Changing Roles of World-Class Universities during the National Crisis in Japan

Akiyoshi Yonezawa (Nagoya University)
Mariko Watanabe (The University of Tokyo)

Challenges for Japanese leading universities

- **Maintenance of WCU Status**
  - Already established the Asian leading status by the end of 20th Century
  - Competition with leading universities in emerging economies
- **Financial difficulty**
  - Huge governmental debt: 212.7% in 2011 (Korea: 33.4%)
  - Financial priority to the recovery from the disasters in March 2011
- **Shrinking HE market**
  - Decrease of youth population (stable by 2020)
  - Small demand for post graduate education from domestic labor market (esp. Doctoral in Engineering and MBA) at least traditionally
- **Slow process of internationalization**
  - Difficulties for finding regular jobs among university graduates under further widening participation (not always true as to top universities ➔ stick to traditional domestic labor market)
  - Small incentive for emigration, & heavy reliance on student/labor inflow from Mainland China, Korea, Taiwan and other (mainly Asian and Latin American) countries
National Policy Level

- Policy arrangements to strengthen world status of top universities and research activities for adapting global knowledge economy in 1990s
  - Organizational reforms to strengthen graduate education
  - Shift from operational budget to project based funds for research
  - Enactment of Science and Technology Basic Act (1995)
  - Stimulated by the WCU policies in Korea (BK21) and China (211 & 985)
- Toyama Plan (2001)
  - Foster around 30 world class universities
  - Incorporation of national universities from 2004
  - Quality assessment linked with finance among national universities
    (first round finished in 2010)
  - Linked with the structural adjustment budgetary policy by Koizumi Cabinet
- Incorporation of all National Universities (2004-)
  - Financial incentive based on the assessment result of medium-term goals and plans (6 year cycle)
  - 1% cut every year in the government’s subsidy of the operational budget (2005-2009)
- Diversification through autonomous choice and competitive funding
  - Choice of seven function from ‘key base for world-class research and education’ to ‘contribution to a local community’
  - Centers of Excellence in the 21st Centuries <COE21> (2002-)
  - Global COEs (2007-)
  - World Premier International Research Center Initiative (WPI, 2007-)
  - Funding Program for World-Leading R&D on Science and Technology (FIRST, 2009-)
- Internationalization
  - Global 30 (2009-) (7 national: Hokkaido, Tohoku, Tsukuba, U. of Tokyo, Nagoya, Kyoto, Osaka, Kyushu, 6 private: Meiji, Sophia, Keio, Waseda, Doshisha, Ritsumeikan)
- Proposal for privatization of the University of Tokyo by Heizo Takenaka (& Liberal Democratic Party)
University Level

- Incorporation of national universities (2004)
  - Governance reform: Increasing role of vice-presidents
  - Strategic planning: Medium-term goals and plans, Action plan/scenario
  - Diversification of financial resources

- Internationalization
  - Increase in share of international students and faculties
  - Salary incentives for internationally leading researchers
  - Programs taught in English language
  - Exchange of students and researchers
  - University consortium
  - Chang of the University Calendar?? (from admission in April to September by the University of Tokyo??)

The University of Tokyo (Todai) : Overview

- Established: 1877
- Organization:
  - Faculties - 10
  - Graduate Schools - 15
  - Research Institutes and Centers - 32
- Number of Personnel:
  - Faculty - 3,869
  - Staff - 3,717
- Students Enrolled: Approx 30,000
  - Undergraduate - 14,333
  - Graduate – 14,463
- Annual Budget: Approx USD2.5 billion
Forest 2015
(University of Tokyo 2010)

- to ensure academic diversity and pursue excellence
- to build a truly global campus
- to further develop collaboration with society — from “contributing knowledge to society” to “joint creation of knowledge with society,”
- to develop Todai (University of Tokyo) students with intellectual toughness and personal resilience
- to enhance the faculty’s educational skills and sustain academic vigor
- to train administrative staff as professionals
- to build a close-knit network with alumni
- to enhance the agility of management and reinforce the university’s foundations
- to reinforce governance and compliance

### Diversification of financial resources among top national universities

<table>
<thead>
<tr>
<th>Year</th>
<th>Subsidy for Operational Expenditure</th>
<th>Income from University Hospital</th>
<th>Income from Tuition Fees</th>
<th>Competitive Funds (Research and other)</th>
<th>Others</th>
</tr>
</thead>
<tbody>
<tr>
<td>2004</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>2005</td>
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<td>2006</td>
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<tr>
<td>2007</td>
<td>0</td>
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<td>2008</td>
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<td>0</td>
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<tr>
<td>2009</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

Note: The chart shows the financial resources for each university type over the years 2004 to 2009, with bars representing different revenue sources.
International alliances with leading universities

* IARU (International Alliance of Research Universities)
* APRU (Association of Pacific Rim Universities)
* AEARU (Association of East Asian Research Universities)
* AGS (Alliance for Global Sustainability)
* Four University Forum (BESETOHA)
* AIKOM (Abroad in Komaba)
* Todai Forum

Programs in English

• Graduate Schools
  – Almost all schools offer programs in English

• Bachelor Programs
  – Two new undergraduate programs starting in **October 2012**
    • International Program on Japan in East Asia
    • International Program on Environmental Sciences
  – 4 year programs resulting in a BA degree
  – No Japanese knowledge required, but Japanese language classes are included in the programs
Change in the Ruling Party

- Policy revision by the Democratic Party of Japan (2009-)
  - Budgetary Spending Review
  - WCJ policy became invisible, while investment to the human resources and green/life innovation were stressed
  - Cancel of annual 1% cut of subsidies for the expenditure of national universities: -0.94% (2010)
  - 10% cut + policy contest => +3% (2011)
  - Budgetary priority for recovery from disasters in March 2011
  - Universities feel necessity to appeal directly to the general public

- CAMPUS Asia Project with China and Korea
  - Student exchange, Linkage with Industry, Quality Assurance

- Other government budget for promoting exchange with US universities, (and then, with ASEAN universities??)
  - Strategic & Systemic Approach towards international exchange by gathering the initiatives from government, university and industry

Research University 11 (RU11)

- Tokyo, Kyoto, Tohoku, Hokkaido, Kyushu, Osaka, Nagoya, Tsukuba, Tokyo Institute of Technology, Waseda & Keio
- Collaborative Proclaim to Prime Minister Kan for promoting public investment to universities as a key platform of knowledge (Nov 2009)
- The first RU11 symposium: “Toward the creative reconstruction and the future of Japan by using the power of ‘wisdom’ - get over now, aim for tomorrow” (June 2011, at Sendai)
- Assembly negotiation with Thompson Reuters/ THE on ranking methodology (Aug 2011)

www.ru11.jp
RU11 activities

- The number of events organized by each member university due to the March 11th earthquake and tsunami is as follows (as of 27 September):

<table>
<thead>
<tr>
<th>University</th>
<th>Events</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hokkaido university</td>
<td>13</td>
</tr>
<tr>
<td>Tohoku University</td>
<td>33</td>
</tr>
<tr>
<td>University of Tsukuba</td>
<td>15</td>
</tr>
<tr>
<td>The University of Tokyo</td>
<td>35</td>
</tr>
<tr>
<td>Waseda University</td>
<td>30</td>
</tr>
<tr>
<td>Keio University</td>
<td>24</td>
</tr>
<tr>
<td>Tokyo Tech.</td>
<td>25</td>
</tr>
<tr>
<td>Nagoya University</td>
<td>14</td>
</tr>
<tr>
<td>Kyoto University</td>
<td>31</td>
</tr>
<tr>
<td>Osaka University</td>
<td>4</td>
</tr>
<tr>
<td>Kyushu University</td>
<td>9</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>233</strong></td>
</tr>
</tbody>
</table>

Statement by the RU11 University Association

Request for a revision of the assessment methods used by Thomson Reuters for the Times Higher Education (THE) World University Rankings

July 31, 2011

1. The ranking of citations based on either citations per author (or faculty) or citations per paper represents two fundamentally different ways of thinking with regards to academic institutions: are the institutions to be viewed as an aggregation of their researchers, or as an aggregation of the papers they have produced? We believe that the correct approach is to base the citations ranking on citations per faculty, as has been the practice in the past.

2. We request a revision of the method used for regional modification.

3. We request the disclosure of the raw numerical data used to calculate the citation impact score for the various research fields at each university.
CAMPUS Asia  
(Collective Action for the Mobility Program of University Students; by Japan, Korea and China; from April 2010)

- Universities in Japan, China and Korea will become places where students and professors from diverse cultural and regional backgrounds will be able to come together, and the merits of each university will be realized.
- Stirred by the Committee representing the governments, universities, industries and quality assurance agencies of the three countries.
- Mutual understanding on exchange programs and quality assurance
  - Guidelines for exchange programs, including credit transfers and grading policies
  - Pilot program(s) and identifying necessary support systems
  - Achieving mutual understanding on university evaluation, publishing a common glossary of quality assurance, sharing information on university evaluation, visiting each other to observe evaluation activities
- Should be understood as one example of a multilateral initiative for developing an open, regional HE arena.
- Now, in the process of selecting a pilot projects for a good model for quality exchange with China & Korea, (as well as US).

Conclusion

- Institutionalization of world-class university policy has progressed at the levels of both national policy and university (while the term ‘world class’ itself is not used so much as before)
  - National level: voluntary choice of world class research and education function, with financial incentives
  - University level: governance reform, strategic planning, strengthening international profiles
- Change in ruling party led to a more transparent interaction between the government and the leading universities aiming for ‘world class’ status
  - Re-examination on public spending
  - Alliance among top universities: RU11
  - Prioritize to the recovery from disasters in March 2011