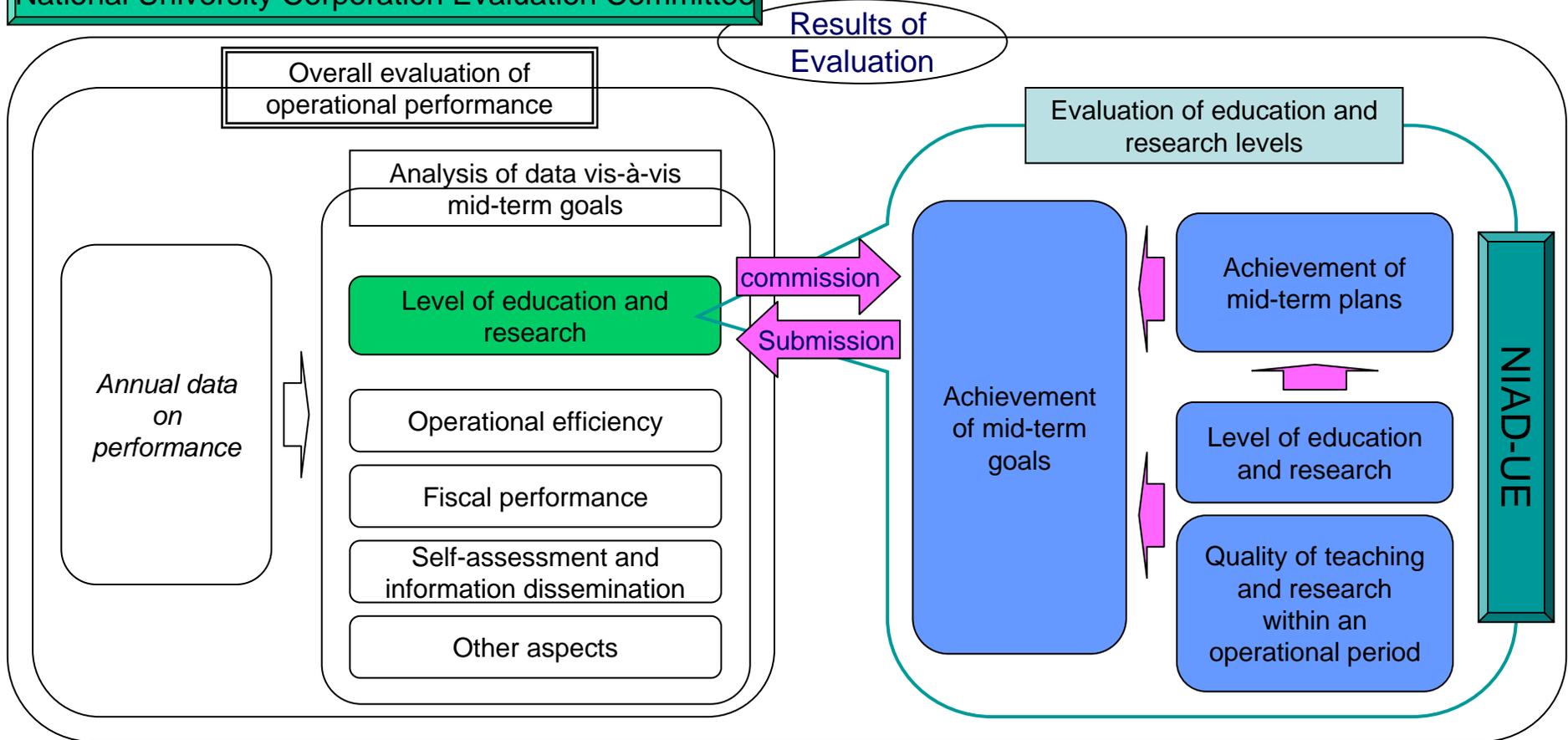
⑤ Other administrative and operational aspects (e.g., facility maintenance, safety management)



NUCEC respects NIAD-UE's results and, in principle, adopts them without adjustment.

2. Evaluation of National University Corporations(4)

National University Corporation Evaluation Committee



Submission

Feed back

Report on operational performance ——— Used in setting mid-term plans and goals for next operational period

National University Corporations and Inter-University Research Institute Corporations

3. Evaluation of Research Activities by NIAD-UE(1)

Quality of education and research

Each university evaluates the levels of education and research in its own departments and graduate schools to see if they meet stakeholder expectations. These assessments are carried out based on analytical items and basic viewpoints.



Given these criteria, NIAD-UE assesses each university's self-evaluation performance and results.

- ※ 1 . By “stakeholders” is meant the people and organizations involved in the university’s education and research activities and who receive the results of those activities. The following may also be included among stakeholders: current and prospective students and their families, alumni and their employers, and communities and industries related to the university’s education and research programs.
- ※ 2 . University self-assessments and NIAD-UE evaluation procedures use a 4-level scoring system:
 - Far exceeding expected standards
 - Exceeding expected standards
 - Meeting expected standards
 - Below expected standards

3. Evaluation of Research Activities by NIAD-UE(2)

Analytical items and basic viewpoints

Research

Analytical items	Basic viewpoints
Research activities ※ 1	• Record of research activities
Research achievements ※ 2	• Outcomes of research activities

※ 1 ①Based on objective data, ②Quantitative analysis using university-provided data

※ 2 Qualitative analysis of organization's excellent research achievements

Education

Analytical items	Basic viewpoints
Educational organization	<ul style="list-style-type: none"> • Basic educational organization • Management system for education implementation
Curricula	<ul style="list-style-type: none"> • Organization of educational programs • Curricula's correspondence to student and societal needs
Educational methodology	<ul style="list-style-type: none"> • Forms of instruction and teaching • Appropriateness of learning methods to meeting educational goals
Educational achievement	<ul style="list-style-type: none"> • Academic ability and human resource capabilities development • Educational achievement as evaluated by students
Graduates' situation	<ul style="list-style-type: none"> • Graduate employment • Graduate capabilities as evaluated by employers or academic society

3. Evaluation of Research Activities by NIAD-UE(3)

Data used to evaluate the state of research activities in graduate programs

Perspective: Implementation state of research activities

Evaluation is conducted using mainly objective numerical data to assess how actively research activities are being carried out in light of the research objectives of departments and graduate schools.

Examples of documents and data used

(1) To access the implementation of research activities

- Research published in academic papers and books and presentations delivered at academic societies
- Intellectual property rights applied for and obtained
- Implementation of joint research
- Implementation of commissioned research

(2) To access the acquisition of research funding

- Grants-in-Aid received
- External competitive funding
- Funding for joint research
- Funding for commissioned research
- Donations
- Donations for endowed chairs

3. Evaluation of Research Activities by NIAD-UE(4)

Outstanding research achievements that characterize the university's departments and graduate schools

Besides using numerical data to evaluate programs, a results-based evaluation is also conducted of the outstanding research achievements representative of each department as an organization.

Evaluation is carried out in one of the two categories either: (1) academic aspects or (2) societal, economic and cultural aspects. Peer reviews are conducted on performance levels in 66 fields using established set evaluation standards.

	Academic criteria	Societal, economic and cultural criteria
SS	Exceptional level in subject field	Exceptional contributions made
S	Excellent level in subject field	Excellent contributions made
A	Good level in subject field	Good contributions made
B	Satisfactory level in subject field	Satisfactory contributions made
C	Unsatisfactory level in subject field	Satisfactory contributions not made

※ Each department may submit a number of research achievements equal to the number of half its full-time faculty.

※ The research achievements must have been reported during the period from April 2004 through March 2008.

3. Evaluation of Research Activities by NIAD-UE(5)

Outstanding research achievements that characterize the university's departments and graduate schools

Criteria to be used when selecting research achievements

- As the achievements selected are used to evaluate the research results of the subject department as an organization, they should not be of individual faculty members.
- Reflecting the department's objectives, suitable research achievements reflective of the department as an organization should be selected based upon third-party evaluation results, objective indices and other reliable documentation.

Considerations when selecting achievements based on the above-two criteria

- Reflecting the research objectives of the subject department, research achievements should be selected that are judged to be at least at a "satisfactory level."
- In judging whether the achievements rise to the level of "exceptional" or "excellent," third-party evaluation results, objective indices and other reliable documentation should be used.

3. Evaluation of Research Activities by NIAD-UE(6)

Outstanding research achievements that characterize the university's departments and graduate schools

Reliable documentation for evaluating of “exceptional” or “excellent” research achievements

(1) Academic criteria

- Publication in scientific journals with specialized referees
- Evaluation by referees at time published papers were submitted
- Critiques, reviews, introductions and references in academic magazines and newspapers
- Impact factor of academic journals publishing the papers; the papers' citation index
- Academic, scientific and international awards resulting from the research achievements

(2) Societal, economic and cultural criteria

(Contribution to domestic or international society and to specific industrial fields)

- How and where the achievements are used and proliferated; how they are applied to specific industrial fields; how they are concretely reflected in policy
- When textbooks are published relative to a specialized field, what sort of authoritative reviews they receive, or what influence they exert through wide, long-term use

Schedule of National University Corporation Evaluation

5th year (FY2008)

NUCEC: Conduct evaluation on provisional mid-term goals

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Feed back the results

6th year (FY2009)

Universities: Discuss the setting of mid-term plans and goals for the 2nd mid-term goal period

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MEXT: Decide on mid-term goals and resource allocations for the 2nd mid-term goal period

2nd mid-term 1st year (FY2010)

NUCEC: Conduct final settlement of mid-term goal evaluation results

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MEXT: Revise mid-term goals and resource allocations for the 2nd mid-term goal period (if necessary)

Evaluation Results Reflected in Allocation of Operational Budgets

Basic Policy for Economic and Fiscal Reform—Scenario for Building a Beautiful Nation (provisional translation)

Chapter 2. Strengthening Growth Capacity

1. Program for Accelerating Growth

III. Innovation—A Strategy for Expanding Growth Potential

(2) University and Graduate School Reform

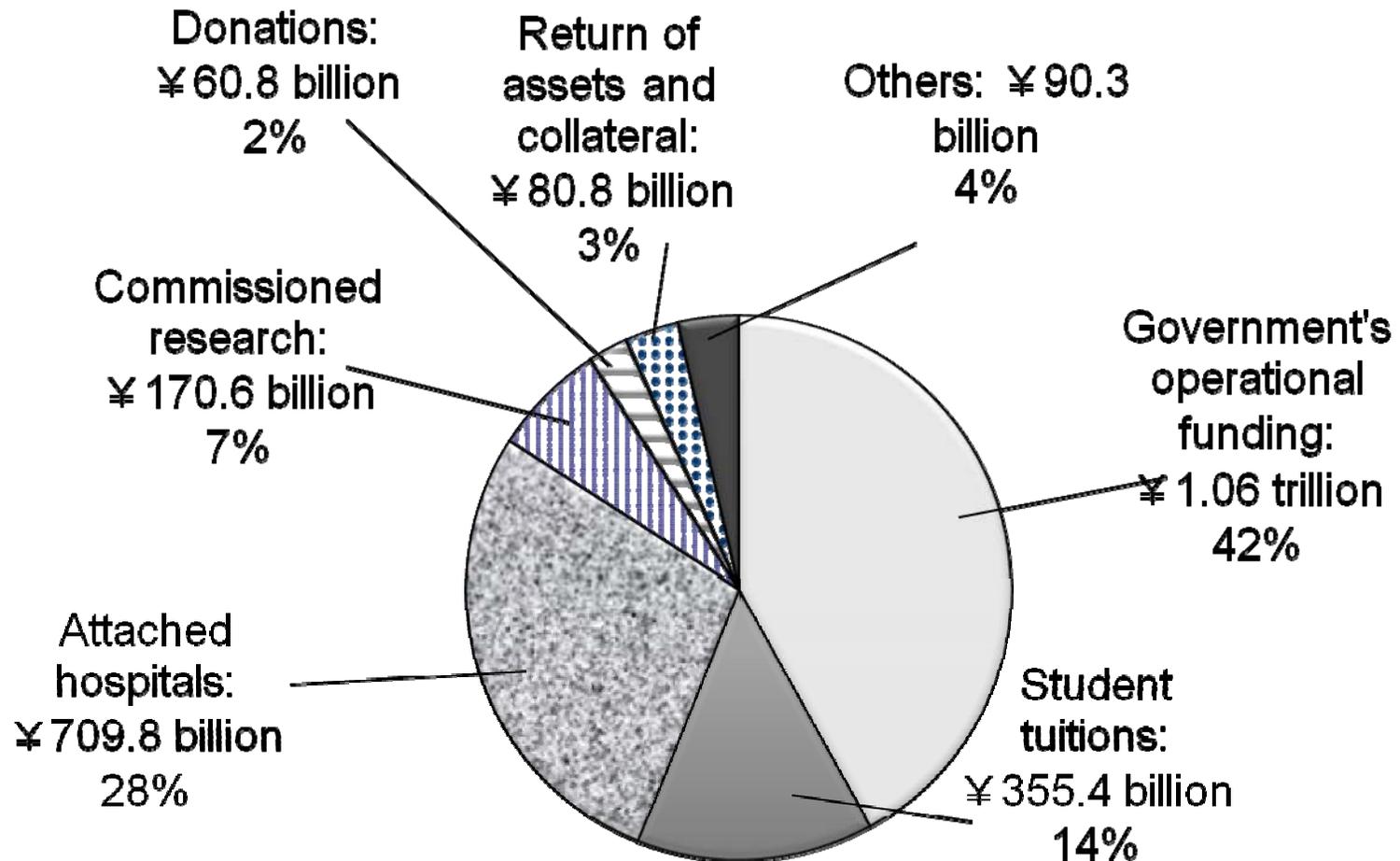
⑧ Reform of Operational Funding for University Corporations

MEXT shall within FY 2009 work to establish a new system for allocating the operational budgets of university corporations based on their efforts and results, starting from university plans and goals in the next mid-term period (from FY 2010).

MEXT shall make budget allocations based on an evaluation of universities' institutional efforts to (1) improve education and research and (2) carry out administrative/operational reforms. When doing so, MEXT shall utilize the results of national university corporation assessments.

(Reference 1) Income Structure of National University Corporations (FY 2007)

Total national university corporation income in FY 2007:
¥2.53 trillion *



*In addition, ¥105.2 billion in Grants-in-Aid for Scientific Research is also held as “funds on deposit” under government accounting procedures.

(Reference 2) Functional Diversity and Differentiation among Universities

(1) University Functions

- Function as world-standard research and education centers
- Foster highly specialized human resources
- Develop human resources in a wide spectrum of occupations
- Provide a comprehensive educational program
- Carry out education and research in specialized fields (e.g., art, physical education)
- Serve as centers for lifetime learning in the community
- Make societal contributions (e.g., community outreach, university-industry-government collaboration, international exchange)

(2) Institutional Uniqueness

- Each university is to establish its own unique functions and institutional character.
- Universities are to establish a differentiation in functions among themselves.

(Central Council for Education “Future Image of Higher Education in Japan” 2005 Recommendation)