

Japan–Nordic Symposium

On the Frontier of University Evaluation

–Making the Most of Nordic Successes–

Report

Thursday 28 September 2006 9:30 am – 5:00 pm

United Nations University Tokyo

Organised by

National Institution for Academic Degrees and University Evaluation (NIAD–UE)

Supported by

Ministry of Education, Culture, Sports, Science and Technology (MEXT)

The Asahi Shimbun

Embassy of Denmark

Embassy of Finland

Embassy of Iceland

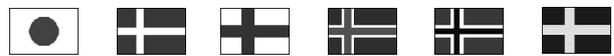
The Royal Norwegian Embassy

Embassy of Sweden

Contents

Programme	3
Curriculum Vitae	5
Welcome Addresses	13
Keynote Speech “How university evaluations are being innovated in Europe”	21
Nordic Success	37
Panel Discussion (1) “Impact of university evaluation on educational quality”	61
Panel Discussion (2) “Contributions of university evaluation to society”	97
Summary and Closing Address	131
Distributed Materials [Slides: English]	137

National Institution for Academic Degrees and University Evaluation (NIAD–UE)



Japan–Nordic Symposium

On the Frontier of University Evaluation –Making the Most of Nordic Successes–

Thursday 28 September 2006

U Thant International Conference Hall, United Nations University

Programme

[Host : Toshio Kato Executive Director, Secretariat for University Evaluation, NIAD–UE]

9:30 – 10:00	Welcome Addresses Tutomu Kimura President, NIAD–UE Thordur Aegir Oskarsson Ambassador of Iceland
10:00 – 10:40	Keynote Speech How university evaluations are being innovated in Europe Christian Thune Executive Director, EVA, Denmark
10:40 – 11:40	Nordic Success Ossi Tuomi Secretary General, FINHEEC, Finland Solrun Jensdottir Director, Department of Education, Ministry of Education, Science and Culture, Iceland Tove Blytt Holmen Deputy Director General, NOKUT, Norway Staffan Wahlen Senior Advisor, National Agency for Higher Education, Sweden
11:40 – 13:00	Lunch
13:00 – 14:50	Panel Discussion (1) Impact of university evaluation on educational quality [Panelists] Tisato Kajiyama President, Kyushu University Vice–President, The Japan Association of National Universities Norikazu Kudo Vice–President, Keio University Junko Kawamura Executive Director, Institute of National Colleges of Technology Christian Thune Executive Director, EVA, Denmark Ossi Tuomi Secretary General, FINHEEC, Finland Tove Blytt Holmen Deputy Director General, NOKUT, Norway [Moderator : Seiji Kimura Dean, Faculty of University Evaluation and Research, NIAD–UE]
14:50 – 15:00	Tea Break
15:00 – 16:50	Panel Discussion (2) Contributions of university evaluation to society [Panelists] Tateo Shimizu Editorial Writer, The Asahi Shimbun Roger K. Abrahamsen Professor of UMB, Chair of NOKUT’s Board, Norway Fumio Isoda Deputy Director–General, Higher Education Bureau, Ministry of Education, Culture, Sports, Science and Technology (MEXT) Staffan Wahlen Senior Advisor, National Agency for Higher Education, Sweden Solrun Jensdottir Director, Department of Education, Ministry of Education, Science and Culture, Iceland [Moderator : Akihiko Kawaguchi Vice–President, NIAD–UE]
16:50 – 17:00	Summary and Closing Address Akihiko Kawaguchi Vice–President, NIAD–UE
17:30 – 19:00	Reception (Venue : Reception Hall (2F) , United Nations University)



National Institution for Academic Degrees and University Evaluation (NIAD–UE)

Curriculum Vitae

Tsutomu Kimura

President, NIAD-UE

EDUCATION:

B.Eng. University of Tokyo (Faculty of Engineering)

M.Eng. University of Tokyo

PhD. Tokyo Institute of Technology

PROFILE:

1998- President, NIAD-UE

1998- Honorary Professor, Tokyo Institute of Technology

1997-1998 Professor, Tokyo Institute of Technology

1993-1997 President, Tokyo Institute of Technology

1982-1993 Professor, Tokyo Institute of Technology

Thordur Aegir Oskarsson

Ambassador of Iceland to Japan

EDUCATION:

B.A. University of Iceland (Political Science)

M.A. University of Wisconsin - Madison (International Affairs)

Ph.D. University of Wisconsin - Madison

PROFILE:

2004- Ambassador of Iceland to Japan

2002-2004 Ambassador of Iceland to Bosnia and Herzegovina

Ambassador of Iceland to Hungary

Ambassador of Iceland to Slovakia

2000-2004 Permanent Representative of Iceland to UNOV

Permanent Representative of Iceland to the IAEA

Permanent Representative of Iceland to the CTBTO

Ambassador of Iceland to Austria

1999-2004 Permanent Representative of Iceland to the OSCE

Christian Thune**Executive Director, EVA, Denmark****EDUCATION:**

Ph.D. University of Copenhagen (History)

PROFILE:

- 1999- Executive Director of the Danish Evaluation Institute (EVA)
- 2004-2005 Chair of the Nordic Quality Assurance Network in Higher Education (NOQA)
- 2000-2005 President of the European Association for Quality Assurance in Higher Education (ENQA)
- 1997-1999 Board of the Directors, the International Network for Quality Assurance Agencies in Higher Education (INQAAHE)
- 1989-1999 Danish government director of the new Centre for Quality Assurance and Evaluation of Education

Ossi Tuomi**Secretary General, FINHEEC, Finland****EDUCATION:**

- M.A. University of Tampere (Administrative Sciences)
- Ph.D. University of Oulu (geography)

PROFILE:

- 2004- Secretary General to FINHEEC (Finish Higher Education Evaluation Council)
- 2000-2003 Member of the International Advisory Board of the Journal of Audit and Continuing Education
- 2000-2001 Member of the Steering Committee of the European University Continuing Education Network (EUCEN)
- Member of the Editorial Board of Lifelong in Europe (LLinE)
- 1984-1988 Director of the Chydenius Research Institute (Finland)

Sólrun Jensdóttir

**Director of an enlarged Office of Education,
Ministry of Education, Science and Culture, Iceland**

EDUCATION:

B.A. University of Iceland (Icelandic and History)

M.Ph. London School of Economics and Political Science (Modern European History)

PROFILE:

2003- Director of an enlarged Office of Education, the Ministry of Education, Science and Culture

1993-2003 Director of International Relations, the Ministry of Education, Science and Culture

1984-1993 Director of the Office of Education, the Ministry of Education, Science and Culture

1983-1984 Special assistant to the Icelandic Minister of Education, Science and Culture

1970-1983 Teacher at Upper Secondary Schools and lecturer at the University of Iceland, the London School of Economics and Political Science and University College London

1960-1965, 1969

Journalist at the Daily Newspaper Morgunbladid

Tove Blytt Holmen

**Deputy Director General,
Head of Accreditation Unit, NOKUT, Norway**

EDUCATION:

Cand. Agric (equivalent to a Master of Science)

University of Life Science, Norway (UMB)

(Dairy Technology)

PROFILE:

2002- Deputy Director General, Head of Accreditation Unit, Norwegian Agency for Quality Assurance in Education (NOKUT)

1998-2002 Deputy Director General, Department of Quality Assurance and Development, Network Norway Council (NNR)

1995-1998 Director of Studies and of continuing education, Agricultural University of Norway (NLH)

1994-1995 Head of Division, the Norwegian Ministry of Agriculture

Staffan Wahlén

**Senior Advisor, Swedish National Agency
for Higher Education, Sweden**

EDUCATION:

M.A. University of Stockholm (Linguistics)

PROFILE:

1995- Senior Advisor of Swedish National Agency for Higher Education
1994-1995 Senior Advisor, Office of the University Chancellor, Sweden
1981-1994 Educational Consultant, Stockholm University (half-time) and Head of the
University's Centre for Languages for Specific Purposes

Tisato Kajiyama

**President, Kyushu University
Vice-President, The Japan Association of National Universities**

EDUCATION:

B.Sc. Kyushu University (Polymer Chemistry)
M.Sc. Kyushu University (Polymer Chemistry)
Ph.D. University of Massachusetts (Polymer Physics)
D.Eng. Kyushu University (Polymer Chemistry)

PROFILE:

2001- President of Kyushu University
2000-2001 Dean, Faculty of Engineering, Kyushu University
1984-2001 Professor of Kyushu University

Norikazu Kudo

Vice-President, Keio University

EDUCATION:

B.A. Keio University (Business and Commerce)

M.A. Keio University (Business and Commerce)

Ph.D Keio University (Business and Commerce)

PROFILE:

2001- Vice-President of Keio University

1987- Professor of Keio University

Junko Kawamura

**Executive Director,
Institute of National Colleges of Technology**

EDUCATION:

B.A. University of Tokyo (Law)

PROFILE:

2006- Executive Director, Institute of National Colleges of Technology

2005-2006 Deputy Director-General, Science and Technology Policy Bureau (MEXT)

2003-2005 Director of Policy Planning and Coordination Division (MEXT)

2002-2003 Director of Arts and Culture Division, Agency for Cultural Affairs (MEXT)

1999-2002 Director of Scientific Research Aid Division

*1999-2001: Ministry of Education, Science, Sports and Culture

*2001-2002: MEXT

1987-1988 Director of Research Cooperation Division, Tokyo Institute of Technology

1979- Ministry of Education, Science, Sports and Culture

Tateo Shimizu

Editorial Board, The Asahi Shimbun

EDUCATION:

B.A. Kobe University (Business Administration)

PROFILE:

2004- Editorial Board, The Asahi Shimbun
Visiting Researcher, Hiroshima University

1994- Chief Editor of "University Ranking"

1971- The Asahi Shimbun
(Reporter, Publications Division, Editorial Division)

Roger K. Abrahamsen

**Professor, Department of Chemistry,
Biotechnology and Food Science,
Norwegian University of Life Science, Norway**

EDUCATION:

Degree of Dairy Engineer (equivalent to Master Degree):
Norwegian University of Life Science (Dairy Science and Technology)

D.Sc. (equivalent to Ph.D.):
Agricultural University of Norway (Dairy Technology)

PROFILE:

1992- Professor in Dairy Technology, Department of Food Science, Agricultural
University of Norway

1996-2001 Rector of the Agricultural University of Norway

Fumio Isoda

**Deputy Director-General, Higher Education Bureau,
Ministry of Education, Culture, Sports, Science and Technology (MEXT)**

EDUCATION:

B.A. University of Tokyo (Law)
M. Politics, M.Ed. Stanford University (Politics, Education)

PROFILE:

2006- Deputy Director-General, Higher Education Bureau (MEXT)
2004-2006 Executive Vice-President, Tsukuba University
2002-2004 Deputy Director-General, Budget and Accounts Division (MEXT)
2001-2002 Director, Policy Division, Science and Technology Policy Bureau (MEXT)
1999-2001 Director, Local Affairs Division, Local Education Support Bureau (Ministry of Education, Science, Sports and Culture)
1997-1999 Director, Research Aid Division, Science and International Affairs Bureau (Ministry of Education, Science, Sports and Culture)
1995-1997 Director, Overseas Japanese Children Education Division, Local Education Support Bureau (Ministry of Education, Science, Sports and Culture)
1977 Ministry of Education, Science, Sports and Culture

Akihiko Kawaguchi

Vice-President, NIAD-UE

EDUCATION:

B.Sc. Okayama University (Faculty of Science: Chemistry)
M.Sc. Kyoto University
PhD. Kyoto University

PROFILE:

2006- Vice-President, NIAD-UE
2002- Honorary Professor, Tokyo University
2002-2006 Dean, Faculty of University Evaluation and Research, NIAD-UE
2000-2006 Professor, Faculty of University Evaluation and Research, NIAD-UE
1989-2001 Professor, Tokyo University

**Japan-Nordic Symposium
On the Frontier of University Evaluation
-Making the Most of Nordic Successes-**

Welcome Addresses

Tsutomu Kimura

President, NIAD-UE

Thodur Aegil Oskarsson

Ambassador of Iceland

[Host: Toshio Kato Director, Department of University Evaluation, NIAD-UE]

Kato: I would now like to begin the proceedings of the Japan-Nordic Symposium, “On the Frontier of University Evaluation—Making the Most of Nordic Successes.”

My name is Kato, Director of the Department of University Evaluation at the National Institution for Academic Degrees and University Evaluation. I will serve as your MC for today.

The schedule for today is outlined in the program that has been distributed with other materials for this Symposium. If you are missing any materials, please make yourself known to any member of staff.

Among the materials in front of you is a questionnaire sheet. Feedback obtained through this questionnaire will help us in planning future symposia. We would appreciate your cooperation in completing your questionnaire sheet and returning it to staff as you exit the venue upon completion of today’s proceedings. Alternatively, you can place it in the box located at reception on the second floor.

Kato: First of all, I would like to invite the President of the National Institution for Academic Degrees and University Evaluation, Tsutomu Kimura, to make some opening remarks.

Kimura: It is a great pleasure and honor for me to have this opportunity to say a few words at the beginning of this very memorable event, the Japan-Nordic Symposium, On the Frontier of University Evaluation, subtitled as “Making the Most of Nordic Successes.”

First of all, I would like to express my sincere appreciation to Norwegian Ambassador Åge Bernhard Grutle and Icelandic Ambassador Thordur Aegir Oskarsson and Danish Ambassador Freddy Svane for their participation. Your presence certainly graces this important event to a great extent.

I also would like to express my deep thanks to our distinguished guests from Nordic countries—Professor of UMB, Chair of NOKUT’s Board, Norway, Dr. Abrahamsen; Deputy Director General, NOKUT, Norway, Ms. Holmen; Director, Department of Education, Ministry of Education, Science and Culture, Iceland, Dr. Jensdóttir; Executive Director, EVA, Denmark, Dr. Thune; Secretary General, FINHEEC, Finland,

Dr. Tuomi, and; Senior Advisor, National Agency for Higher Education, Sweden, Mr. Wahlén—who have flown a long, long way to attend this symposium.

From the Japanese side we also have distinguished guests: Dr. Kajiyama, President, Kyushu University; Mr. Isoda, Deputy Director-General, Higher Education Bureau, Ministry of Education, Culture, Sports, Science and Technology (MEXT); Prof. Kudo, Vice-President, Keio University; Ms. Kawamura, Executive Director, Institute of National Colleges of Technology, and; Mr. Shimizu, Editorial Writer, *The Asahi Shimbun*. Now I would like to show my thanks for their participation.

To our knowledge, Nordic countries started higher education reform in the 1980s and in the year 2000 the external evaluation system was established firmly. In order to learn the outcome of this positive attitude, as many as 277 Japanese universities have signed up some sort of cooperation agreement with universities in Nordic countries.

In an attempt to raise the quality and increase the international competitiveness of higher education in the region, Nordic countries founded a network called NOQA, which stands for Nordic Quality Assurance Network in Higher Education, completely separate from ENQA, which covers the whole European region. We are extremely impressed with this effort and solidarity of Nordic countries. Our observation as a member of APQN, Asia-Pacific Quality Network, is that there are so many things to learn from experiences in Nordic efforts. This is the reason why we thought we should organise this particular symposium in Tokyo at this time. I really don't know if our side has anything to offer to the Nordic side, but my sincere hope is that the symposium will contribute to the enhancement of the quality of higher education in both regions.

The symposium starts off with a keynote lecture by Dr. Christian Thune, Executive Director, EVA in Denmark, followed by presentations from Nordic countries by distinguished speakers in each country. Then we will have two panel discussion sessions. For these two panel discussion sessions we welcome active input from the audience.

Finally, I express my sincere appreciation to the Japanese Ministry of Education, Culture, Sports, Science and Technology, *The Asahi Shimbun*, and Embassies of Nordic countries in Tokyo which enable us to organize this wonderful symposium. Let me conclude my opening remark by praying for great success of this symposium. Thank you

very much indeed for your attention.

Kato: Thank you very much.

Next, I would like to invite the Ambassador of Iceland to Japan, His Excellency Thordur Aegir Oskarsson, to speak on behalf of the five Nordic countries. Ambassador Oskarsson, the floor is yours.

Thordur Aegir Oskarsson: Prof. Kimura, President of the National Institution for Academic Degrees and University Evaluation, representatives and colleagues from the Nordic countries, representatives from the Japanese Ministry of Education, Culture, Sports and Technology, representatives from *The Asahi Shimbun*, distinguished participants, it is both an honor and pleasure to address you on behalf of the Embassies of Denmark, Finland, Norway, Sweden and Iceland on the occasion of this symposium dealing with a very important topic for modern societies: quality assurances of higher education.

The world community has in recent times been undergoing a globalization on a scale never experienced before in the history of mankind. The process has manifested itself mostly in industry and business. At the same time it has greatly influenced our societies and social life in general. This has had a profound impact on education in particular as one can argue that globalization is driven to a large extent by information business, of which education, research and innovation are important components. That in turn produces challenging demands on the educational system in order to sustain this progress.

Governments are now trying to meet increased competition on a global level by placing the onus of policy on education to produce the human capital most relevant to the global competition, which seems to have insatiable need for knowledge and information. This emphasis has highlighted and increased the importance of universities, as well as other higher education institution, as these are at the center of knowledge and innovation for societies' most important sectors.

The rapid process of globalization shows no mercy to those that fall behind. Competition in the future will be increasingly about the ability to innovate and produce value-creating solutions that are difficult for others to copy. This will require the

establishment and perseverance of a strong and innovative culture and ability to use one's own core skills. So in order to be successful at the global level, you also have to enjoy the same success on the local level. It is here that the quality of the educational system comes to play.

One of the major factors explaining the success of the Nordic countries in the modern world is without doubt the level and quality of education that the citizens of these five relatively small countries enjoy. The Nordic countries have developed social and economic systems that have created one of the most affluent regions in the world, where the five countries constantly rank among the top ten in international comparisons in areas like welfare, competitiveness, technological level and creativity, to name a few indicators.

The internationalization of the education system in the Nordic countries is not a new phenomenon, since these countries have long and tested cooperation in the field of higher education that has resulted in an extensive system of mutual recognition of conditions of access and results at the university level. The cooperation in this context of Nordic quality assurance had already started in 1992 when the relevant organizations began exchanging views and experiences on developments in evaluation and quality assurances in higher education.

As I indicated before, in order to be able to meet the demands of the globalized world, no one can rest on the laurels of past and present achievements. It is how you meet the challenges of the future that counts. All of the Nordic countries have already or are in the process of reviewing their legal framework for the level of higher education in order to be better able to adjust to and meet the new international challenges and policies facing education, while safeguarding quality.

The political leaders of the five Nordic countries are deeply aware of these new challenges. And as to higher education, the Nordic ministers of education issued a special declaration on 9 June 2004 in Reykjavik, Iceland, where they emphasized the importance of more intensive work for mutual recognition and assurances of quality of the education offered at the university level in the Nordic countries.

It is not only in the Nordic countries but in Europe in general that the focus on quality of higher education has been moved to the forefront. A critical factor was the

establishment of the Bologna Process established in 1999, now including 45 European states. Commitments under this process are not binding but the political aim is to create a pan-European educational system by 2010. This was underlined by the conclusion of the ministers of education of the Bologna member states at a meeting in Bergen in Norway 2005.

It is our hope that this symposium will result in further cooperation and coordination between the Nordic countries and Japan as to quality assurances and enhancement of quality at the level of higher education. Although our embassies can never claim to have any expertise in this field, the issue is important for our daily activities. There is a strong and growing interest for Japan in our countries and that is reflected in the number of inquiries that we get from students and also academic institutions looking for cooperation partners. We have witnessed the same interest here in Japan for the Nordic countries. In this context, it is therefore very important for the embassy staff to be able to provide basic information in this regard, being assured that the proper mechanisms for the evaluation of the educational quality are in place.

We therefore heartily welcome the initiative of the National Institution for Academic Degrees and University Evaluation to hold this Japan-Nordic Symposium on university evaluation and wish it every success. Thank you very much.

Japan-Nordic Symposium
On the Frontier of University Evaluation
-Making the Most of Nordic Successes-

Keynote Speech

How university evaluations are being innovated in Europe

Christian Thune Executive Director, EVA, Denmark

*Slides [English] : P. 139~152

Kato: Now we would like to move on to the keynote address. The speaker is Dr. Christian Thune, Executive Director, EVA. He is going to talk on the topic of “How University Evaluations Are Being Innovated in Europe.”

I would like briefly to introduce Dr. Thune’s personal background. Dr. Thune completed a doctoral course at University of Copenhagen, and his area of academic specialization is history. He has held important positions in quality assurance and academic evaluation in Denmark, and has also served as a member of the Board of INQAAHE, the International Network for Quality Assurance Agencies in Higher Education. In addition, from 2000 through 2005, he served as the President of the European Association for Quality Assurance in Higher Education, ENQA and played a leading role in European higher education, which has seen dramatic changes including the Sorbonne Declaration and Bologna Process. He has also served as the Chair of the Nordic Quality Assurance Network in Higher Education, NOQA. His current position as Executive Director of EVA allows him to continue his leading contribution to issues of quality assurance in higher education across Europe.

Dr. Thune, please.

(Slide1)

Christian Thune: Thank you for the presentation, and Mr. President, ambassadors, representatives of the ministries, universities and other stakeholders, I am of course honored to have been invited to speak at this highly-relevant occasion of the symposium on Nordic-Japanese experiences in evaluation of universities.

(Slide2)

I have been asked to cover in my presentation developments and innovations at the European, Nordic and Danish level, which certainly makes for a very comprehensive effort on my part, and part of the journey I will be taking you through during the next half an hour or so will be, more than anything, a helicopter tour a certain distance above the many highly interesting details at the ground level. But I hope I will be able to provide you with an idea of where the relevant developments and innovations are taking place these years.

So I’ll start out by presenting the European and go on to the Nordic in the formal shape of NOQA and end up with a few words on my own national’s quality assurance system in Denmark.

(Slide3)

As it is, and that will be the conclusion I'll be moving you forward through in terms of what have been the developments in Europe, is that they have to a remarkable degree been successful, but as we all started out in '92, we weren't that many in '92, actually, the British, the French, the Dutch and the Danes were first in place. I'm the only survivor from '92; there is an attrition rate in my business which is impressive. But as we began already at that time to discuss frameworks for cooperation, exchange of best practices, there were distinct positive indicators for the future of European cooperation.

We were as a rule all government initiated and owned. Actually I know of not one single European case where the universities were the initiators of external quality assurance; it was a government process. But we were independents as agencies in terms of our choice of methods and processes. We all applied the four-stage model, as we called it, based on independent agencies, self-evaluations on the part of the higher education institutions, site visits by experts, and finally, a public report. And that was more than anything what kept us together, this shared approach, in terms of basic methodology.

We also were all in the process of setting up regular, systematic cyclical review activities in our national systems. We were positive towards the idea of getting the most out of sharing best practices with our European colleagues. We had very strong back-up from the European Commission, not least in terms of funding of traveling and conferences, much the same function which the World Bank has taken upon itself in relation to the Asia-Pacific Quality Network. And this is important because one of the major developments was that in the mid-nineties we had the European pilot projects covering all the European Union countries, introducing the basic strategies and methodologies also in those countries where national systems were not yet in place.

(Slide4)

There were also negative indicators. National approaches were still fragmented, basically because in Western Europe we were improvement oriented, basically applying evaluation strategies, whereas Central and Eastern Europe, after the democratization process, oriented themselves towards more accountability accreditation processes. There was what I call a considerable variance in professional capacity-building, and behind that is that some of the agencies, especially in Western Europe, from the start became sufficiently professional in terms of having the staff necessary to develop the credibility and consistency of processes, whereas others, especially in Central and Eastern Europe, did not possess from the start that professional capacity.

We had language and terminology problems. No wonder. Even basic terms such as “evaluation” had their various associations in the different countries.

And, not to forget, basically, we all had to face in the early nineties a general skepticism and mistrust from universities towards these new strange ideas of external quality assurance.

(Slide5)

But as we move ten years forward to 2002, we had national agencies in place in almost every European country. My agency did a survey for ENQA and could identify at that time that there were five top approaches in terms of methodologies. Accreditation of programs, somewhat to our surprise, was the winner, but that was because the Central and Eastern European agencies all adapted accreditation methodologies. So evaluation of programs came in as a strong second, which was at that time basically the Western European and Northwestern European especially approach. And audit of institutions were beginning to come in strongly. I'll return in a while to the concept of audit and let further definition be for the moment.

(Slide6)

Then we had two formal processes which became extremely important in achieving the results we have today in 2006. One was the Bologna Process, already mentioned by the Finnish ambassador. This became an extremely important catalyst for European developments. It started out with another governmental meeting in Bologna in '99. And I can give you the little anecdote that I was invited by the Danish government to go along because there was something about quality assurance on the agenda, but I called back and said, “Okay, just another governmental conference; you've seen one, you've seen them all.” So I actually didn't go to Bologna. That was a major misjudgment on my part certainly, because what started in Bologna was very ambitious but became eventually a process with fundamental implications for the participating European countries, of which there is, I thought it was 44, but I trust the Finnish ambassador; there are now 45.

The important themes in terms of what we are discussing here today was that from '99 there was a distinct argument that what we needed was transparency, compatibility, comparability and flexibility of European higher education, serving both the needs of stakeholders, students, employers, whoever, in being able to discern what is credible quality and to make European higher education fully adapted to the challenges of the

globalization of higher education.

As the process moved on there became obvious and increasing focus on quality assurance of higher education as a key issue, and along with that the key stakeholders, university students, teachers, employers and society in general, also became fairly acutely aware of the challenges of having a closer look on the setup of quality assurance in the participating countries.

(Slide7)

The other formal development was the establishment of ENQA, the European Association for Quality Assurance in Higher Education, which was formally set up in '99, but based surely on the informal network in sharing of best practices that had started already in the early nineties. But by that time it became obvious that there was a need for formalization. Membership soon began to grow rather drastically. There are today 42 member agencies. I was honored by my European colleagues by being elected as the first President of ENQA until I stepped down a year ago, and part of my task was in a sense to move the corroboration from the basic and original objective of sharing and disseminating knowledge and best practice of quality assurance towards taking upon ourselves the increasingly important political role and implications of being a prominent participant in the Bologna Process, and along that, the European Union political process as well.

(Slide8)

And what I'm telling you here became certainly very obvious when the ministers in the Bologna Process, who meet every other year, when they met in Berlin in 2003 they invited ENQA in cooperation with institutions of higher education and the student associations, to develop an agreed set of standards and guidelines for the quality assurance of higher education as one task, and the other task, to set up an adequate review system for external quality assurance agencies. And this to you may seem simple enough as a task. I can tell you that the little term "agreed" made the next two years rather heavy in terms of added workload for me and my colleagues in the ENQA board because we had, in less than two years, till the next ministerial meeting in Bergen, to set up these standards and guidelines. But we did succeed and it's still to be regarded as quite an achievement that when the ministers met in Norway in Bergen in May 2005, ENQA could present the report on "Standards and Guidelines for Quality Assurance in the European Higher Education Area." It had already been endorsed by ENQA members and the European partners, and our standards and guidelines were adopted by the European ministers. This was a highly important occasion because the

implication of course is that we now have standards and guidelines for which there is a need for all the European participants in the process to ensure that their individual national quality assurance systems comply with the highest degree possible.

(Slide9)

I'll try to give you an idea of the implications and content of the European standards because I'm sure that we can agree that this is, as I say, a fairly crucial state in the development of European quality assurance.

We have now agreed European standards for the internal quality assurance within the higher education institutions and for the processes adopted by the agencies. These standards will now become the common reference points for higher education institutions and their agencies. We have a system where it is obligatory that quality assurance agencies themselves are reviewed at least every five years, and we will now develop a so-called European register of quality assurance agencies. I'll return to the implications of that in a moment.

But one important point before I proceed is surely that this is not the end of a process; this is very much the beginning of a process, and to that extent not necessarily a very easy process.

(Slide10)

Now for a few details in terms of the standards. The standards for the higher education part I'll cover as well, as I've said, internal as well as external quality assurance, and they are applicable to all higher education institutions in the Bologna signatory states, which, by geographical implication, is a territory going from Ireland to somewhere pretty close to the Ural Mountains in the former Soviet Republic.

The purpose is to improve the higher education available to students, highly important to assist higher education institutions in managing and enhancing their own quality, and to form a background for the work of the agencies.

A few words on the standards problem, and I give you only the headings. Behind the headings is the elaborate text and the guidelines, and I'll give you in my final overhead the links which will make it possible for interested Japanese to go into the proper text of the ENQA report.

(Slide11)

The standards for internal quality assurance, as I say, these are the standards which

universities now should apply for their internal processes, and so they must have in place, when agencies come up through a university for a review, the university must be able to identify that they have policy and procedures for quality assurance which are evident in what you could call a quality culture in a university, and on that basis that they do, as a university, approve, monitor and review their own programs and rewards.

They must identify the criteria for the assessment of students that are applied consistently at the university and are in the public domain. They must identify the procedures through which the university makes sure that the teachers of the students are themselves qualified and competent for the work that they are doing.

They must provide documentation that there are adequate and proportional resources available for the teaching and learning and the report of students. That they have, and this is one which will cost a lot of extra work in many European universities, they must be able to identify the information systems through which they collect, analyze and use information for managing their programs and rewards. I can tell in this close circle that not many European universities have at the moment that kind of information system in place.

And finally, and not least important, they must testify that in terms of public information they provide up-to-date, impartial and objective information to stakeholders on the quality and content of the programs and awards.

(Slide12)

The standards for the external quality assurance, these then by implication are the standards supposed to be applied by agencies as they conduct their reviews of universities. Firstly, of course, external reviews must make sure that they do in fact look into the extent and quality of the internal quality assurance mechanisms of the university. They must develop adequate external quality assurance processes. The criteria for decisions taken on quality by the agencies must be based on published criteria that are applied consistently. The processes must be fit for the specific purposes of the quality assurance. And there must be reporting on the results of quality assurance and reported in a form which is readily accessible for the public.

There must be follow-up procedures for the quality assurance results, which are predetermined, and again, applied consistently. The reviews must be periodic or systematic. And finally, agencies must on a regular basis provide more system-wide

analysis where they make reports that provide summary results of the reviews they have been doing within the higher education sector.

(Slide13)

As I told you, external quality agencies are themselves now supposed to be reviewed at least every fifth year. And the background is that there is a growing number of European external quality assurance agencies and, at the same time, operators from outside Europe, especially American professional agencies, such as ABET in the engineering field or some of the regional U.S. accrediting commissions. So we have as a target group those quality assurance agencies primarily that operate in one or more Bologna signatory states, and the idea of course is to make visible the professionalism, credibility and integrity of the agencies.

(Slide14)

The standards applied for the agencies are that a review must identify what quality assurance procedures are in place at the agency, that the agency is formally recognized by a competent public authority, that its activities are regular, that it has resources for the quality assurance work which are adequate and proportional with the task both in human and financial terms. And this again may seem easy enough but I can tell you that quite a number of the European agencies, especially in the former Soviet Republic, have distinct problems with that specific standard.

There must be a clear and public statement of the mission of the agency. And we come into the independence issue which, in terms of the necessary credibility for agencies, is a very essential one. That definition of independence applies in the standards is a pragmatic one, considering the fact that most agencies are government-funded; we have to accept that as a fact of quality assurance life. But the independence must be established in the sense that the processes and methodologies applied by the agencies is their autonomous domain and that no third party is able to interfere with the conclusions and recommendations in reports.

The criteria and processes must be published and in principle discussed with the higher education institutions before they are settled.

And finally, and not least important, quality assurance agencies must have their own accountability procedures in place, implying that they must be prepared to undertake or to undergo these external reviews, and external reviews which, by the implication of what I'm telling you, primarily will focus on the compatibility of the agencies with the

European standards. But agencies are also supposed now to have mechanisms that provide consistent and regular feedback from the universities and their experience of the quality assurance from stakeholders and other interested parties so each agency will have a running, viable feedback system in terms of the quality of its activities.

(Slide15)

I told you that we are going to have a European register of quality assurance agencies, and this is a difficult task to give you in a few sentences, the idea of the register, but I can give you the short version which is that in Bergen the ministers invited ENQA and partners to set up a European register as a proposal for their next meeting in London in 2007. And the idea would be that we will have a register which will provide recognition of the various agencies in terms of compliance with European standards and make it possible for higher education institutions that are looking for qualified quality assurance agencies to find the necessary information in the register. But I'll be brief on this because setting up the register is turning out to be a fairly complicated political process.

(Slide16)

So what are the main challenges for success in the European context: firstly, the willingness of governments, higher education institutions and the agencies to implement the European standards. At this time, one-and-a-half years after Bergen, the willingness is impressive and I am very favorably impressed by the extent to which governments, agencies and universities are taking this task very seriously in most countries.

There must be a balance between the national subsidiaries, which is the European term for the concept, that what can be done satisfactorily at a national level we do not need to move into a European level. And that's a very important balance.

We must face that there are different interests and goals between governments, agencies, institutions, students and other stakeholders, and these differences must now to a last degree be reconciled in terms of fulfilling the ambitions of the Bologna Process.

And finally, there is, again to mention briefly, the register, the risk that this becomes a political rather than a professional instrument, and what I'm hinting at here is that the European Union has the ambition that the possibility that the register should be a very strictly European register only for European agencies compatible with the standards, whereas the original idea was for a more inclusive register which also provided

information on non-European agencies. So much about the European dimension in quality assurance.

(Slide17)

Now a few words on the Nordic quality assurance cooperation, which today has the formal framework of NOQA. We did meet annually since '92. Actually, I invited in the autumn of '92 Nordic colleagues to a meeting in Copenhagen. At that time only the Danish agency was formally in place, but we began to exchange ideas of how to bring about the best and most credible processes in the Nordic countries.

So by 2003 we decided that this informal cooperation should have a more formal expression, not least because we were so heavily contributing to the overall ENQA process, so we set up NOQA as a regional network under ENQA. Still the level of formalization was not very high. We have a rotating chairmanship—Sweden has the honor of being chair of NOQA for this year—but apart from that we have not made an over-bureaucratic and formalized network.

And I should add that in contrast to the European process where ENQA has had to accept a very strong linkage to the European political process, we have no substantial links to the Nordic political processes, which gives us the freedom of operation which I personally find attractive.

(Slide18)

So what are the indications for Nordic networking? The positive ones are that all agencies are harmonious in the sense that they are national and they are government initiated. We share the culture and tradition for Nordic cooperation. We have the added pleasure that Nordic universities are generally positive or very positive toward the concept of quality assurance. We share the language, especially the Scandinavian countries, Norway, Denmark and Sweden. We share basically a language which makes it possible to exchange experts. We have all of us a clear focus on the need to combine an accountability and improvement-oriented approach and we share basically the same methods, even in individual applications.

A negative indication is that we still, if you look closely, are remarkably different in our distinct setup in terms of agencies and the processes. A primary reason here to my mind is that when Nordic governments decide to change their quality assurance setup for higher education, there is surprisingly little consideration of in what way the similar processes are working in the Nordic countries. I think this is one of the problems we will

have to tackle in the future.

(Slide19)

The main methods of quality assurance, just to give you the standards, the definitions of evaluation, that's the review of the quality of a program or institution with a focus on input, output and processes. Audit is a review of the quality culture and internal quality assurance of a university. That's the definition of audit. You will I'm sure be perceptive enough to realize that the European standards for internal quality assurance are very closely linked to the audit concept.

And we have accreditation. That's the review of the extent to which an institution or a program fulfills predefined standards and resulting in a formal "yes" or "no" decision on compliance.

(Slide20)

The activities of NOQA, we have our annual conferences and at each annual conference we decide on a joint project, which is very important. The agencies contribute one or two staff members each to a joint project where we set up and report on a relevant theme for our mutual efforts. And as you look down the list you can see that the way in which we have handled these joint projects has been very much sort of on the forward edge of European development. Actually, the first one was on the accreditation-like practices which were at that time beginning to spread into Western Europe. We have had student involvement. We have done last year a European study on the extent to which the Nordic agencies are already compatible with European standards. And now this year we are moving into audit as a concept and a method. So no surprise.

(Slide21)

The third dimension of our results is that we have been able to contribute the results of what we have doing into reports for ENQA as a whole. We have had a substantial amount of staff exchanges; a Norwegian or Swedish staff member comes to Denmark and stays at my agency for a period and discusses best practices and perhaps even gets some new dimensions.

Very important is the element of consultation and clearing mechanism for external experts. In all the reviews we do in Denmark, we use in the panel of experts at least one expert from one of the other Nordic countries, sometimes two. So it's highly important that we have viable consultation and clearing mechanisms.

And finally, I can say in all modesty that the Nordic countries have been able to work

together in terms of being a very strong element in ENQA developments and policies.

(Slide22)

So what are the challenges? One challenge is because ENQA is moving so strongly, because the political European process is demanding for the agencies, we must strive to maintain still the Nordic dimension, and on the other hand, finding a good balance between increased Nordic cooperation and convergence in quality assurance on the one hand and the fact that we do have these national differences in policies for education and quality assurance systems on the other.

(Slide23)

This brings me finally to the external quality assurance in Denmark of higher education. We started out in '92 with a center only for higher education which did a full cycle of reviews and programs which became, again in all modesty, quite a success because the universities became in general acceptable of the concept we were offering.

So by '99 we were almost overwhelmed by our own success because the parliament decided that we were going to become a new institution the Danish Evaluation Institute, (EVA) with a mandate covering the whole educational system from pre-schooling to universities. So EVA has been faced with a very comprehensive and demanding task.

We are independent, and independence more than anything is significant because we have the right of initiative. No one, for example neither the ministry nor universities, can tell us what reviews we are going to do and in which order.

(Slide24)

Our tasks, as you can see from the overheads if you read fast enough because I won't give you much time, is to make sure we are actually conducting external quality assurance and having a dimension which has a research implication, development of methodologies, collecting on national and international experience. This has been a highly relevant part of our mandate, which again is based in the law, and has given us the possibilities for also taking upon us a fairly extensive international role.

(Slide25)

In the first phase from 2000, it was in a sense the experimental phase. We had follow-up on our program reviews from the nineties. We did thematic review, drop-out rates, career counseling in universities. We used our mandate to follow specific subjects through the whole educational system, for instance, teaching and training in English from primary school to universities. We have been doing cross-national reviews. The last one finished this week is cooperation with the British Quality Assurance Agency for

Higher Education (QAA) on chemistry where the Danish departments have been reviewed together with a number of British departments and the results from the two national contexts combined in and compared in one report.

We do international bench markings, audits, accreditation, and we have a substantial amount of revenue-generating activities.

(Slide26)

So this adds up to a second phase where we have now a system which is a combination of audits at the university level of the 12 Danish university-level institutions. We are moving there from national/Nordic panels into international panels. The implication of this is interesting: the audits are being conducted in English and the universities have accepted to provide the documentation in English, which adds substantially to their work effort. And we have moved from a fairly open format of audit into basing the audit, no surprise, on the European standards.

We have selective criteria-based reviews of university programs where we take on these programs where we perceive there may be a quality problem. And finally, 50 percent of higher education, which is the medium cycle on non-university higher education, the professional training programs, there we systematically certificate all programs.

(Slide27)

So what are the key challenges for Danish success? Firstly, I would mention that we should be very careful in how we manage our very comprehensive mandate. And we do have a coverage problem because I can tell you when we got the daycare institutions, there are 6,000 even in a small country like Denmark, so we are going to look very carefully into the methodologies which give credible coverage.

We have to continue to find a good balance between the original improvement focus of our activities and the strong element of accountability coming into the life of most European agencies, also the Nordic agencies, and certainly the Danes, because governments have begun to become very fond of quality assurance procedures that have a distinct accountability focus. By implication, accreditation is moving in stronger.

We must find a good balance between the institutional and the program level. You cannot concentrate your activities, neither on looking at the whole of a university, ignoring the quality of the partial elements, that's the programs, nor can you on the other hand only look at the programs and ignore the quality of the university as a

whole.

We have, as I've said, a distinct acceleration in our profit-generating activities, that is, quality assurance reviews which are paid for by ministries, universities, local authorities and which we take on alongside the activities funded by the taxpayers. This puts a strain on the organization in the sense that I have to expand my staff accordingly, but basically on the fragile basis of our position in a market for this kind of activity.

I put in the information strategy toward the media, the authorities and the educational institutions because it is so important. We give a distinct priority to make the results of our activities known to the public, who in their shape of taxpayers basically fund the Danish institute, but we have the problem of course that the way to the public is through the media. What is relevant for the media in terms of quality assurance processes? The sad bad stories of no quality, which gives us a problem because what leads to follow-up in the universities? Reports which are fair and do not create a trench mentality in those universities. So that is a continuing effort to achieve the right balance with the media.

And of course finally the compliance with European standards. This is an extremely important issue. We had our external review in 2005 by the Swedish agency and it has now been recognized by the ENQA board as making the Danish agency compatible with European standards, so we have been one of the first agencies to take the path which all the other 40-plus European agencies must now take, and it has been for us a very rewarding and developing experience.

(Slide28)

So this is what I would like to give you today as an idea of development and innovation at these three European levels. You'll have the overheads and my abstract which will give a little more detail. Apart from that, I invite you to go into the links for the three levels: the ENQA link, the NOQA link and the EVA link for the Danish case. And as I'll use some of the time given me by the president and the Icelandic ambassador, I'm sure there is time available if any of you wish to pose a question to me in relation to what I have been telling you, then you are very welcome. Thank you for your attention.

Kato: Dr. Thune, thank you very much. There will probably be some questions for you during the course of subsequent proceedings, and we may need to call on you again then. Thank you.

Nordic Success

Ossi Tuomi Secretary General, FINHEEC, Finland

*Slides [English]: P. 153~156

Solrun Jensdottir Director, Department of Education, Ministry of
Education, Science and Culture, Iceland

*Slides [English]: P. 157~164

Tove Blytt Holmen Deputy Director General, NOKUT, Norway

*Slides [English]: P. 165~171

Staffan Wahlen Senior Advisor, National Agency for Higher Education, Sweden

*Slides [English]: P. 172~179

Kato: Next, we turn to examine successful cases in Nordic countries, looking at how university evaluation has been applied to improve quality in higher education. Representatives from the Nordic countries will talk about their experiences of success.

Finland

Ossi Tuomi (Secretary General, FINHEEC, Finland)

The first speaker is Dr. Ossi Tuomi, Secretary General of FINHEEC. Dr. Tuomi completed his doctoral studies at the University of Oulu in Finland, specializing in geography. He has also served as Director of the famous Chydenius Research Institute.

Dr. Tuomi, please.

(Slide1)

Ossi Tuomi: Ladies and gentlemen, it's a great pleasure to be invited to the Japan-Nordic Symposium and it's an honor to be here in the United Nations University and talk to an audience, an eminent audience like this, I think we are opening new doors and roads with this cooperation.

(Slide2)

The FINHEEC evaluations can be classified like this. Our main focus now is on quality audits and I will come back to that later. We don't run program evaluations by now on the regular basis.

We carry out program evaluations only in cases where some problems in education have arisen or in some extensive fields, but not regularly. Nowadays we hope that higher education institutions take more responsibility of evaluating their own programs.

We have a lot of experience in evaluations focusing on centers for excellence and behind this there is additional funding for higher education institutions for those who do well and I feel that this has been quite a success because institutions are very interested in these evaluations, for example for the status of a quality unit or a center of excellence, but also for the extra funding.

(Slide3)

FINHEEC is very much for the enhancement-led evaluation. We can call it "enhancement-led" or development-oriented or improvement-oriented as Christian Thune just said. This does not differ much, this paradigm, from the paradigms other Nordic agencies use, but perhaps we have made more noise with this compared to the

colleague organizations.

From FINHEEC's point of view, the enhancement-led paradigm or premise means that the purpose is to support higher education institutions. I would say that the interest is in support and not so much in control, and this is my main point in this respect, and it seems that this paradigm has suited very well to Finnish higher education tradition. We are not evaluating towards a certain minimum standard or we don't do any ranking lists of higher education institutions. Reports are public and all of them include proposals for further development.

(Slide4)

There are many fora in which there is discussion of evaluation policy and modes of implementation between FINHEEC and higher education institutions. We have planning groups, external extensive seminars, et cetera, arranged by FINHEEC to have discussions with institutions, and the aim of this is to secure the trust of higher education institutions in evaluation, and I have the feeling that we have been quite successful in this respect, because the way of thinking, the way of doing things, respects the autonomy of the higher education institutions.

Here I would shortly point out the importance of student involvement. In all Nordic countries we have students on our boards and we have students in planning groups, in evaluation panels and we have, I think my colleagues agree with me, that we have very good experiences in this, and although we have been very much for this student involvement, I feel that we still need new methods and new ways of doing it to involve students more and more in evaluations.

(Slide5)

We have introduced the audit model two years ago to the Finnish higher education area and it's in order to show the international community that we have a valid quality assurance system. Quality audits fit quite well with the enhancement-led principle, but of course here control comes into the picture as well because higher education institutions either pass or, we don't use the concept "fail"; we say that institutions either pass or need a reaudit in two years.

(Slide6)

We were asked to point out something about the effects of the evaluations. We all know that this is quite a difficult task to prove that there are effects and what kind of effects we have because there are other factors and interposing variables coming to the game all the time. But I think we have something to show in this respect.

(Slide7)

Centers of excellence in teaching and learning, for example, we can see that they have drawn attention to improving pedagogy in higher education institutions. As the evaluations are repeated, the improvement of pedagogical experience and innovation is clearly seen in processes when repeated. Teachers' pedagogical skills have been improved through systematic training and establishing units for further development of teaching. There also been established tenured posts for pedagogical university lectures, also outside the faculties of education.

In addition to providing teaching and research, the Finnish legislation for higher education prescribes an influence in societal and regional development. It's some kind of third task for higher education institutions. And we have carried evaluation of centers of excellence in regional impact, and it seems that it has served to increase the interest of higher education institutions implementing the third task and the quality of this third task. And in the same way, nominations of quality units, (quality universities in adult education) have served to attract attention to life-long learning. It has been included in university strategies and so on.

We can see evaluation policy effects, when implementing the quality audits because it has made the entire Finnish higher education to build up quality assurance on a systematic basis, and they have also taken on board the European standards and guidelines. I think here we can see the effects of evaluation on development of higher education institutions. I would say that with this kind of process, through evaluation policy, it's possible to steer the entire development of the higher education system.

And my conclusion here is that a positive, rewarding mode of guidance has been proved to work. Thank you very much.

Kato: Dr. Tuomi, thank you very much.

Iceland

Sólrún Jensdóttir (Director, Department of Education, Ministry of Education, Science and Culture, Iceland)

Kato: The next presenter is Ms. Sólrún Jensdóttir, the Director of Department of

Education in Iceland's Ministry of Education, Science and Culture. Ms. Jensdóttir completed a master's degree at the London School of Economics and Political Science and her specialty is modern European history. After serving as a staff writer for the Morgunbladid newspaper, she taught at universities in Iceland and the United Kingdom before entering the Ministry of Education, Science and Culture as a special assistant to the minister. She has since held various important positions in education and international relations within the Ministry.

Ms. Jensdóttir, please go ahead.

(Slide1)

Sólrún Jensdóttir: Thank you very much. Ladies and gentlemen, it's a very great honor to have been invited to address this distinguished audience and I hope that we will be able to continue this interesting and fruitful cooperation with Japan in the field of higher education.

(Slide2)

This is the list of the content of my talk and I'll go through it quickly. First I'm going to tell you a few facts about Iceland, then the higher education system, development of quality assurance, Icelandic relation to the Bologna Process, OECD thematic review of higher education, new law on higher education. Then I will explain the way in which we will carry out the certification, qualification framework and quality assurance, and then lastly explains how we see the way forward in Iceland.

(Slide3)

Before giving you an overview of the quality assurance and evaluation in the higher education sector in Iceland, I would like to start by mentioning a few facts about the country to try to put the higher education system in the right context.

Iceland is one of the islands in the North Atlantic close to the Arctic Circle. Like Japan, it's a volcanic island with hot springs, where earthquakes happen frequently. The official language is Icelandic, related to the Scandinavian languages and German and spoken by all Icelanders. Iceland is a republic with a parliament of 63 members. The life expectancy in Iceland is one of the highest in the world, along with that of Japan: 79 years for men and almost 83 years for women. And infant mortality is among the lowest in the world.

Iceland is an affluent country. In 2004, the GDP per capita was the seventh highest in the world and surpassed the OECD average by around one fifth. This prosperity can be

attributed to Iceland's ability to utilize its comparative advantages by exploiting its abundant natural resources, both marine and land based, as well as human capital. Through the latter part of the 20th century the workforce moved from farming to industrial production and from industrial production to the service sector, and in 2004 the service sector employed 71.2 percent of the labor force, industry 22.4 percent, the highest agricultural sector 3.4 percent and fishing sector 3 percent. There is a considerable shortage of labor and unemployment is negligible.

(Slide4)

The modern Icelandic system of higher education dates back to the foundation of the University of Iceland in 1911, still by far the largest education institution at the highest in the country with several faculties and the only one to offer doctoral studies.

There are now a total of seven higher education institutions in Iceland, four public and three government-dependent private institutions. The Ministry of Education, Science and Culture administers two public and three private institutions. The two agricultural institutions are administered by the Ministry of Agriculture.

The student population has grown dramatically in recent years and almost doubled from 1996 when the total was 9,564 until 2004 when the total had reached 16,068 putting considerable financial pressure on the government, as seems to be the case in most countries today. I think it is interesting for you in Japan to see these very small figures compared to what you have got in your country.

The first legal framework for the higher education system was passed by the Icelandic parliament in 1997. Up to that time, each institution had operated in accordance with special legislation. The main aim of the framework legislation was to increase autonomy of the higher education institutions and to secure a legal basis for the private institutions.

As the law increased the autonomy of the higher education institutions, the role of the national authority shifted from exercising oversight and control of input to monitoring output.

(Slide5)

Systematic quality assurance in higher education does not have a long history in Iceland. Until the legislation in 1997, there were no provisions for quality assurance in Icelandic law. Quality assurance had however been under discussion for several years,

and Iceland already participated in international cooperation in this field, both in the European Association for Quality Assurance in Higher Education, ENQA, and the Nordic Quality Assurance Network in Higher Education, NOQA. This cooperation played an important role in the development of quality assurance in higher education in Iceland.

In accordance with the law 1997, it is stipulated that the supervision of quality in higher education is exercised by the Ministry of Education, Science and Culture. Based on the law, the ministry issued rules, on both an internal and external evaluation explaining the objectives of quality assurance, that is, to maintain and raise the quality of teaching, to improve organization, to promote greater responsibility of the institutions and to ensure their competitiveness on the international arena.

According to the rules, the higher education institutions were obliged to set up formal quality assurance systems and describe the systems publicly.

(Slide6)

The Ministry of Education, Science and Culture is responsible for the external quality assurance. There has not been established a special agency in Iceland, but in the wake of the law, in 1997 a special division of evaluation and supervision was established within the ministry to administer and coordinate the external evaluations. This division has now been replaced by the Office of Evaluation and Analysis. According to the rules on external quality assurance, the external evaluation are to be undertaken by a group of three to six independent experts meeting some of the following criteria: qualifications in the relevant field of scholarship; extensive experience of work in higher education, and; experience in employing graduates. And for this last part we look towards firms and also research institutions.

At least one of the group shall be employed outside Iceland. The institution to be evaluated produces a self evaluation report. The report of the review group is published in its entirety, and within three months the higher education institution publishes its response, and within two years the ministry shall ascertain whether and how the institution has responded to the findings of the external review. The review may cover a whole institution, specific discipline or faculty, and can also extend to several institutions or units simultaneously.

(Slide7)

Icelandic authorities decided in 1999 to become one of the 29 signatory countries to the

Bologna Declaration on cooperation in the European higher education area. The introduction of the Bologna Process into the Icelandic higher education system has been relatively unproblematic. The two cycle degree structure stipulated by the declaration was already in place in most faculties. Other elements of the Bologna Declaration and the process that followed are mostly in place in Iceland in accordance with the decisions of the European education ministers at their biannual meetings. The emphasis on quality assurance is at the forefront of the Bologna process, and at their meeting in Bergen, as you have heard earlier, the Ministers adopted the Standards and Guidelines for Quality Assurance in the European Higher Education Area as proposed by ENQA. Most of the standards regarding external evaluation were in line with the rules already used in Iceland.

Another element in the Bologna Process that will strengthen quality assurance is the Framework of Qualifications for the European Higher Education Area. Iceland has already adopted a National Qualifications Framework for higher education based on the European Framework.

(Slide8)

During 2004 and 2005, Iceland participated in OECD's Thematic Review of Tertiary at Education, along with 24 countries, one of which is Japan. The review is organized in two strands, and Japan and Iceland are among 13 countries that take part in the second strand and are therefore visited by a team of experts from the OECD. The visit to Iceland took place in the autumn of 2005 and the experts' report was published on the OECD website on the 22nd August of this year.

Among the things scrutinized by the review team was quality assurance. The experts were of the opinion that emphasis should be kept on internal quality assurance mechanisms and the culture of evaluation already present in the system should be preserved drawing on the institutional experience. The currently existing framework for external evaluations should be maintained. The review team stressed that a comprehensive system of quality assurance should aim at improvement and accountability and warned that such a system could degenerate into culture of compliance and imposition. The team stressed the necessity of finding more effective procedures for the validation, approval and accreditation of educational programs. The lack of quality assurance in research was also discussed, but it was noted that quality assurance mechanisms were under development, and in practice much reliance was placed upon the well established incentive and bonus system based on the individual

research output of the academic staff, ensuring individual accountability for the quality of the research.

(Slide9)

The University Act 1997 served the purpose to strengthen the base of private institutions, establish quality assurance and encourage diversity and competition. But at the end of 2005, it was decided to revise the act. A new Higher Education Institution Act came into force on the 1st July this year. The main reason for the revision was the development and changes in higher education that had taken place since the law was passed in 1997. The main aim of the new law is to strengthen the Icelandic higher education system and improve quality so that Icelandic higher education can successfully compete internationally.

The act in 1997 did not have provisions for accreditation; the lack of which has been problematic as pointed out by the OECD and therefore it was decided during the revision of the law to introduce such a process. According to the act, the Minister of Education, Science and Culture grants accreditation to higher education institutions. This applies both to public and private institutions, including those already existing.

(Slide10)

This slide shows the criteria the institutions need to fulfill to be accredited. They have to define their role and policy, and their administration an organization, how they organize teaching and research, personnel qualification requirements, administrative requirements and students' rights and duties, working conditions for teachers and students and services provided, internal quality system, learning outcomes in accordance with the National Qualification Framework, and finances.

(Slide11)

The higher education institution shall apply for accreditation to the Minister of Education, Science and Culture. The accreditation is limited to specific fields of study in accordance with the definition by OECD's Frascati manual, and these are; the natural sciences, engineering and technology, medical sciences, agricultural sciences, social sciences and humanities. When an institution has applied to the Minister, there is appointed a committee of three independent experts to evaluate the applications. The Minister grants the accreditation if recommended by the experts. The accreditation of a field of study confirms that activities of the institution are consistent with the provisions of the act.

If a higher education institution either fails to meet the provision of the act, adhere to

the rules and regulations based thereon, or fails to meet the demands for teaching and research, the Minister can revoke their accreditation.

(Slide12)

The new act also stipulates that the Minister of Education, Science and Culture shall issue a National Qualifications Framework in accordance with the decision by the Education Ministers in the Bologna Process in Bergen in 2005. The National Qualification Framework has already been issued in Iceland based on the Framework of Qualifications for the European Higher Education Area.

The National Qualification Framework is a systematic description of degrees and diplomas with emphasis on learning outcomes and the competencies the students should have attained at each level of study.

Higher education institutions are required to issue descriptions of learning outcomes for every study program.

The National Qualifications Framework shall be issued both in Icelandic and English to make the Icelandic higher education system more transparent internationally and to facilitate student mobility.

(Slide13)

The procedure introduced by the law for quality assurance of teaching is based on ENQA's Standards and Guidelines for Quality Assurance in the European Higher Education Area. A special process will be put in place for research in accordance with international criteria. The main objectives of quality assurance of teaching and research are; to ensure that the requirements for accreditation are met, to ensure that the Qualification Framework for higher education is respected, to improve the quality of teaching and research in an efficient way, to increase responsibility of the institutions for their own activities, and to ensure competitiveness at the international level.

(Slide14)

The evaluation of quality shall be both internal and external according to rules laid down by the Minister of Education, Science and Culture. Each higher education institution is responsible for internal evaluation to be carried out regularly and to include policy and objectives, study content, teaching and teaching methods, assessment, research, research effectiveness, working conditions, administration and external relationships. Active participation of staff and students shall be ensured.

The Minister of Education, Science and Culture is responsible for the external evaluation and proposes a three-year plan. The Minister can also decide to instigate a special evaluation of an institution in addition to the plan if required. The Minister can delegate the administration of an external evaluation of teaching and research to a committee, an institution, a company or other relevant agent, national or international. But at least for the time being, the Ministry's Office of Evaluation and Analysis will be responsible for the administration. The implementation will be assigned to an independent agent and the evaluation process involves both domestic and foreign experts as well as student representatives.

(Slide15)

The aim is to have the accreditation for all institutions in place by mid-2008 or two years after the coming-into-force of the legislation on higher education institutions. The rules for external evaluation, both for teaching and research, on the basis of the new law are being prepared and will be adopted before the end of the year. The drafts have been sent to the higher education institutions for comments.

During the last decade the Icelandic higher education system has adjusted reasonably well to a rapidly-changing environment both inside the country and in the outside world. There is always scope for improvement, and that is our aim, by increasing the effort to assure the quality and efficiency of our higher education institutions and to put human capital and financial resources to even better use.

(Slide16)

The Ministry is certain that the full implementation of the new law by all institutions will strengthen the position of Icelandic higher education in an increasingly competitive world where mutual trust is a prerequisite for cooperation and interaction in the international arena.

Kato: Thank you very much, Dr. Jensdóttir.

Norway

Tove Blytt Holmen (Deputy Director General, NOKUT, Norway)

Kato: The next speaker is Ms. Tove Blytt Holmen, Deputy Director General of NOKUT. Ms. Holmen completed her Master's degree at the Norwegian University of Life Sciences, specializing in engineering. She has served as a Head of Division in the Norwegian Ministry of Agriculture and Director of Studies and of Continuing Education

at the Agricultural University of Norway. Her current position is that of Deputy Director General and Head of the Accreditation Unit at NOKUT.

Ms. Holmen, please come forward.

(Slide1)

Tove Blytt Holmen: Dear hosts and dear participants of this symposium, may also I express my gratitude to be here today. I think it's very interesting. I represent NOKUT, which is the Norwegian agency for quality assurance, and this agency has a monopoly situation in Norway assessing the quality of higher education. That monopoly situation is regulated by law.

(Slide2)

In Norway we have 42 state-owned institutions giving higher education today. Seventy percent of the total student population will attend those state-owned universities, so it's quite an opposite of your situation. Those state-owned universities are fully financed and they are not allowed to take fees from the students. Studies are free for them; living is not, but studying is.

Another category of higher education institutions are the private ones. We have about 20 private institutions having partly and variably financing from the state also. Thirty percent of the student population will attend those private schools, and they are allowed to take tuition fees. So that's different.

(Slide3)

In the past years, higher education in Norway has undergone an extensive quality reform parallel and because of the Bologna Process that Christian Thune also introduced to you earlier today. The quality reform has embedded a change in governance at the institutional level. It also has increased institutional autonomy, it has led to new funding formulations for the institutions, and a part of that reform is NOKUT, the Norwegian Agency for Quality Assurance in Education.

If we proceed, we changed at the time, 2003, at the same time as NOKUT was established, we changed from a rather specific Norwegian academic degree structure to a more European one, the bachelor, master's and PhD degrees, three-year bachelor, two-year master and three years' PhD. That's our academic degree structure in Norway right now.

We also got a new form for student guidance, evaluation and assessment, and that

means a closer follow-up of each student is required. New financial support for students; the students, they got even better financial support when, and the new act regulating universities and colleges and into, well, when that was decided upon in 2002. And at last, the ambitions of internationalization became much clearer and they were much more ambitious now than they were before.

All these elements are now regulated in the new act for universities and colleges, and this one act regulates all institutions, also the private ones. Universities, colleges, state-owned and private, are regulated by the same university act in Norway.

(Slide4)

When it comes to governance at the institutional level, several things have happened, but I would like to show you one thing that has been pointed out earlier also: student involvement is very important to us in the Nordic countries. The board of a state-owned institution will consist of several different representatives, but also, the most important thing, two student members on each university board.

Also, student representatives should have at least 20 percent of the seats, two seats at the minimum, to see that they are not alone on a board, in all executive bodies of an institution. For the private institutions the law is a little bit different, but it says that the board for a private institution also should have a student representative. And that is also because we regard the students as very important in governing higher education in Norway today.

(Slide5)

About institutional autonomy, this is rather hard to explain to you but I'll try as best as I can. We have different categories of institutions, higher education institutions. If you look to this column, the universities, the university is within a category that has the full power to establish bachelor, master and PhD within the whole classical breadth of university, the full scope of university. They have the power to establish whatever degree they want to. For a specialized university they have the same power concerning depth of the studies but not the breadth. The specialized university may be like a school of economics. We have a specialized university in physics, music, veterinarian medicine and so on. They have the full depth of establishing their degrees but not go beyond their limits.

Then we have the certified university colleges, which is a category that is only allowed to give a bachelor degree by themselves, but they really can offer any bachelor degree

they want to. They are quite ambitious, the certified colleges in Norway. They want also to give master's and doctorate degrees, but if they do they have to apply to NOKUT, I will show you later on, to get those certified. That's what accreditation of programs is all about.

The non-certified institutions, they are the private ones. In the beginning, in 2003, the private institutions were not allowed to offer any study program unless they applied earlier to the ministry, nowadays to NOKUT, to get these programs certified. But of course building up competency, running degrees, made them a little bit impatient. They also wanted the same institutional freedom as the others because they felt as good as, and now after they have run bachelor degrees for some years, examined candidates for at least two years, they may apply to NOKUT to get accredited as a university college, then they will have increased freedom to give whatever they want to a bachelor degree. When you are in this category, they get impatient to become a university of one kind, so they will apply to NOKUT to become accredited as a university, a specialized university, having more freedom. I hope this will explain a little bit of the certification system and the freedom also with having different kinds of powers to give degrees.

(Slide6)

About the NOKUT mandate, I don't think I shall go into that too much, but I can say that our main tasks: it is to monitor quality and quality systems in the university institutions; it is to control that the quality is sufficient that it satisfies our criteria, standards and criteria for educational quality. And also, we have evaluations for enhancement purposes, but that is a smaller field. I do believe, however, you might say what you want about accreditation, it is an assessment for control, but I also think it has quite a deal of enhancement drive within it.

We do something else: approval of shorter vocational education and recognition of foreign education.

(Slide7)

The Norwegian model of quality assurance, the basis for that is of course the higher education institutions and their portfolios. This new act that regulates universities and colleges says that every institution, certified or not, that is given higher education has to have sufficient quality assurance systems in place. NOKUT is established then to perform the audits. Every sixth year we will return to an institution and see to it that it has sufficient quality assurance systems.

Through this, we have experienced through these three years we have existed then, three or four years, that the institutions organize their quality work better than before. This auditing we believe has an effect not only on the quality systems themselves, but also in the way they organize and develop their programs.

It might occur, though, that we get suspicion of lacking quality while we are visiting the institution, auditing, and then we are able to initiate a revision of certification or re-certification of the program or the point where we got the suspicion of lacking quality. So we are not only working at the systems, but that is the basis; we also go into their portfolio, their actual program.

If you look back to the table I showed you about institutional autonomy, the institutions, whenever they want to give a program outside their power, they may apply to NOKUT for a certification such programs, and we have set standards for what is expected as good educational quality. We have set, NOKUT has set the standards and the criteria for that quality picture.

Once every year the board of NOKUT will decide for a national revision of certification or a national re-accreditation. Last year the board decided that we should go through and look into all the Norwegian programs, bachelor programs in nursing. This year it will be, this coming year it will be master and doctorate degrees in law, in pharmacy and in dentistry.

(Slide8)

There have of course been some tumble-stones along our way. I won't go deeply into the stories of how we tumbled, but I will tell a little bit about the most important results. The division of labor and responsibility between NOKUT and the ministry is very important. NOKUT conducts what should be reliable independent academic assessments, and the ministry is the owner and political instant. May I be so free to say that they have learned and they are in Norway really the political instance towards our academic assessments.

The ministry may not instruct NOKUT in excess of what is laid down by the law and may not revise certification judgment by turning them from a "no" to "yes." If we say "no," they are not good enough, the ministry may not say "yes."

Through the years, higher education institutions have been heard thoroughly when

designing models for quality assurance, also when designing or setting up the standards and criteria, and we listened to them in our very beginning and we found that very valuable. We all agree upon the standards and criteria even though it was NOKUT that decided upon them.

All evaluations conducted by NOKUT are public and NOKUT shall make efforts to ensure that they are made known to the public. Of course that also relates to the European standards for such work, but it is very hard sometimes to keep up with that. You can have rather tense situations when publishing material.

(Slide9)

When quality fails, we may withdraw the power but the institution will have one or two years to improve before we finally take that decision.

(Slide10)

We also have an appeals board so the institutions may appeal primarily the negative decisions by NOKUT; they have an appeals board to seek to. It doesn't however go to the experts' judgments, the experts' advice, but it goes to the process of NOKUT only. It has to be shown that we had something wrong in our procedures.

(Slide11)

A little bit about the basic fundamentals of our standards and criteria for the program certification. First of all, an important paragraph in the act regulating universities is as follows: "Universities and university colleges shall promote the purpose of the Act by providing higher education on the basis of the foremost within research, academic and artistic development work and empirical knowledge." This basis of the "foremost within" is very important to us. It really is a fundament for putting a high threshold so that institutions should really show active research and that is involved, the results are used for education, and there are also highly academic professional personnel among the teachers.

We look into curriculum, staff, the internationalization strategies and results; we look at infrastructure and the way they do their quality assurance.

These past years, we, I think I might say, that we can register improvement in curriculum, the way that they are better in formulating their aims and ambitions and thinking that in connection with the content and the pedagogical methods. They are really putting aims, content, pedagogical methods, more into a system now than they did three years ago in fact. The institutions also put more interest in the academic

profile on staff and in general they are better documenting their quality than before and that may sit transparent to all of us.

(Slide12)

I won't say that much about criteria. I don't think time will give room for that. You can read it yourself.

(Slide13)

But I will sum up. I started it all by telling you about this quite extensive quality reform that was politically-driven, and there were two main reasons for the reform. The one of course was to achieve improved quality in higher education and research. Another reason was to follow up internationalization, specifically through the Bologna process and Norway's obligations in this respect. I think I can say that our minister at the time wanted to be in the forefront joining the Bologna Process.

Years of cooperation between the parties, the higher education institutions, NOKUT and the ministry, show that we are moving in the right direction, at least for my sake, doing the quality assurance work, I can say that we are getting an improved quality out of this all. Yes, I think that will be it. Thank you for your attention.

Kato: Ms. Holmen, thank you very much.

Sweden

Staffan Wahlén (Senior Advisor, National Agency for Higher Education, Sweden)

Kato: The final presentation on successful cases in Nordic countries comes from Mr. Staffan Wahlén, Senior Advisor to the Swedish National Agency for Higher Education. Mr. Wahlén completed a Master's degree in linguistics at the University of Stockholm. He has for many years served as an Education Consultant at the University of Stockholm and Head of the University's Centre for Languages for Specific Purposes.

Mr. Wahlén, please go ahead.

(Slide1)

Staffan Wahlén: I am truly honoured by this kind invitation and by having been given the opportunity to share with you some of the ideas and some of the elements of the Swedish system of quality assurance in higher education.

Speaking last on an occasion like this is both an advantage and a disadvantage. It's an advantage because I can draw upon what has already been said and make reference to that, but it is also a disadvantage in that some of what I'm going to say will necessarily be a repetition of things that have already been told, and I hope you will bear with me for that.

(Slide2)

The background that I would like to sketch summarily is first the size of higher education in Sweden. We have today something like 340,000 undergraduate students. The number has doubled over the past ten to 15 years, so there is a substantial increase, which is part of the government's policy. We also have a similar increase in the number of post-graduate students.

In our higher education system, we have 14 state universities and three semi-private institutions, one of which is a major university of technology. There are 22 small institutions, what we call university colleges, including seven colleges of visual and performing arts.

(Slide3)

The degree system involved a three-year bachelor's degree, and on top of that a one-year master's degree and then a four year PhD programme. We are now, however, somewhat late in comparison with several European countries, including our Nordic neighbours, in introducing the Bologna system with a three-year bachelor, two-year master and a three-year PhD. At the same time we will retain the former degrees for the time being, so, in fact, over the next six or seven years there will be a substantial, and somewhat confusing, number of university programmes.

In this context, The Swedish National Agency for Higher Education operates as the only quality assurance organization. We're a bit different from our Nordic sister organisations in that we deal not only with evaluation and similar activities, but we also have a largish statistics department, responsible for higher education statistics, whose work we can draw on in our evaluation activities. We also have a substantial information department, a department of legal supervision and, like in Norway, a department dealing with recognition of foreign degrees.

(Slide4)

In Sweden, as in most countries, the objectives of evaluation are three-fold. One is assurance, or control. The reason for this is primarily to make sure that Swedish higher education meets the goals set up in the Higher Education Act. This has become more

important in the light of the government's goal of a 50 per cent participation rate. The second goal is improvement or enhancement, of the provision of higher education. Finally, there is also the need to provide information on the quality of higher education to the public, to taxpayers, to the government, employers and other stakeholders. This information is not disseminated in the form of league tables or ranking.

(Slide5)

Our evaluation activities include four basic ingredients. One, which has now been put temporarily on hold, is institutional quality audit. It will be re-introduced in 2006. The second is *accreditation*, i.e. an evaluation for a formal decision, "yes" or "no" for the introduction, re-introduction or continuation of a program. Thirdly, since 2001, we have been conducting subject and program evaluations, covering all provision leading to a degree offered at Swedish universities and colleges across the country. And for each evaluation, and I'll be coming back to that in a while, we have made accreditation decisions as to whether these programmes should be allowed to continue or not. Fourthly, and finally, like in Denmark, we conduct thematic evaluations, and I'll come back to that as well.

(Slide6)

Accreditation for new programs involves primarily certification for master's degrees, including the new two-year Bologna master's. These evaluations concern university colleges, since full universities have the right to award all degrees except what we call professional degrees. For these degrees leading to professional qualifications (law, engineering, teaching, medicine, nursing, etcetera) all higher education institutions have to apply and be certified.

Accreditation also includes the possibility, like in Norway, of allowing university colleges to apply for full university status, i.e. conducting their own research and awarding PhD degrees.

(Slide7)

For about seven years two rounds of institutional quality audit were conducted with the primary aim of enhancement, reviewing their institutional quality work, through the familiar processes of self-evaluation, peer review, site visit and public report. What we assessed in, particular, was academic leadership as a tool for development of an academic organization. The ideal was not necessarily strong leadership, but rather incisive and informed leadership as a tool for development of the academic organization.

(Slide8)

We tried to assess the level of cooperation with stakeholders as a means of enhancing

the quality of institutions. The active participation of teaching staff and other staff in quality work and the extent to which quality work was actually integrated in other processes at the university were other elements. We also took for granted that internal evaluation processes and follow-up activities should be part of the quality work of the higher education institutions as well as internationalization. Finally, the question of gender equality in higher education, which has not been mentioned before, was and is included in the quality assurance domain.

(Slide9)

The quality audits were discontinued, for a number of years, when, in 2001, the Agency introduced a subject and program review model, which, was, a still is quite extensive. It involves the evaluation of all subjects and programs across the country leading to a degree. This means that by now we have been conducting about 1,700 reviews, which is an average of about 275 each year. It is a peer review model, which has involved about 900 peers, over the years – experts from Sweden, from the other Nordic countries and also from the rest of Europe and, in a few cases, the United States. Reviews are conducted in Swedish, so international experts will have to have at least a working knowledge of the language.

We also include students as a matter of course in the review panels, and in the cases of professionally oriented programs we also include relevant stakeholders.

The evaluation results in a decision by the agency as to whether the program meets the quality standards required by the Higher Education Ordinance. If it does not, the university is given one year in which to improve, and a re-evaluation then takes place. If the standards are still not met, the agency has the right to close down the program. This has happened on only one occasion so far, mostly because the institutions have adapted or, in some cases closed down the program themselves.

(Slide10)

In our reviews we look at the prerequisites of the program. What are the resources and teacher qualifications, the quality of the library and laboratories etc? To what extent does the program have its own quality assurance? Does the program have a functional organization? And does it lead to good results? We look at processes, such as teaching and examination methods. And, finally, we examine results in terms of the quality of theses and completion rates.

(Slide11)

The fourth element is the thematic quality audits. We conduct special investigation into

various quality aspects across the higher education institutions. One such investigation has dealt with internationalization and how it is used as a tool for quality improvement. Another has concentrated on the cooperation of institutions with society and business. A third has studied the role of student influence in universities. Such studies have also been done in the other Nordic countries, but it is possible that they have been more common in Sweden.

(Slide12)

So what do we see as the specific elements of Swedish evaluation of higher education? Well, like the other Nordic countries, we see student involvement, including that of PhD students, as experts in our panels. This is indeed important and rewarding. Secondly, through our subject and program evaluations, we get a complete national picture of each program, and this is regarded by many as very rewarding, not only by the students and academic staff, but also by the general public. Thirdly, the sanctions imposed in case a program does not meet adequate standards are also a specific element which is seen as important and quality driving. Fourthly, in contrast to many other countries, we include PhD programs and, fifthly, we conduct systematic follow-up activities after a few years, to see what has happened as a result of the evaluation, and we also publish the results of these.

I might also add another aspect, which is perhaps not self-evident: through our program and subject evaluations, which have affected the whole system, including both institutional leadership, administration, staff and students, there has developed an awareness and knowledge of at least one method of evaluation of higher education among all those involved in the process through self-evaluations and discussions with peers during the site visits.

(Slide13)

What then is the impact of all these activities? When it comes to the audits, we have seen improvement of quality work in university leadership and strategic operations, we have also experienced improvement of student influence and how that has helped to enhance teaching processes. Further, cooperation with stakeholders has helped to focus teaching and learning. But in the end, it is difficult to measure the real impact of audits and of internal quality work in universities. That is an important subject for further discussion.

(Slide14)

The impact of program and subject reviews is seen more easily. The threat of closing down programs that do not meet reasonable standards has been effective. Only one

program has actually been closed down by the agency, but action has been taken to avoid such a thing happening, either through significant improvement or by the institutions themselves discontinuing the program that have not been deemed to be viable.

Clear improvement has been identified when it comes to teaching staff qualifications. Additional staff have been hired, with better qualifications. Staff development has become a more prominent feature of university strategies.

The most conspicuous impact was seen in the wake of a particularly tough program evaluation of teacher education. The very critical report resulted in the government introducing immediate changes in the higher education ordinance. Changes in organization and syllabi, course materials and examination processes introduced by the universities themselves were other consequences. We still have not seen the last of these consequences, but this particular review demonstrates that evaluation of higher education can lead to very important impacts.

It might be added that some of the general observations made in a number of evaluations have to do with the need for greater cooperation among higher education institutions, with the need for specialization, in the sense that all institutions should not necessarily provide the same programmes, and with the need for concentration of resources to certain universities. These observations have led to action taken by the government and by a number of higher education institutions, which are now developing strategies along the lines suggested.

(Slide15)

Finally, any quality assurance agency must practice what it teaches. In other words, it must assure the quality of its own activities, as Christian Thune mentioned in connection with the Standards and Guidelines of Quality Assurance in the European Higher Education Area. So the Swedish Agency regularly conducts internal monitoring of what we do. We also provide an annual analytical summary of evaluation activities, and collect and make use of feedback from various actors. Our activities are also regularly monitored by an external advisory board, and we submit ourselves to external reviews.

(Slide16)

We are, finally on the brink of establishing a new quality assurance model, which is really a combination of the methods that we've been using so far. The model will

emphasize the higher education institutions' own quality assurance and enhancement systems, and thus, in a sense, we are back where we started 12 years ago, with the audits, but drawing on all the experience of other methods that we have been using throughout this period.

Thank you very much for your attention.

Kato: Thank you very much, Mr. Wahlén.

That concludes the program for this morning.

The afternoon session begins at one o'clock. We request that after taking lunch, you return to your seats by the starting time. Please leave the simultaneous interpretation receivers behind when you leave your seat. We also request that you remember to keep your nametags on as you enter and leave the hall.

Panel Discussion (1)

Impact of university evaluation on educational quality

《Panelists》

- Tisato Kajiyama** President, Kyushu University
Vice-President, The Japan Association of National Universities
*Slides [English] : P. 180~187
- Norikazu Kudo** Vice-President, Keio University
*Slides [English] : P. 188~200
- Junko Kawamura** Executive Director, Institute of National Colleges of Technology
*Slides [English] : P. 201~211
- Christian Thune** Executive Director, EVA, Denmark
- Ossi Tuomi** Secretary General, FINHEEC, Finland
- Tove Blytt Holmen** Deputy Director General, NOKUT, Norway

《Moderator》

- Seiji Kimura** Director, Department of Research for University Evaluation, NIAD-UE

Kato: We would now like to start the afternoon session.

This session will consist of two panel discussions. The first one will focus on “Impact of university evaluation on educational quality.” The second one is on “Contributions of university evaluation to society.”

I would like to ask the moderator and panelists for the first panel discussion to come forward now.

Allow me to introduce the moderator and panelists for this first discussion. The moderator is Prof. Seiji Kimura, the Director of the Department of Research for University Evaluation at NIAD-UE.

Next, the panelists. We have invited three individuals representing higher education in Japan. These three panelists will be invited to speak first.

On the right side of the stage, Ms. Junko Kawamura, Executive Director of the Institute of National Colleges of Technology.

Next to her, Prof. Norikazu Kudo, Vice-President of Keio University.

And Dr. Tisato Kajiyama, the President of Kyushu University and Vice-President of the Japan Association of National Universities.

They are joined by three panelists who made presentations in the morning representing the five Nordic countries: Dr. Christian Thune;

Dr. Ossi Tuomi;

And Ms. Tove Blytt Holmen.

These six individuals will make up the panel for this discussion.

We were not able to spare time for questions and answers after the presentation by Dr. Thune this morning, so immediately after the presentations for this panel discussion we are going to take time for questions.

One request to those asking questions. There is a microphone installed at your tables—just one for every three attendees. You will find a green on and off switch on the microphone. Please turn it on before speaking, and off again after you have finished. And before making your comment, please identify yourself and the organization that you belong to.

Now I would like to hand over the microphone to the moderator, Prof. Kimura, please.

Kimura: Please allow me to remain seated. My name is Kimura and I am the Director of the Department of Research for University Evaluation.

In the morning session, our speakers explained how the five Nordic countries perceive the need for university evaluation and under what framework it has been developed. We heard how university evaluation bodies in those countries have established themselves and taken a leading role in developing awareness of the need for evaluation—a kind of success story for university evaluation bodies.

The first panel discussion this afternoon is going to address the issue of how university evaluation bodies have become accepted on, as it were, the other side of the hill. University evaluation is supported in a variety of ways now, including by the national government, but we want to look at how it has been received by universities themselves. This will give us a more complete picture of both sides of the hill. In the morning session we focused our attention on evaluation bodies in the Nordic countries, but in this first panel discussion we are going to examine some Japanese examples. Our panelists will discuss how the evaluation process is viewed by universities and other higher education institutions themselves, and how they are working to respond to evaluation. This will include some concrete case studies from each of the institutions represented.

“Impact of University Evaluation on Educational and Research Quality”

Tisato Kajiyama (President, Kyushu University; Vice-President, The Japan Association of National Universities)

Kimura: First I would like to invite Dr. Kajiyama to make his presentation.

(Slide1)

Kajiyama: My name is Kajiyama, from Kyushu University. I also serve as

Vice-President of the Japan Association of National Universities. Today I will talk from the standpoint of these two organizations, on the topic of what universities are doing to apply the results of evaluation to improve the quality of their educational and research activities.

Before going into the PowerPoint slides that you have printed out in front of you, I would like briefly to review the historical development of university evaluation in Japan. This part of my presentation is not covered in the PowerPoint visuals.

As you know, in April 2004 national universities were transformed into corporations, with each one developing its own mid-term goal and plan. The first mid-term plan spans a six year period, and we are already in the third year. So 2010 will be the final year of this period. But we will also undergo a mid-term evaluation one and a half years prior to that, in September 2008.

The national university corporation evaluation will be conducted by the Ministry of Education, Culture, Sports, Science and Technology. And we know that the first period for evaluation will end in 2010. However, we national university corporations are not yet to receive a full explanation of how this evaluation will actually be conducted, and how the results are to be applied to the subsequent period—naturally the results must be utilized in some way.

Having listened to the presentations by our Nordic colleagues this morning, I got the impression that Japan is at least five years behind the Nordic countries in terms of developing official structures for evaluation. In the Nordic countries the first phase is already over and they are moving into the stage of applying the results to enhancement initiatives. I think their situation is different from ours.

We are, however, working to develop our mid-term goal and plan and to enhance quality through evaluation. We could not survive if we did not do so. Furthermore, we are all fully aware that we must do so in order to fulfil our obligations to students, the community, and all stakeholders of our universities.

Apart from the national university corporation evaluation, we must also undergo the certified evaluation and accreditation. Naturally, this means assurance of the quality of our educational and other activities. This concept of quality assurance has been raised

repeatedly in today's proceedings. I'm not familiar with the details, but I got the impression that the Nordic countries are able to conduct quality assurance and evaluation more or less in parallel with each other. In the case of Japan, they are not necessarily part of the same platform, but this evaluation and accreditation is certainly a very important form for us.

It involves evaluation by third-party evaluation institutions, one of which is the National Institution for Academic Degrees and University Evaluation. This evaluation and accreditation will be conducted once in seven years. Professional graduate schools will undergo it once in five years.

Thus we are still only half way through the first phase of the process, so my presentation will be about university evaluation at the embryonic stage. It will be very valuable for us to consider how we can apply the kind of things our Nordic colleagues talked about this morning.

(Slide2)

I plan to cover three points in my presentation.

Firstly, how we approach university evaluation as national university corporations. Next I will refer to specific examples from Kyushu University. Finally, I will talk about ways to enhance education and research quality through evaluation. These are the three issues that I would like to address today.

(Slide3)

In regards to how we approach the issue of evaluation at national university corporations, the first point is that we are facing new issues in a newly competitive environment. As the slide states, the knowledge-based society has brought an expanded role for universities and required them to respond to a greater diversity of social needs. Higher demands are being placed on universities to contribute to the development of human resources and the advancement of science and technology.

The second point is that higher education has entered the universal stage. Japan is experiencing a dramatic decline in its 18-year-old population. At the same time, around 50 percent of this population is now enrolling in universities or junior colleges, meaning that we have reached the stage of universal participation in university education.

There is also growing public demand for efficient management of university finances.

This is one of the new challenges for universities in a competitive environment. In other words, in this time of strained national financial reserves, budgetary and personnel cuts are being experienced even in national university corporations. There is strong pressure for universities to be managed more efficiently.

These three points emerge as the major new issues for universities in this increasingly competitive environment.

(Slide4)

Now, the question is how to respond to these new demands. First, there is the challenge of differentiating university functions. As stated by the Central Council for Education in its council report "A Vision for the Future of Higher Education in Japan", universities are required to become more unique and diverse.

Secondly, it is vital to create frameworks for quality assurance of higher education and also to develop international validity. With growing numbers of Japanese personnel active on the international scene, it is particularly important for our universities to ensure that the standards of qualifications provided in our name are valid in international terms.

Thirdly, we have to transform our organizational and financial structures to achieve efficient and stable management. In other words, we must come up with an organizational approach that makes best use of limited human resources and financial reserves in the fulfillment of our responsibilities as universities.

(Slide5)

Now we will look at evaluation in the context of the processes of structural reform, through which our institutions are being transformed into national university corporations.

The first issue is the formulation of a mid-term plan, and its evaluation. We also have to consider how to use the evaluation to revitalize our organization and achieve an upward spiral effect.

We are also expected to introduce private sector-style management techniques into our organizations. University presidents must exercise leadership in managing the university.

Thirdly, we must promote individualization according to principles of market mechanism. In other words, national university corporations are expected to develop educational and research hubs through procurement of competitive external funding.

(Slide6)

The following are some conclusions for this first part of my presentation, which has focused on evaluation for national university corporations. The first conclusion is that we must conduct self-evaluation/self-study to enable us to gain an appreciation of our distinguishing features and problem areas. Secondly, we must apply the national university corporation evaluation and the certified evaluation and accreditation as means to improve our operations. Finally, we must revitalize our universities and cultivate their individuality.

In summary, in order to gain understanding and support from the community, we must increase our accountability and institute a process of continuous improvement to address various issues our universities face.

(Slide7)

We now turn to the second part of my presentation. I would like to introduce a few concrete examples of how Kyushu University is engaging with the issues of university evaluation.

Kyushu University is seeking to transform attitudes within our organization. One aim is to use evaluation as a means for faculty and staff members to recognize and reaffirm the vision and objectives of education and research at our organization. This is not an easy task, but if it is not dealt with, it will not be possible to achieve reform.

The next task is to create structures for quality enhancement and ongoing improvement in order to realize our vision and objectives. This is not an issue for Kyushu University alone, but for all national university corporations. We approach the evaluation process with an awareness of these two points I have just mentioned.

(Slide8)

Now, some practical examples of how Kyushu University is addressing the certified evaluation and accreditation.

Our university is aiming to establish a culture of reform founded on evaluation. The central focus is on our Education and Research Charters, together with our mid-term goal and plan. Another core element is provided by the “4+2+4 Kyushu University

Action Plans”. These Charters and Plans are a distinguishing feature of Kyushu University’s approach, and I will talk about them in a moment. These are the main pillars through which we try to achieve improvement.

(Slide9)

In regards to the “4+2+4 Kyushu University Action Plans”, the first “4” refers to the four fields of university activity—education, research, social contribution, and international cooperation. I think these would be the same for any university.

What is likely to be different for each university is the “2” in our 4+2+4 plans. This refers to the conceptions of the university’s future direction. For us, one of these is the development of new “creative” sciences. The other is an emphasis on Asia and the enhancement of relations with Asia, something which has been developed in consideration of our geographical location and historical background.

These two future conceptions of developing new “creative” sciences and enhancing relations with Asia form the vector along which our faculty members align their actions as they engage in the four fields of activity. Support is provided by the last “4” in our scheme. This entails supporting human resources, servicing facilities, supporting budget, and expanding time for education and research.

These so-called 4+2+4 Action Plans may not be of much substance, but the point is that they are written out and distributed to all faculty and administrative staff members, particularly faculty. I believe it is very important that activities are carried out in alignment with this vector.

(Slide10)

Here is another more specific example. Implementation of the 4+2+4 Action Plans is supported through two means: organizational support and support for individual faculty members. On this slide I have listed forms of organizational support—new strategic centers that we have been working to establish since incorporation.

We have chosen five areas in which to establish educational and research centers for Kyushu University with particular potential for high-level activity in five or ten years’ time. These are the Kyushu University Asia Center, the System LSI Research Center, the Center for Future Chemistry, the Bio-Architecture Center, and the Digital Medicine Initiative. These centers will operate in the fields of humanities, information, chemistry, agriculture, and medicine, respectively. We will create new academic hubs by providing

active support to these centers.

(Slide11)

Another way we are working to implement the 4+2+4 Action Plans is through support for individual faculty members. We must nurture individuals who have the potential in five or ten years' time to become leaders in their field in Japan, or at least at Kyushu University.

We select some of these individuals from among leaders of 21st Century COE programs. These are determined automatically. We also choose individuals with established status as leaders in their field worldwide or within Japan. They are chosen with little regard for age. These selections are made as a way of maintaining our current activities.

Other important selection categories are what I have called "junior" and "women faculty." For juniors, we select individuals with a maximum age of 45, and nurture them as researchers who can become actively involved in the research centers that Kyushu University establishes in the future. Naturally, we also work to cultivate leading female researchers.

In this way, we are spelling out our research activities in a clear manner in order to facilitate proper evaluation. It is important that we prepare our organization in advance for the evaluation process.

(Slide12)

Research is obviously important for universities, but properly speaking, education is even more important. Universities need to present the public with new systems for education. In regards to this, I would like to introduce one of our distinctive educational systems.

This is the 21st Century Program, an attempt at a new model for education. This Program was established to foster new human resources to meet the needs of the 21st century. It may be a little difficult to comprehend, but we aim to cultivate highly qualified generalists. Put more simply, we want students to take active roles throughout the world, as international civil servants. If not civil servants, then other roles in international fields. That's what we are aiming for.

This Program employs a very distinctive method of selecting students for admission. There is no need for applicants to take the National Center Test for University

Admissions or any other specific exams. Instead, they are required to attend lectures by three university faculty members and write reports on them. They must express their own opinions clearly. Applicants' high school grades are also assessed in this first examination round. In the second round, applicants must participate in a debate and write an essay. We select students on the basis of their performance in these examinations.

Students selected for admission are not affiliated with any particular department. They must choose their own majors before proceeding to fourth year. Thus the students create the curriculum themselves. As a result, provision of guidance is a major task. Individual guidance is provided by tutors almost to the point of excess.

In order to prepare them to operate in the international arena in the future, students are required to undergo intensive general education and language training. Lecturers from outside the university present unique classes on various discrete issues. We hope to use this approach as a representative means to reform the education system at Kyushu University. Student numbers in this Program are not large, but we hope to build on experience to expand it into the future.

The first batch of students in the Program graduated earlier this year, and we plan to conduct follow-up surveys. The majority of students have enrolled in graduate programs, but several of them left the university upon completion of the undergraduate program. We hope that tracking the progress of these applicants will help us develop a more unique education system in the future.

(Slide13)

This is the seventh and final example from Kyushu University. It is about various initiatives for improving our organization.

We are evaluated every six years on the basis of our mid-term goal and plan. In addition, our university conducts a self-assessment every five years, and modifies our organizational structure every ten years. This process has been enshrined in university regulations.

When I became president, the first thing I noticed was that none of the university's departments had a clear conception of future direction. As I said earlier, if the vectors of our activities are not aligned to some extent with the middle "2" of future conceptions in

our 4+2+4 Action Plans, we will not make progress. It is imperative for our university to develop as a single organizational unit rather than an aggregate of different interests. Discussions are under way for the deans of each department to develop clearer concepts for the future. We are investigating various tools to facilitate this, such as requiring the deans to make a balanced scorecard.

Thirdly, we have established an Institute of Higher Education to guide the process of educational reform. I don't know how other universities handle it, but at Kyushu University we have tended to leave matters relating to education up to each individual department until now. It is important that the university as a whole is made responsible for coordinating these matters. The establishment of the Institute of Higher Education has created a system that requires the university to take responsibility for education.

We are implementing a system of faculty and staff evaluation to enhance the quality of our personnel.

We have also set up an Office for Information of University Evaluation to conduct data collection and analysis of university activities. We need to support a decision-making processes in each department and information obtained through evaluation activities, because this will provide further material to facilitate improvement. The office was established to coordinate this process.

(Slide14)

I would like to wrap up my presentation by discussing how we can make university evaluation contribute to enhancements in the quality of education and research.

I have listed three principles that I consider important in the context of university evaluation. The first is to turn the results of evaluation into genuine improvements. This means making sure that the process does not end with evaluation alone. We actually need to put this into practice of course, but it is important to regard evaluation as a means to improvement.

Next is to allow the experience of evaluation to inform a university-wide outlook on future ideals and operational objectives that is carried over into action. This must be pursued scrupulously.

Lastly, to employ outside perspectives in evaluation to gain the understanding and cooperation of the social community. This should provide the basis for the ultimate process of reforming the university.

These are fairly vague concepts without much substantive content on the ground, but they are approaches that I believe national university corporations must take at this halfway point in the first stage of the evaluation process.

(Slide15)

I have included this table by way of reference. One of the aims of today's proceedings is to learn from the successes that Nordic countries have experienced in their university evaluation initiatives. Obviously they are well ahead of us, as they are preparing to enter the next phase after completion of the first round of evaluation. It is very important to learn from their experiences, but it is also clear that evaluation is not in itself sufficient to bring about change in universities.

Reform cannot be achieved without sufficient support in terms of finance and personnel. This table shows public expenditure on education as a percentage of gross domestic product (GDP) in the 30 OECD countries for the year 2003. The countries shaded in blue are all Nordic countries. Public expenditure in Japan is 3.7 percent, almost the lowest of any country. The fact that public expenditure is low does not mean that total spending on education is low. What it means is that individual households are required to bear a very large burden.

Learning from Nordic successes, which is the theme of today's symposium, we should increase public spending on education to the same level as that of the Nordic countries. I will conclude my presentation with this point. Thank you for your kind attention.

Kimura: Thank you very much Dr. Kajiyama. Your last comments really struck home, even though they weren't directed at our particular organization. As you know, Kyushu University is one of Japan's largest national universities. Dr. Kajiyama's presentation provided some insights into how the university is pursuing structural reform and, in particular, how it has clarified educational and research objectives under the mid-term plan that it has formulated as part of the evaluation process.

It was pointed out that financial reserves are a precondition to making best use of the evaluation process—maybe this is something that our organization should have

highlighted. We may ask to borrow your table at some stage later today.

**“Some Remarks on the University Evaluation from a Viewpoint of Private Universities”
Norikazu Kudo (Vice-President, Keio University)**

Kimura: We have set aside time later on to take questions on all presentations. For the moment, let us continue with the program and ask Prof. Norikazu Kudo, Vice-President of Keio University to come forward. He will be providing a private university perspective on the evaluation agenda.

(Slide1)

Kudo: My name is Kudo. Dr. Kajiyama has just provided us with some very heartening comments. In the course of my presentation I will demonstrate how private universities are grappling with the problem of finance under conditions which are far more acute than those faced by national universities.

As you have heard, I am now a Vice-President at Keio University. I have taught for many years in Keio’s Faculty of Business and Commerce, and continue to do so; this may explain why my presentation has a certain businesslike orientation. I would like to talk about how private universities perceive this issue of evaluation, and how Keio in particular is working to address it. Last year, we applied for accreditation from the Japan University Accreditation Association, and received the results of their evaluation in March this year. My talk will be informed by this direct experience of evaluation.

(Slide2)

As Dr. Kajiyama has explained, the chronology of university evaluation in Japan can be explained in terms of a shift from ex ante regulation to ex post checks, a shift that began with the deregulation of the standards for the establishment of universities in 1991, and is today manifested in a variety of structures for evaluation.

As it happens, I also chair the Evaluation Committee of the Japan Association of Private Colleges and Universities. This position enables me to discuss evaluation issues with individuals from a wide range of universities.

One theme I often come across is that of “evaluation fatigue.” Everything requires evaluation these days. Universities have been subjected to external evaluation since 1991, and now there is the certified evaluation and accreditation, started in 2004. In

addition, over 20 percent of public expenditure on higher education is now provided in the form of so-called competitive funding. To obtain such funding requires universities to submit to further forms of evaluation. Some individuals tell me that they are tired of all this evaluation.

At the Evaluation Committee I mentioned earlier, we are currently discussing ways to engage with these evaluation trends in a more positive and forward-looking manner. Our belief is that rather than submitting passively to evaluation, universities should take a more proactive stance to it.

(Slide3)

Before getting into the details of this issue, I would like to take up one theme of Dr. Kajiyama's presentation and reflect a little on the situation of private universities. I believe there are some members of the Ministry of Education, Culture, Sports, Science and Technology present here today. I don't intend to paint this as the major issue for today's discussion, but in Japan, we have a peculiar system of distinguishing universities on the basis of how they are funded. There are the governmental (state) institutions, also called national universities. The funding basis for these institutions is governmental. Then there are those funded by municipal governments. And there are those operated privately. This is how universities are distinguished. I have no inherent objection to the idea of drawing distinctions between different institutions, but I would like to suggest that there are more functional methods of classification employed in other countries.

Overseas, universities are often classified according to their functions, for example into those which supply human resources at a nationwide level, those which operate regionally, those specializing in the liberal arts, research-oriented universities, etcetera. For some reason, the prevailing approach in Japan is to pigeonhole universities based on how they are funded—state, municipal, or private, and now, those established by NPOs and private companies as well. I understand this to be a uniquely Japanese approach.

(Slide4)

Employing this method of classification, this year's School Basic Survey reports that, 568 of the 744 undergraduate universities in Japan—76 percent of the total—are so-called private universities, and that enrollments at such universities account for 74 percent of all university students in this country.

(Slide5)

However, we are absolutely convinced that even though these are “private” universities, they make a variety of important contributions to wider society through the individuals they educate and the research they produce. As such, they have an aspect of external economy.

Thus, we see private universities as those that engage in private activity within the public sphere.

(Slide6)

Because these institutions are private, finance is inevitably a problem. As Dr. Kajiyama explained earlier, government (state) subsidies account for only 10 percent of revenue in private universities. Other than this, university activity must be financed through other sources of funds. These sources include tuition fees, revenue from a variety of other activities—including, in the case of Keio, a medical service—as well as donations and management of assets.

The bottom line is that we cannot survive without support from the public. We can only continue our activities as long as we continue to solicit and receive public support.

We are faced with a dilemma in this regard. In order to obtain the approval of wider society, we must give the public what it wants—that’s the surest way to garner support. As universities, however, it is not sufficient for us simply to follow in the wake of social trends. We have a mission to sustain and develop academic knowledge, or more broadly, to contribute to the advancement of civilization as a whole.

Sometimes, pursuit of this mission comes into conflict with the demands of society. Finding a balance between these two demands, while at the same time continuing to receive public approval, can pose major problems.

So, the question is how to gain the necessary support in such a situation. I would like to examine how evaluation can be related to this issue.

(Slide7)

Before that, allow me to talk briefly about Keio University. As it says on the slide, Keio is a private university. The next few slides provide an introduction to Keio, which I invite you to peruse for yourselves in detail later. For now, let me just point out that we pride ourselves on the fact that Keio is the oldest modern educational institution in Japan—we will be celebrating our 150th anniversary in 2008.

Keio encompasses a range of educational systems, from primary school through to post-graduate level. Our library boasts one of the best and most distinctive collections in Japan.

Our university developed out of a strong sense of awareness of the need to cultivate modern individuals, albeit defined in a Western sense, to match the process of modernization our country was experiencing.

(Slide8)

We have seven different campuses, nine undergraduate faculties, and eleven graduate schools. As mentioned earlier we have primary, junior high, and senior high schools, as well as overseas offices in the United States, United Kingdom, and South Korea.

(Slide9)

These are our student numbers. It says that our staff numbers are over 3,000, but this would exceed 5,000 if our hospital staff were included. The student numbers are shown on the slide.

(Slide10)

This shows data on enrollments and degrees conferred. I won't dwell on these figures.

(Slide11)

As I said, as a private institution, finances are central to our survival. If we can't secure sufficient fiscal resources, we can't run our operations. Thus, we have to maintain cash flow. We also receive credit ratings. In particular, we need to compete internationally, and for this reason we have obtained a rating from Standard & Poor's.

(Slide12)

Other details such as budget and scale are provided here. Around 70 percent of our budget of 120 billion yen is provided by income in tuition fees and from the hospital's medical-related activities, which account for around 37 percent and 34 percent, respectively. A further 20 percent comes from donations, income from various forms of asset management, and the like. The remaining 10 percent is in the form of subsidies from the national government.

(Slide13)

In order to avoid being too lengthy, I will now move away from the focus on Keio and talk in broader terms. Put simply, private universities today are faced with an extremely competitive environment, in both international and domestic terms. In the business parlance with which I am most familiar, there is an incredible degree of competition in the higher education market.

The market for higher education in Asia is particularly cutthroat. In OECD nations, including the Nordic countries, the higher education market is already entering the saturation phase. At present, demand for higher education is growing most rapidly in Asia, led by China. The question is how to address this growing demand.

The universities of the U.S. and Europe are already rushing in to grab a share of this East Asian market for higher education, pursuing many initiatives for recruiting students. In particular, universities in the U.S., UK, and Australia have moved to capitalize on their advantage in English, the emerging international language, to develop a high degree of competitiveness. No matter how hard we try, we can never compete on a level playing field with those who have been using English since birth. Armed with the weapon of English, the universities of the U.S., UK and Australia are taking the East Asian market by storm.

In this situation, while it is important for Japanese universities to develop their English language capabilities, the most fundamental question is how to identify uniquely Japanese elements that can add value to our educational offerings.

(Slide14)

Turning to the domestic market, we see that there are 744 universities, and that national universities have embarked on a variety of new initiatives since incorporation. Private universities must find ways to prevail in this keenly competitive domestic marketplace. In other words, they must find means to enhance their competitive strength, or alternatively find new markets in which to operate. It is vital that they decide which areas they will compete in, and how they can maximize their strengths.

(Slide15)

We cannot compete with national universities on price. Private university tuition fee levels are totally different from those of our national counterparts. We have no choice but to charge high fees in order to survive. Thus, rather than price competition, we must find ways to compete on quality.

It is imperative that we initiate a cyclic pattern of quality-based competition, attracting capable students, producing excellent research output and thereby attracting more research funding, which can be ploughed back into educational initiatives, thus yielding quality improvements and placing us on a growth trajectory.

(Slide16)

In order to survive as a player in this environment of intense competition, it is first necessary to ensure you are qualified to participate. There are many ways with which to ensure participation, but one is through quality assurance.

I have many opportunities to talk about this issue of quality assurance at gatherings of private university representatives. I always make it clear that variety is of the essence for private institutions. Some say that evaluation is not compatible with variety, but I disagree. Even if it is the lifeblood of private universities, variety means nothing if it cannot be measured by standards that enable comparison. Universities must not use diversity or variety as an excuse for low standards.

Thus it is necessary to develop comparative standards. Then it must be decided how to evaluate universities against these standards. This issue of quality assurance is of paramount importance.

I have also highlighted the issue of transparency—the need to take active steps to make information publicly available. We are obliged to be accountable to our stakeholders. This includes prospective students and their families, the businesses that employ our graduates, and a variety of other parties. It even includes Japan’s taxpayers, because we do receive some degree of support from public funds, albeit small. We need to be able to produce information of the kind that is provided for the market as a matter of course by listed companies in their financial statements. I tell universities that such transparency is a prerequisite for successful engagement with the market.

(Slide17)

At the same time—and this relates to my earlier point about positive engagement with the evaluation process—it is imperative for private universities to convince the wider community of the value of their activities. Evaluation provides a unique chance to win the community over. It is an opportunity for us to demonstrate our characteristic strengths.

As shown in point number two on the slide, I also believe that evaluation should be understood as the starting point for the processes of reform and change that will be vital to survival and growth in the market.

(Slide18)

There are four stages to the evaluation process. The first is internal inspection and evaluation—beginning with internal inspection and then externally-verified evaluation.

My own experiences have shown me that a comprehensive internal inspection and evaluation is an excellent way to identify the problems that your organization is facing. Before we started this, people in our organization often didn't know what those in the department next door were doing—now they have a clearer picture of how the organization works.

External evaluation involves commissioning an external committee to evaluate the organization's activities and provide an objective assessment. Certified evaluation and accreditation entails a public commitment to a process of reform.

(Slide19)

I would like to talk in very simple terms about Keio's experiences.

It is often assumed that Keio has been engaged in internal inspection and evaluation for a number of years. In truth, however, it was as recently as 2003 that we first established an organization-wide framework for this evaluation. This does not mean that we had been totally inactive until then, just that our efforts had been fragmented. In some ways, our initiatives were highly progressive compared with other Japanese universities.

For example, we have had an external evaluation body for our Business School ever since it opened in the 1970s. Operating a school of business requires us to develop connections with the business sector, so we recruited committee members from this sector. Furthermore, our Business School was the first in Japan to apply for accreditation from the Association to Advance Collegiate Schools of Business in the United States and the first to be accredited by this Association, in 2000.

Our Faculty of Science and Technology has received accreditation from JABEE, an organization that accredits programs in engineering education. I understand that another panelist will be talking more about this kind of accreditation later. We also actively apply for funding from a variety of external sources, are currently pursuing 12 initiatives under the 21st Century COE Program, as well as over ten programs funded under the "Good Practice" initiative.

(Slide20)

Thus, various parts of our organization have been exposed to external evaluation, but in 2003, we decided to take an organization-wide approach. In 2004 we conducted a variety of internal activities as well as being evaluated by an external committee. In 2005, we

applied for accreditation not by the National Institution for Academic Degrees and University Evaluation, but through the Japan University Accreditation Association (JUAA), an organization of which we had been a member for many years. JUAA has issued its evaluation report, and we are now working to institute feedback from this report.

(Slide21)

The report consisted of 98 separate statements and 34 articles of advice providing suggestions on ways in which we could improve. However, the report did not reveal any specific areas of deficit requiring reform.

(Slide22)

We are taking the results very seriously, and reviewing ways in which we can implement the suggestions. Some require effort on the part of individual faculties, but must also be pursued by the organization as a whole. There are some things that can only be achieved through organization-wide effort.

For example, there is the issue of teaching evaluation. Each faculty and graduate school has its own separate system for evaluating teaching practices, sometimes on a voluntary basis. The university as a whole has not developed a comprehensive system of class evaluation. Nine of the 34 suggestions from JUAA were addressed to this issue, so we are working to deal with it now.

Our Shonan Fujisawa Campus (SFC) has provided a benchmark for class evaluation and faculty development in Japan since its establishment in 1990. We are now exploring ways to apply SFC's experiences to Keio University as a whole.

In 2008, we will celebrate the 150th year of Keio's founding. We view this not just as an anniversary, but as an occasion to embark on a ten year program of structural reform. We are now developing a range of initiatives for this ten year period with the aim of bringing the quality of our education and research up to world standard.

(Slide23)

The major problem we are facing in this regard is something that Dr. Kajiyama alluded to earlier: development into a multi-versity as opposed to a university. Clark Kerr of the University of California called this the "multi-versity syndrome"—the challenge of finding a balance between autonomy for different elements of the organization and the need to pursue unified efforts.

Another point relates to one of our university's distinguishing features: our fundamental idea or spirit of "independence and self-respect," which has been upheld since the time of our founder, Yukichi Fukuzawa. The message behind this founding spirit is that the process of refining one's character can yield very positive results, but it is also apt to lead in the direction of self-indulgence and self-centeredness. The point is that one must strive for balance.

Perhaps my term "brand university" is too extravagant, but Keio does have a certain degree of brand prestige, and a tendency to rest on its laurels as a result. We don't have a sufficient sense of crisis. We know we must change the way we do things, but it is difficult to bring about this sort of change.

(Slide24)

We are endeavoring to negotiate change through a variety of methods, but for universities it is difficult to force new initiatives from the top downward. So our approach is to send out the same steady message over and over again, and to approach negotiations with a degree of patience. Eventually, different elements will adjust their orientation and come to work together in the desired direction. Dr. Kajiyama talked about the need to develop a vectorial pattern—that's what we're trying to achieve at Keio.

As someone with responsibility for managing the university as a whole, I am working to reform our management practices and utilize our merits to become a model university that will be a leader in the 21st century.

(Slide25)

Turning to the future of private universities, we can see that university evaluation, particularly the features of quality assurance and transparency, are vital to continued existence as a market player. Evaluation can provide a forum for highlighting the *raison d'être* of private universities, and a starting point for reform that will help ensure survival and growth in the market. Private universities must rely on their own abilities to survive, and thus should approach reform not defensively, but in a constructive manner. This is what we are trying to achieve right now.

I apologize for being so long-winded. This concludes my presentation.

Kimura: Thank you very much, Prof. Kudo.

You mentioned that university evaluation is often regarded as a significant burden or imposition. I've heard this sentiment often enough myself. Thank you for introducing Keio University's approach, which is to adopt a positive attitude to evaluation and use it as a springboard for development.

I found your presentation inspiring and encouraging.

“Application of the Result of Evaluation to Colleges of Technology”

Junko Kawamura (Executive Director, Institute of National Colleges of Technology)

Kimura: Next, we will be hearing from Ms. Junko Kawamura, executive director of the Institute of National Colleges of Technology.

(Slide1)

Kawamura: My name is Kawamura, and I am Executive Director of the Institute of National Colleges of Technology. I am honored to be able to speak to you today at this Japan-Nordic Symposium.

Yesterday, I actually conducted a self-assessment of my presentation materials, and made a few minor changes. As a result, the slides I use contain some information that is different from the printed materials in front of you. Please forgive me—evaluation can sometimes cause confusion!

I am going to talk about colleges of technology, usually referred to in Japanese by the abbreviation *kosen*. These are higher education institutions with a slightly different setup to universities.

(Slide2)

First, I will introduce the principal features of colleges of technology. Then I will explain how these institutions utilize evaluation.

(Slide3)

The first colleges of technology were established in the 1960s, in response to strong demand from the industrial sector. At the time, Japan had just entered an era of high economic growth, and was experiencing a shortage of engineers who could be deployed as leaders in production sites and members of technical development teams. Great expectations were placed on these colleges of technology as a new form of higher education institution charged with the training of engineers.

Colleges of technology offer a five-year integrated program of practical training in technical areas for students who have completed junior high school. Currently, there are 55 national colleges, six operated by prefectural or municipal governments, and three by private organizations. Like national universities, the national colleges became incorporated bodies in 2004. However, the colleges were not incorporated on an individual basis, but rather one agency—the Institute of National Colleges of Technology—was established to oversee the operation of all 55 national colleges.

To date, a total of around 300,000 students have graduated from colleges of technology. Graduates work mainly in the industrial sector, as engineers, researchers, managers, and so on.

That's a brief outline. I would like to go into a little more detail now.

(Slide4)

This is a diagram of the education system in Japan from junior high school onward. Around 98 percent of junior high school graduates go on to enroll in senior high schools. The red section represents colleges of technology. Currently, around 1.2 million students graduate from junior high school each year, and 10,000 of these go on to colleges of technology. That's less than 1 percent of the total cohort. However, those who do choose our colleges have quite high levels of academic achievement and an interest in studying science and technology.

(Slide5)

After five years of study, students earn a Title of Associate. Around 15 percent go on to enroll in advanced courses, while around 30 percent transfer into other universities and 55 percent seek jobs upon graduation from the five-year program. The proportion of students who continue studying after the five-year program is now very high compared to when colleges of technology were first established 40 years ago.

(Slide6)

I said that college of technology students account for less than 1 percent of their age cohort. However, our graduates make up 12 to 13 percent of all engineers in Japan. In terms of promoting science and technology in this country, it is clear that our colleges have a very important role to play. Our institutions aim to foster creative individuals with practical skills in technical areas.

(Slide7, 8)

Here is the departmental structure of a typical college of technology, consisting of mechanical, information, electrical/electronic, civil, and material engineering

departments. Each department has 40 students at each year level. The two-year advanced program straddles these different departments. Upon completion of the advanced program and an application procedure, students can be awarded a bachelor's degree.

In the first year at a college of technology, students start studying math and physics in earnest, along with basic education subjects. They also take their first specialized subjects, which form the basis for manufacturing skills. In the second year, students begin to take more specialized subjects. This includes participation in an internship program for all students at national colleges.

(Slide9)

This is a scene from a lab class in mechanical engineering. All colleges have practical workshops, and students in senior years have the opportunity to operate machinery that is actually used in industry.

(Slide10)

This is an actual scene from a fundamental engineering class. Faculty members have actually worked in areas such as design and drafting for private companies. They imbue class content with on-ground experiences and approaches.

(Slide11)

This is another scene from a fundamental engineering class.

(Slide12)

This is a chemical science lab session.

(Slide13)

This is a scene from the annual robot contest. Competitions are held between robots designed and constructed by students themselves. One of last year's events was a hurdles race. Students apply their knowledge and expertise in fields such as control and mechanical engineering to create their own robots for competition. The national tournament is even broadcast on television.

(Slide14)

This is a college dormitory.

The distinguishing feature of colleges of technology lies in the provision of engineering education for students from the age of 15, taking advantage of that age group's capacity for flexible thinking. Backed with a solid grasp of fundamentals, our students are provided with a curriculum that emphasizes experimental work.

(Slide15)

Now we turn to the question of how evaluation is practiced in colleges of technology. Our organizations are evaluated in three principal ways. A close analysis would reveal other forms of evaluation too, but the following are the three major forms of organizational evaluation.

This is what evaluation signifies for colleges of technology. First I have listed the institutional certified evaluation conducted by the National Institution for Academic Degrees and University Evaluation. The aim of this form of evaluation is assurance and improvement in the soundness of educational structures and the quality of educational practices.

Next is evaluation of educational programs by the organization known as JABEE. This assures and improves the quality of engineering education in specialized areas.

Thirdly, there is evaluation of the Institute of National Colleges of Technology, the parent organization of the 55 National Colleges of Technology. In order for our Institute to be evaluated positively, we must utilize the advantages that come from management of all 55 Colleges under the one agency.

(Slide16)

I would like to analyze this situation a little more closely.

Firstly, Institutional certified evaluation. Self-assessment conducted by each college as part of the evaluation process can expose issues such as whether faculty staffing is in accordance with the criteria set by law. In this way, evaluation provides the opportunity for reassessment, at an institution-wide level, of the basic systems through which everyday practices are conducted and the objectives that underlie these practices.

Furthermore, third-party evaluation can provide an objective assessment of a college's strengths and weaknesses, which can then be applied to development of plans for reform.

Another point is that we plan for all 55 national colleges to undergo institutional certified evaluation in the first three years of operation of this evaluation system—it started in 2005 for colleges of technology too. All colleges have the same apprehensions about the new system, but I would like you to know that we are endeavoring to approach it in a bold and aggressive manner, undaunted by the potential difficulties.

(Slide17)

40 out of the 55 national colleges of technology are accredited by JABEE, or more correctly, they operate programs in engineering education that have received JABEE accreditation. Many more national colleges of technology will undergo examination by JABEE from this year onward. Last year, JABEE acceded to the Washington Accord. This Accord, to which ten bodies responsible for accrediting engineering education programs in the U.S., the UK, and elsewhere have acceded, recognizes the substantial equivalency of programs accredited by these bodies. It covers engineering programs at undergraduate degree level.

(Slide18)

How have colleges of technology been changed by JABEE accreditation? Firstly, accreditation has aroused the interest of students. Those who complete accredited programs can gain exemption from the first-round examination leading to the national qualification of “professional engineer.” Colleges report that the potential for study in their programs to lead to a high-level public qualification has not only provided new motivation to current students, but has even contributed to an increase in the academic quality of enrollees.

JABEE emphasizes practical aspects too, such as the requirement that all students completing the programs must have gained basic communicative proficiency in a foreign language. Colleges undergoing JABEE assessment have instituted new elements into their educational programs to meet these requirements. We believe that enhancing educational outcomes will benefit our students by providing them with more post-graduation choices.

Thirdly, in the field of engineering education—the primary focus for colleges of technology—we undergo assessment and quality assurance according to exactly the same standards as those applied to universities. This is an extremely important point, as it enables us to prove to both domestic and international stakeholders that although we have a shorter history than other institutions of higher education, we are of equal or superior status in terms of quality.

Some colleges have also found that JABEE’s accession to the Washington Accord has facilitated exchange between their faculty and students and higher education institutions in other countries.

(Slide19)

Since last year, the Institute of National Colleges of Technology undergoes an annual evaluation based on the previous year's outcomes. We collect and analyze data from our 55 colleges, which, together with information on the activities of the headquarters of the Institute itself, forms the basis of a report submitted to Ministry of Education, Culture, Sports, Science and Technology's Evaluation Committee.

This process highlights cases of good practice that can be shared among all colleges. It provides insights into how best to divide responsibilities between our Institute and the individual colleges.

Activities to increase enrollment numbers, for example, can be divided into tasks for which Institute HQ is responsible, such as production of common-use promotional materials and liaison with bodies at a national level, and those best pursued by individual colleges, for example promotional activities at the local level.

In addition, positive evaluations of the Institute itself can be presented to the public as the sum of the wholehearted efforts of individual colleges in pursuing their goals—proof that colleges of technology are working hard.

(Slide20)

As my presentation to this point has demonstrated, colleges of technology are responding to the challenges of evaluation in a positive manner, employing evaluation as a means to enhance educational quality and strengthen public awareness of their activities.

I explained earlier how colleges of technology provide students with a solid education, and send graduates out into the world with concrete abilities. However, owing to the fact that colleges of technology are far outnumbered by universities and junior colleges, we are burdened with the problem of low profile. As well as improving the quality of the education we offer and revitalizing our educational programs, we hope to use evaluation as a means for conveying with confidence our own worth to a larger audience.

(Slide21)

Nevertheless, we do face some challenges. Evaluation requires the preparation of a large amount of corroborative material. Some forms of data are required by all the different types of evaluation I mentioned earlier. If our Institute can develop a database of basic figures, information on educational content, reports on distinctive activities and the like, this will facilitate sharing of information between individual colleges, enabling

them to gain a better idea of their own position in comparison to other colleges.

I believe that the issue is not just one of how to produce materials for purposes of evaluation, but also of how to use evaluation as a tool for exploring directions for reform in each individual college.

In addition, in order to make evaluation meaningful, it is imperative that a relationship of trust is developed between the evaluators and those being evaluated. As well as working to link evaluation with quality enhancement, we aim to foster personnel to engage in the actual task of evaluation. The challenge for our organization from now on is to raise the consciousness of faculty and staff in colleges of technology and produce individuals who can implement the evaluation process as peers.

Thank you for your kind attention.

Kimura: Thank you very much for your presentation.

I should have mentioned at the start that although the existence of colleges of technology is fairly widely known, their actual state of affairs is far from being well understood by the general public. These colleges have launched into the external evaluation process enthusiastically, and are working hard to improve their courses. Just recently we heard that their educational programs were assessed very highly by an international body, and Ms. Kawamura provided some insights into this experience.

Discussion

Kimura: Now we move into a general discussion.

This morning, Dr. Thune asked if anyone had questions about his keynote address. We didn't have time for questions then, but fortunately Dr. Thune is here on the stage again now, so we would welcome anyone who wishes to ask for clarification on any points from his presentation this morning. Are there any questions?

As there are no questions forthcoming, we will now move into a more general discussion. We have just heard from representatives of Japan's university community about how

their institutions are responding to evaluation, and how they are utilizing it; they have provided us with the evaluatees' perspective. I would welcome questions from Dr. Thune or any of the other three panelists. Before that, however, allow me to make one request.

Two or three of the presenters in the morning session commented that it is no easy task to ascertain the actual effects of evaluation. When asking questions I would like you, either before or after the answers, to make some comment on how your universities have changed since evaluation. I realize that immediate results may be dubious, but it would be informative, for example, to hear experiences of reform or restructuring as a result of evaluation, or how a university's stance as a whole has changed, how the faculty has reacted. Not only positive reactions but negative ones too—whether there have been any complaints or criticism directed at evaluation.

Also, if there have been any such reactions, how the institution responsible for evaluation has responded to them. So if you have a question for Dr. Kajiyama or any of the other panelists, I would request you to accompany it with a comment on these matters.

Christian Thune: Interesting presentations. Good to get into the sort of ground level of what we are talking about, how universities handle the challenges of quality in their placement in higher education, including a very competitive market situation for at least one of the universities. I think there was one issue, which was in that sense going through all three presentations. The issue is how quality assurance and evaluation are perceived from the perspective of individual teachers and staff of the universities. I could term this as the problem or the relationship between the horizontal and the vertical dimension.

And to take the vertical first, I think probably most evident in Prof. Kajiyama's presentation, the distinction between the perspectives on quality assurance seen from the level of a strong management versus the perspective seen from the ground level of individuals, including heads of departments. Is there really a linkage between top and bottom of a university in the perceptions of quality and quality processes?

My point would be that this is probably a slightly underrated problem in quality assurance and in the relationship between universities and external agencies. Quite a

number of universities have now moved to the level where top management is not only strong, but fairly much in command of the basics of quality assurance and of creating good relationships with external agencies. The question is to that extent this culture at the top level of universities does really pervade true to, sorry the term, the “lower ends” of the university? My hypothesis would be that this is not only a European problem, but potentially also a Japanese problem. So the next question is what instruments can be applied to solve it and make sure that quality assurance processes are not only top-down in the universities but also have a bottom-up perspective?

This issue is linked to what I would call the horizontal problem, which I think was also very prominent in all three presentations, probably most eloquently put by Prof. Kudo when he introduced the excellent term multi-versity. What do we do in a situation where, as Prof. Kudo put it, we have on the one hand the leadership and on the other hand we have the department heads and the staff? Do they perceive their university as a whole or do they perceive themselves primarily as a very partial element of the whole of the university? My hypothesis would be that at the ground of level of many universities the perception is we are in our department or in our program and the totality of the university is a rather distant phenomenon mentioned by the president in speeches and formal statements. But if the broad and comprehensive quality of a university is not a reality for those in the departments, then we have a motivation problem.

So to quote Prof. Kudo again, he spoke about “evaluation fatigue”. And true enough at the level of departments and programs many speak today of getting tired of a flood of evaluations. I think this reflects again the fact that at the level of programs and departments it’s not really perceived and understood and appreciated why evaluations and external quality assurance seem to hit the university from different angles and with different perspectives. This leads to my question to the colleges of technology, how do you handle the fact that you have these three different perspectives of external evaluation, which I guess must presuppose some kind of translation problem to your staff to your departments? Or to put it another way, do staff department heads, programme leaders, perceive a linkage between what are the results of NIAD-UE evaluations at the level of the total institutions and the program reviews of JABEE? Or is it left to you and your top management colleagues to give the complete picture?

This is a part of what I consider some of the very basic problems in getting what Prof.

Kawamura called a reliable relationship between evaluator and institutions. I think you, like most others today, at the end of your presentation were rather pressed for time so you didn't get around to the answer. What are the instruments available to create that reliable relationship, which I think is another very pertinent question?

I have some further comments but I think I will let this be my first contribution to the discussions. Thank you.

Kimura: Can you think of any examples relating to my question earlier regarding how universities have changed as a result of evaluation, or how their programs have been improved? Any concrete examples of improvement, from an evaluator's perspective.

Thune: Well, it's the question which my colleagues and I in the quality assurance field have always found difficult. Universities are changing to the better these days, but to isolate precisely the effect of external evaluations may be difficult. However, there is to my mind little doubt that there are many cases from Europe and from Denmark where strong quality assurance has really transformed or reformed a university. Here I very much take the point actually made by all the three presenters that in external quality assurance there is a double goal—one to assure and demonstrate the quality to the public and in the market, and secondly, to act as a catalyst for reform of the university. Both goals are important even if my focus in what I'm saying today is very much on the improvement angle.

Anyhow my point would be that a strong committed university management is absolutely crucial, and there is in Europe and Denmark a generation shift these years where most of the universities have fairly new leadership which to a surprising extent accept external evaluation as this catalyst for reform and for a steering instrument in their universities, and that's where we have an effect. But as I said in my first remarks, we do have the problem that motivated and inspired university leadership is the necessary condition for reform that the rest of the university has to follow on before we achieve real reform, real follow-up on evaluation.

So my answer to your question is, another way of making my point, that, yes, we have universities where remarkable follow-up has taken place but basically it has been part of a top-down process where I would very much like a bottom-up process to be visible as well.

Kimura: Thank you. Now, Dr. Tuomi, could I ask you to respond to the same question?

Tuomi: To the question how universities change, I think that all over the world there is restructuring of universities going on, and for example in Finland there is now discussion about merging polytechnics, merging perhaps some polytechnics with some universities, universities with universities. This is on the discussion level now but it's on the table and I'm sure that something perhaps not so radical but for the efficiency of higher education there will be changes in the institutional structure .

But what it comes to quality assurance, I also picked up the headlines from the slide, a flood of evaluations and institutions getting tired of evaluations. From the quality assurance agency point of view, I'm sure that we understand this. I think it's always important to try to find the balance because evaluation, it's not a value itself, because we are here for improving the activities and operations of universities, so I'm sure that we are, in quality assurance agencies, very well aware of this attitude in universities and try to make evaluations of quality assurance operations as light as possible.

We could see evaluations as an application of sustainable development and efforts are made to minimize the workload of universities. This is the point from the agencies' side. I think that the main purpose for our activities is to introduce new blood for institutions. Control and evaluation or accountability, they are not values in themselves. Thank you.

Holmen: I will tell a story about when I left the university from being a director of studies eight years ago, and my colleagues at the university then, they asked me with a great deal of surprise why I dared to leave this university and enter work at a quality assurance agency because that couldn't have a future in any way. People in the researchers were themselves the best to do the quality assurance of their own work; how could we at the bureaucracy imagine that we could do such things? That was the skepticism. Another thing they said was the money spent on the national accreditation agency could best be spent at the university to develop the quality. That was eight years ago.

However, at the same time, the private institutions in Norway, they were in favor of this agency because they looked into a future with probably a better, a greater autonomy if they pass the quality thresholds and got that approval.

Also the students were very positive. They were in favor of such an external quality assurance agency because they have always something bad to tell about their teachers. And those two were at the moment very strong actors for establishing the agency, in spite of the resistance in the other sector, the state-owned.

Another saying was that, please don't over-flood us with too many and too-detailed criteria; don't come here and tell us what good quality is. And that's one of our first lessons because in the beginning NOKUT suggested a lot of very detailed criteria and we got a storm from the institutions against us, and we listened to them. From 33 criteria on what is a good quality assurance system, we reduced it to ten. And suddenly the university saw that, we are not on each side of something; we are really working together for quality. They became more receptive through this process.

Still, we have to show that quality pays and it doesn't in financing of the institutions; money doesn't follow this. But still, the universities now feel that it is really stimulating. It pays in a way to have other people looking into your business, especially when the other experts tell you that you're really performing good, and we publish that report and we get more and more awareness and others are looking into that report and they take on the good suggestions that are there. Therefore, we have more and more motivated universities. It also pays, as I said, in autonomy, increased autonomy.

I will also say when I heard this that it is hard to make a top-down approach in a mandatory way. The management of the universities is very fond of NOKUT because it gives them an extra power to say, NOKUT has told us to do, the national agency and their standards and criteria, they say that we have to do this and that, and it gives them extra strength to do something the management didn't really dare to put forward, and in that respect also the quality assurance institution as well.

But we can see educational quality has improved. I would say that. I would say it because we had that response from the institutions themselves. They say, we haven't done actually research work on it, but we register all the recommendations or all the sayings, reactions we get from the institutions, and they say they work in a more systematic way, and that makes them more efficient. They say that by documenting better today than they did before, it also makes them more able to do proper resource allocation internally. And it says that all the good advice that the expert committee gives, they listen to them and they use them and they develop their work.

So when we started we thought that maybe a national agency could be loved, but now we have changed our minds: we want to be respected. We see that we can't be loved but we will be respected and we feel we have that respect from the institutions because we do something that they feel is useful, namely, contribute to the enhancement of the educational quality.

Kimura: Thank you. Actually, I came to my current position after working at a university, so some of your comments struck a chord with me.

Do you have any particular questions for the three Japanese presenters, or anything else you would like further clarification on? Dr. Kajiyama.

Kajiyama: If you would permit, I would like to ask a question.

It relates to quality assurance, and in particular assurance of educational quality. I would venture to say that from a student's point of view, educational institutions yield a significant output, in terms of physical quantity, systems, and organization. I think that the concept of quality assurance should include outcomes as one measure of quality. I think it's possible to evaluate inputs such as how and why education is conducted in a variety of settings within the university. But I would also like to know if you are considering ways to evaluate how useful that education proves to be once students graduate and begin to participate in wider society. I would be interested to hear your thoughts on this.

Kimura: Thank you very much. Who would like to respond to this? Dr. Thune? Ms. Holmen?

Thune: This is a very pertinent question. You must have been traveling in the United States because that's the sort of serious reflection they're beginning to have in their 100-year-old accreditation system, that they do not really focus on results but on input and processes.

Obviously, a focus on results can be a very difficult issue to take up but I think all agencies have to face the need to go into a mature phase where they do have results-based elements in their processes. In my view the way forward is taken now by a number of European agencies, including the Danish, with a combination of audit-like

reviews at the university level and then program reviews which are very much focused on results.

And as we heard from Prof. Kawamura, the Washington Accord is basically very much a results-qualification-oriented exercise which of course makes it very interesting to the engineering profession. So that may be the way in which we are moving, but in methodological terms and in the demands to the experts responsible for reviews we are moving one step up in seriousness I would say. So your point is a very good one.

Kajiyama: Thank you very much.

Kimura: We would also like to invite questions from the floor, but we are running out of time. We will conclude this first panel session for now, but time is being set aside after the end of the second panel session, so please keep your questions until then. Thank you everyone.

Kato: Thank you very much to all the panelists and to Prof. Kimura.

Before we proceed to the next panel discussion, we will have a ten minute break. Coffee is available in the reception hall on the second level. I'm sorry that time is so short, but please make the most of this brief opportunity to relax.

Panel Discussion 2 will commence at 3:00 p.m. I would appreciate it if you could return to your seats by that time. Please leave your simultaneous interpretation receivers at your seats. Thank you.

Panel Discussion (2)

Contributions of university evaluation to society

《Panelists》

Tateo Shimizu Editorial Writer, The Asahi Shimbun

Roger K. Abrahamsen Professor of UMB, Chair of NOKUT's Board, Norway

*Slides [English] : P. 212~221

Fumio Isoda Deputy Director-General, Higher Education Bureau,
Ministry of Education, Culture, Sports, Science and Technology (MEXT)

Staffan Wahlen Senior Advisor, National Agency for Higher
Education, Sweden

Solrun Jensdottir Director, Department of Education, Ministry of
Education, Science and Culture, Iceland

《Moderator》

Akihiko Kawaguchi Vice-President, NIAD-UE

Kato: We will now begin Panel Discussion 2. The moderator is the Vice-President of NIAD-UE, Dr. Akihiko Kawaguchi.

I will also introduce the panelists. We have invited two individuals from Japan's higher education sphere to participate, and one representative from the five Nordic countries. I will introduce each one starting from the right side of the stage.

Tateo Shimizu, Editorial Writer from the Asahi Shimbun.

Roger K. Abrahamsen, Professor of UMB and Chair of the Board of NOKUT in Norway.

Fumio Isoda, Deputy Director-General of the Higher Education Bureau, Ministry of Education, Culture, Sports, Science and Technology.

This panel is joined by two representatives from the Nordic countries who also made presentations this morning.

Mr. Staffan Wahlén.

Ms. Solrun Jensdóttir.

I will now hand over the microphone to the moderator, Vice-President Kawaguchi. Thank you.

Kawaguchi: I would now like to commence the proceedings of this second afternoon session.

I begin with an apology and a request from the organizers. So far today, the presentations have been delivered so zealously that we have almost run out of time, and have been unable to accept questions from the floor. I'm sure your stress levels are on the increase, but I assure you that we will encourage many questions from the floor at the end of this session. Your cooperation would be appreciated.

Now let us move into the substance of this session.

The objective of this session relates to a theme that has been raised consistently

throughout today's proceedings: namely, what is the aim of evaluation? It is said that the primary aim is improvement in the universities evaluated, and the secondary aim is to develop accountability.

Prof. Kudo commented that evaluation should be used extensively as a tool for universities to persuade or obtain approval from the general public. In international circles, it is said that the results of evaluation—information on how a university is assessed by a third party—are equally or even more important than information disseminated by the university itself.

Therefore, the principal reason for scheduling this second panel discussion relates to publication of the results of evaluation. We certainly disclose the results of university evaluations undertaken by our organization. But how is this information communicated to wider society? Mr. Shimizu may be one to point out that in fact, there has been a failure to disseminate the information properly. This is one point I would like the panel to discuss. I personally do not think that results have been communicated properly. I hope today's discussion provides an initial attempt to address the issue of how better to communicate the results of university evaluation, and how to make those results understandable to the general public.

“What Kind of University Evaluation Does Society Want?”

Tateo Shimizu (Editorial Writer, The Asahi Shimbun)

Kawaguchi: First, we will hear from a panelist who works in a sector outside higher education, Mr. Tateo Shimizu, Editorial Writer for the Asahi Shimbun. Time is limited, so I would ask you to refer to the materials in front of you for details of Mr. Shimizu's career. Thank you.

Shimizu: Thank you for your introduction. My name is Shimizu and I am Editorial Writer for the Asahi Shimbun. I do have one other official title, that of chief editor of the publication called *Daigaku Ranking* (University Rankings). I have worked on this book on a voluntary basis for the past fourteen years. The theme of this discussion is how to communicate university evaluation to wider society. This obviously requires us to consider what kind of university evaluation society requires, and what society wants to get out of university evaluation. My presentation will focus on these issues.

Firstly, I would like to look back on what kind of society Japan was when we first started to publish our university rankings.

The book was first launched by the Asahi Shimbun in 1994. Since then, we have published it every year, renewing data each time. 1994 was three years after the Ministry of Education, Culture, Sports, Science and Technology (then known as Ministry of Education, Science, Sports and Culture) decided to relax the standards for the establishment of universities, and request all universities to commence self-assessment and produce a self-assessment report. This deregulation or relaxation of the standards for the establishment of universities brought the term “university evaluation” into wider use in Japan.

The relaxation of the standards for the establishment of universities provided greater freedom for universities in terms of faculty and departmental organization, and gave them room to explore new curricular structures. It enabled universities to develop their individuality. As a result, we saw the emergence of many new interdisciplinary faculties, transcending the traditional discipline-based framework. Faculties of liberal education, which had until then provided liberal education to new enrollees, were abolished in favor of programs that offered professional education from an earlier starting point. This was also the period in which graduate universities began to appear. In other words, this period marked the beginning of an era in which universities would pursue their own individual directions.

In addition, the 18-year-old—university entrance age—population had reached a peak in 1992, and it was already well known that the population would decline from that point. There is no more certain predictor of future trends than population projections. The era of “universities choosing students” was nearing an end. It would be replaced by an era of “students choosing universities.” Higher education practitioners throughout Japan were beginning to prepare themselves for these realities.

Naturally, these developments provided universities with a new incentive to communicate information on their educational and research activities to as many prospective students as possible. Normally, university evaluation should attract the attention of the general public, as a means of comprehending the changes universities are undergoing and as a tool to communicate the individual characteristics of each university. Unfortunately, however, the self-assessment reports hardly saw the light of

day outside the universities that produced them.

Why did this happen? I think it could be attributed to the following facts.

Firstly, these evaluations were conducted primarily for faculty, staff, and other members of the university organizations being evaluated. Secondly, the method employed was one of defining missions and objectives for each university and then assessing whether or not they had been achieved: a qualitative, or even absolute, evaluation. The third fact is that the missions and objectives were set by the universities themselves. As a result, they lacked objectivity. For these three reasons, the self-assessment reports at all universities ended up being little more than praise for one's own wares. It was difficult to ascertain any difference between universities. Thus, the reports failed to attract the interest of wider society.

Universities are of course part of wider society, but for universities themselves, society exists outside their doorsteps. Among the various stakeholders in this "society," prospective students and the corporate sector are particularly important. Students have to choose which university they will enroll in. Companies have to employ university graduates. They also have to choose partners for research. In any event, such stakeholders must choose a handful of suitable universities from among the 744 institutions that exist across the country. Thus, they need university evaluation.

Prospective students, companies, and other stakeholders require universities to be evaluated in a manner that is, if possible, quantitative and enables direct comparisons to be made. Put another way, the type of university evaluation demanded by wider society is quantitative and comparative evaluation.

Have universities communicated the results of this kind of evaluation? Have they been disseminated by public bodies responsible for educational administration? No, they have not. So mass media organizations such as ours have stepped in to fill the gap. In 1992, before we started our publication, the economic magazine *Diamond Weekly* started publishing a "human resource output ranking" based on surveys of corporate officers responsible for recruitment of new employees. Two years later, our organization produced the first edition of the university rankings for prospective university students.

Such rankings all take the form of commercial publications. They are published with

the aim of generating profits. I do not think it is true, however, that the pursuit of profit has been the sole purpose of publication. The data that forms the basis of our rankings is provided by a variety of bodies including universities themselves, government organizations, companies, and senior high schools. It is my belief that all these organizations provide data because they appreciate the social value of the rankings we produce.

The fact that our university rankings have been judged useful in social terms is what has enabled us to continue producing them. This refutes suggestions that ours is just a commercial publication produced with the aim of making money. I'm trying to show you that our publication has been recognized to have a certain degree of social utility.

In contrast to our university rankings, why has systematic university evaluation such as the certified evaluation and accreditation—which is the theme of today's symposium—not been absorbed into wider society?

I believe that one explanation is that the universities that have undergone such evaluation and accreditation have been reluctant to communicate to wider society the fact that they have received certification.

University evaluation in Japan has progressed from the initial system “self-assessment reports” through an external evaluation system focused on third party peer review, to the current systematized approach of certified evaluation and accreditation. As I said earlier, however, in spite of these developments, university evaluation has not captured the attention of the public, nor are stakeholders making use of the results of evaluation. I have also pointed out that the principal reason for this is that universities have not taken active steps to promote the fact that they have undergone certified evaluation and accreditation.

I would like to give you an example of this fact, taken from Rikkyo University. Rikkyo underwent certified evaluation and accreditation in 2004. The report produced as a result of this evaluation is a huge document of around 650 pages. I found it to be a detailed and thorough report. Owing to its size, it has been published on CD-ROM.

However, the fact that Rikkyo has received such certification does not even get a mention in any of the brochures produced by the university for recruitment of

prospective students, despite the fact that such students are the primary target for dissemination of information about the university.

The reason for this omission lies in the fact that the actual results of the evaluation—facts such as that “the quality of education and research at the university is assured,” and that “the university is conducting research and education of a level suitable to its designation as a university”—are, for a university with the prestige and tradition of Rikkyo, matters of course that do not require any special mention. For society outside the university, for example for high schools students or companies, the results are no big news. Thus the university doesn’t promote them, and neither do newspapers or television report it in any significant way.

I have heard that in the U.S., universities that are unable to gain accreditation are subject to extremely serious penalties, including disqualification of their students from eligibility for scholarships, and in some states, suspension of the right to grant academic degrees. Under such conditions, whether a university gains accreditation or not is a matter of considerable concern to students. In Japan, however, certified evaluation and accreditation is not conducted in such a harsh manner. I think this provides another explanation for the low degree of public recognition of the results of evaluation.

I would like to reverse the question and ask: what kind of universities will capture the attention of the public when they are evaluated? The answer is the exact opposite of top-class, traditional institutions. For instance, up until 1991, very strict standards were applied to the establishment of new universities. These standards were relaxed to some extent after 1991, and even further later on. Thus, universities established post-1991 should attract more public attention when they undergo certified evaluation and accreditation. In recent years, private companies have been permitted to establish universities in certain designated zones. Permission for establishment has been granted according to standards regarding university assets and other matters that are far more lenient than those previously applied to new universities. Some of these developments have been subjected to criticism in the National Diet. Wouldn’t certified evaluation and accreditation have attracted more attention if these kinds of universities were made the subjects of it first? Since the certified evaluation and accreditation system started, the National Institution for Academic Degrees and University Evaluation, the Japan University Accreditation Association, and other organizations have been publishing results of many evaluations. Most have generated only small articles in the press. There

was only one occasion when these evaluation results made headlines. This was when the Japan University Accreditation Association announced that it had suspended accreditation for two institutions it evaluated in 2005. This was the equivalent of issuing a yellow card in a soccer game. That's why it received so much media coverage.

With this in mind, as I said earlier, evaluators should give priority to newly-established universities or those that are under-enrolled and experiencing financial difficulties, even if means delaying the evaluation process for traditional prestigious universities. I believe that such an approach would help university evaluations gain wider exposure.

Earlier on I suggested that the existing forms of university evaluation, including certified evaluation and accreditation, do not reflect the needs of stakeholders. However, our ranking system also has many limitations. After 14 years of producing these rankings, I, more than anyone else, am aware of these limitations.

Firstly, performance in research fields can be quantified in various ways. The amount of grant-in-aid for scientific research, the number of papers published, and citations are some of the many quantitative indicators that can be used. However, there are virtually no sources of data that can quantify educational quality. We have hunted high and low, but our search has been fruitless. About all we can come up with is data relating to the physical educational environment. In essence, educational quality is manifested in individual students. The form it takes is dependent on the individual in question, and very difficult to process statistically. Therefore, rankings cannot adequately assess the quality of education.

The second limitation is that it is not easy to check the reliability of data. A prime example can be found in the term "job placement rate." Figures are available on rates of job placement for graduates in Japan. The prolonged economic downturn has meant that great importance is placed on these figures by students and parents. However, the definition of job placement rate differs from university to university. It should express the percentage of graduating students who have secured a job as a proportion of those who have sought one, but there is no set definition of either of these concepts. As a result you end up comparing things that are not suitable for comparison, and for this reason we do not use this slipshod measure. However, there is an abundance of rankings that do use it.

Thirdly, there are many cases where universities will not provide proper data. For instance, outcomes of entrance examinations provide probably the most important basic form of data for prospective students, and we ask universities to provide it through figures such as numbers of students taking general entrance examinations, numbers of applicants, numbers of students actually accepted, numbers of students actually enrolled, and numbers of students accepted and enrolled through recommendation systems. However, 150 out of the 700 universities treat some or all of these figures as confidential. Even for something as basic as data on entrance exams, it is not easy to gather figures that are complete and reliable.

It is my view that these limitations and problems mean that rankings should never form the mainstream of university evaluation. The cornerstone for evaluation should be a public evaluation system such as certified evaluation and accreditation that, founded on a relationship of trust between the evaluation institution and the university, requires all forms of data to be provided and subjects them to a full analysis. The fact that the results of this kind of evaluation are currently not communicated to wider society is, frankly, a waste.

I would really like to see the bodies responsible for evaluation work together with universities to find ways to communicate the outcomes of public evaluation such as certified evaluation.

That concludes my talk. Thank you.

Kawaguchi: Thank you.

If I may just add one point: as you know, our organization implemented a program of trial evaluation from the year 2000. As part of our review of this program, we conducted a questionnaire survey, the results of which revealed a point related to that raised just now by Mr. Shimizu. Respondents stated repeatedly that although their university was disseminating information about evaluations, it wasn't getting through to the public. I got the impression that universities were pursuing this without any analysis of what kinds of information should be disseminated to which stakeholders, or exactly what was required of them. It was an interesting point to note.

But if I start talking we'll run out of time, so let's move on to the next speaker.

“Contribution of University Evaluation to Society: University Evaluation in Norway”

Roger K. Abrahamsen (Professor, UMB; Chair, NOKUT's Board, Norway)

Kawaguchi: We now welcome Prof. Roger Abrahamsen, who has come from Norway. Prof. Abrahamsen holds posts both at a university and at an organization that conducts evaluation. We hope to hear his comments from this dual perspective. Prof. Abrahamsen, please go ahead.

(Slide1)

Roger Abrahamsen: Mr. President, Your Excellency, dear colleagues, also for me it's an honor and a privilege to participate in this very interesting symposium today and to visit your nice country. I will take you through my presentation in a slightly reduced model compared to what you have in your documents.

I was asked by the organizers, and I quote, “to focus on the goal of university evaluation in the Nordic,” and I prefer then to refer to Norway. I was also asked, “How should the government, universities and quality assurance institution satisfy with the accountability of university evaluation.” The third question was raised like this: “How should universities utilize the result of the evaluation for improvement?”

(Slide2, 3)

I would like to take you very briefly again into the evaluation and assessment carried out by NOKUT, which I represent here. Which is on the screen, has been mentioned to you earlier today, so I don't need to go through each individual point here.

(Slide4)

So I take you to the next slide because this slide says something about the more general consideration concerning the evaluations and assessment carried out by our agency. And it's very important to underline that all evaluations are carried out by external committees or expert panels established by NOKUT. And I would underline that all the reports from these committees are public and we have to publish them and we think that the society would like to read them.

The reports are comprehensive and present basic information about the higher education institution. And it's also right to say that these reports are a kind of thorough evaluation, which is spelled out in the recommendations, as well as more formal conclusions. And then the reports are very important tools for the institutions' further work with quality development. They have told us clearly that that's the case. And the educational institutions normally express great satisfaction with the reports and often

underline their practical usefulness in their own work. We have the understanding that the institutions pay considerable attention to the recommendations.

(Slide5)

A few words about the quality audit it's very important to remember or to understand that the educational institutions are required by law to have satisfactory internal quality assurance systems and that's the platform for all other kind of assessment or evaluations. And the quality assurance system will be assessed by NOKUT in periods of a maximum of six years. It's a very important point to underline that higher education institutions themselves carry the responsibility for the quality of their own educational provision. They have to carry out a robust internal quality assurance, and this is in their own interest. We have to convince them that this is in their own interest. If they can realize that, the institution has a good possibility to develop an institutional quality culture. I think the society should be aware of the fact that a number of Norwegian institutions have developed what we can call a quality culture because of these evaluations.

(Slide6)

The next point I would like to draw your attention to is that the educational institutions have the freedom to design their own quality assurance system within a given frame of reference. We consider this freedom as important. The concept of freedom for the institution to design their own quality assurance system is supposed to foster a sense of ownership and broad participation among the institutions' staff and students. We strongly believe in this, but we still don't know if we can have this so to say bottom-up reaction. But the ownership and broad participation is considered important, and I think this is a pillar in the development of the quality required also by the society.

(Slide7)

The next point is that the quality audit cannot directly lead to the loss of certification but it could reveal indications of poor quality, and NOKUT may follow up these indications by carrying out revision of certification. And it's probably right to underline that the link between institutional quality audits and revisions of certification can be considered as the central pillar in the Norwegian system.

(Slide8)

The quality audits are important for the educational institutions, for the students and for the society because the quality assurance system should be used as a two-fold institution to pay continuous attention to the improvement of the educational system and the educational provisions. The feedback to the student about actions for improvements is crucial. If we don't show the student that we do an improvement, then

we are in a bad situation. But I would like to conclude concerning the effect of the quality audits by saying that the fact that the institutions have established and are able to operate a reliable quality system may be crucial for the trust and reliability expressed from the society to the Norwegian institutions for higher education.

(Slide9)

So a few words about what we call the institutional certification. It's right to say that certification of institutions is an instrument which makes it possible to change institutional category. My colleague, Tove Blytt Holmen, expressed this to you earlier today. NOKUT carries out institutional certification based on applications to change category. The aim of this system is to achieve academic expansion. It is a political will in Norway that an institution can apply to be placed in a higher category of institution. If, for instance, a university college would like to get the status of a university, there is a need to increase the institution's academic competence and quality. And this may have a very important effect in the society because this may create the political will to allocate additional resources at the governmental level. It may mobilize particular support from the regional or local politicians, society and industry. And it may increase the regional competence platform and again create regional innovation and new professional activities in the region.

(Slide10, 11)

We also have what we call the initial accreditation of programs and courses, and in this context accreditation of programs of study is an instrument to secure the standard of new programs. And I feel very strongly that the society should be aware of the fact that we have such a certification of programs. Certification is carried out by NOKUT when an institution applies for the accreditation of a new course or program that the institution status doesn't allow it to provide automatically. And the reason behind this system has been explained to you this morning.

(Slide12)

So I take you further to the importance for the society when it comes to initial accreditation of programs because in order to achieve governmental support, or a governmental-supported student loan, a study program has to be accredited. Accreditation of new programs is an important prerequisite in the Bologna process signed by the Norwegian government. And a very clear goal set by the Norwegian government is that certification may be considered as an important tool to achieve the national, political and institutional goal, namely, to secure that the quality of higher Norwegian education is at a high international level. Accreditation of new programs establishes in that way an increased confidence to the institutions from the society.

(Slide13, 14)

We also have the revision of certification or re-certification if you like. This re-certification is related to programs and institutions. Based on different indications, NOKUT may conduct an evaluation of an institution or a program of study with a view to do revision for a previously-granted certification. The revision may be triggered by indications from the institutional audit, which I mentioned earlier, of the quality assurance system or by other indications of inferior quality.

So what is the importance of this re-certification for the society and for the institutions? Well the reports from the expert panels contain recommendations of how the institutions could develop the quality beyond the minimum level. The experience shows that institutions follow up the experts' recommendations—that's important—and we consider certification as a strong instrument for obtaining the goal of continuous improvement of higher education, which again is a very strong goal for the parliament and expressed in the parliament. The decision to revoke the accreditation of a program or institution will obviously create a considerable set of activities in order to retain the quality necessary for accreditation. So this is a quality-driving force in what we could call the quality wheel.

(Slide15, 16)

We also do evaluation of significance to assessment of the quality of higher education, and we can decide to do that and we can also be asked by the ministry or the ministry may instruct us to carry out such evaluations. We consider these evaluations as an important source of information for the ministry and for the educational institutions and even for the society in their decision-making and allocation of resources for improvement of higher education. And these assessments may indicate to NOKUT if a revision of accreditation of a program or an institution is necessary or relevant.

(Slide17, 18)

If you look into the Norwegian system it can be concluded that it is what we could call an integrated system, a balance between internal and external quality assurance with a focus on the institutions' responsibility for the quality on their provisions. And this balance, combined with confidence in the institutions, make the system resource-effective. We consider that as important.

So besides getting more out of the existing system by improving processes and procedures and following up other challenges, the following steps could be taken: systematize the accreditation instruments more, so we will look further into criteria and

procedures; and we will give higher priority to work with the examination of the effects of the different instruments on the aims and objectives, and; we will also achieve more knowledge on the effectiveness of the different methods used and how to reduce the cost in quality work without reducing the quality.

(Slide19)

So my main conclusions, which are rather general. The various types of evaluations of the quality assurance system in higher education create an increased focus on quality development in higher education which in general is important for the society. It's important for the country. It's important for the students and of course for the educational institutions. And a comprehensive quality assurance system and the evaluation tools used create increased confidence between the society and the institutions. It creates a better contact between the society and the institutions and a better contact between the industry and the institutions. And both the society and the industry may have the opportunity to influence the curriculum and the educational program if they like. It will also create a better platform for decision-making, for allocation of resources, both at the institutional and governmental level, a better platform for other political decisions and an increased possibility for internationalization within higher education which is a prerequisite for further development.

So I will end this introduction by saying that the lack of an appropriate national quality assurance system in higher education will result in a loss of confidence in the modern society, among students and among politicians. Thank you.

“Existing Situation of University Evaluation in Japan”

Fumio Isoda (Deputy Director-General, Higher Education Bureau, Ministry of Education, Culture, Sports, Science and Technology (MEXT))

Kawaguchi: Up to this point we have heard from two individuals: Mr. Shimizu from the perspective of wider society, and now Prof. Abrahamsen representing both a university and an evaluation body. Now Mr. Isoda of the Ministry of Education, Culture, Sports, Science and Technology will make some comments. Then we will move to discussion. Thank you.

Isoda: I was told I have 15 minutes to speak, and at this stage in the proceedings I don't

think it's really useful for someone from the national educational administration to talk about the certified evaluation and accreditation system. Instead, I will try my best to make some comments on the points already made.

First there is the issue, raised by Mr. Shimizu, of why university representatives don't provide the wider community with more information about their activities. Universities would point to the fact that in the era of high economic growth in Japan, despite the increasing prosperity of the nation, the amount of public funds directed to universities was fairly low. As you know, public funding allocations to higher education institutions in Japan are quite meager compared to Europe.

For this reason, in the past there was little expectation that universities would disseminate information about their internal activities. Students, one of the stakeholder groups mentioned earlier, were most concerned with the deviation-value scores, which indicated how selective the entrance exams were at different universities. Their motivation did not come from, for example, a desire to take Prof. (Kazuo) Akagi's classes at Kyoto University or to learn about decentralization of administrative power from Prof. (Naohiko) Jinno at the University of Tokyo. Instead, they were just interested in choosing the university with the highest scores.

Companies also relied on these entrance scores to indicate the potential capabilities of future employees, and sometimes recruited students on the basis of which university they had attended. So in the past, universities gave students an opportunity to raise their skills through academic pursuits, but also provided an environment for personal development and formation of a broader outlook on life and work.

This situation was combined with the low levels of public funding in comparison to other countries to generate a blithe attitude towards evaluation among universities. From the early 1970s, however, universities were subjected to severe public condemnation in the wake of revelations that some of them had enrolled excessive numbers of students. This prompted the national government to impose more stringent quantitative restrictions on universities in a new plan for higher education. This plan required universities to take steps to rectify their over-enrollment problems, as well as imposing basic constraints on university expansion, and particularly controls on growth in major urban areas. In return for these new constraints, the government instituted a system of subsidies for private universities.

The next major turning point was reached, I believe, at the time of the Nakasone cabinet. This was an era when not only Japan but also the Regan administration in the U.S. and the Thatcher government in the UK were all promoting neoliberalist policies of structural reform.

In Japan, this political current was reflected in more relaxed regulatory structures, increased elasticity and flexibility, and eventually, as mentioned earlier, the dawning of the era of evaluation in 1991.

At this point, in return for relaxation of restrictions, a new system of self-assessment was introduced. As has been pointed out, however, this system required members of the university organization to evaluate their own efforts to improve education and research quality. This meant that evaluation centered on qualitative issues and that its main concern was not to produce reports that could be read through with ease or enable comparison between universities.

Another more recent development is the shift from an *ex ante* to an *ex post* model for supervision of private university activities. The traditional relationship between the national government and private universities was one of advance regulation combined with government subsidies—a convoy system, as it were, to protect universities from the vagaries of the market. In order to reform or even revolutionize universities, policies have now been developed to allow the entry of new players into the university sector, most typically private corporations. This shift is one of the major currents of neoliberalism in recent years.

The new system was instituted by the 2004 revision to the standards for the establishment of universities. The magnitude of this revision can be seen in the fact that now, applications for establishment are judged strictly by reference to pre-set criteria: if an application accords with the standards, the Ministry is compelled to approve it. In addition, despite the dramatic decrease in the 18-year-old population discussed earlier, in 2004 the enrollment capacity of private universities in this country actually increased by over 6,000. For the private university sector, we have now entered an era of uncertainty in which universities face the specter of bankruptcy. Private universities are struggling to find ways to protect their students and preserve long-standing traditions and progress achieved in educational and research fields, at the same time as confronting the successive emergence of new players in the sector.

One further point is that now that we've reached this stage, I think it can be said that it is no longer possible for universities to operate in isolation from the wider community. One reason is that as was explained earlier, the decrease in the population of 18-year-olds means that from the 2007 academic year, all students who wish to enroll in university will be able to gain a place. The balance between supply and demand has been reversed completely. I agree with the observation that universities must now do all they can to promote their education and research activities to prospective students.

I understand that this issue does not relate simply to evaluation, but requires a paradigm shift for universities. As you know, debate on higher education administration in our country focused for many years on the issue of how to get more students accepted into higher education institutions and how to educate them effectively. The principal issues were those of how to ensure that selection for university entrance was conducted fairly, how to alleviate the intense competition in the selection process, and how to ensure senior high school students attained an appropriate academic level in preparation for university study. As forces of supply and demand are reversed, however, we now need to reassess the system for university entrance in its entirety, and also achieve a wide-ranging shift in focus for educational content.

In other words, there must be a fundamental change to the framework that was predicated on a competitive system of university entrance and the assumption that getting into university is inherently difficult. I believe that evaluation is a major issue in this respect.

I also want to comment further on the point that the general public has not displayed much interest in the actual content of education provided by universities up until now. I realize that in the past, universities have collaborated with industry in certain ways such as developing close relationships between specific researchers and research institutes at specific companies or working jointly on specific projects, and that such collaborations have been the subject of some evaluation. However, I am not talking about evaluation of such individual relationships between researchers and research bodies. Universities are assuming greater importance in wider society. For example, a very large amount of funds is injected into universities through competitive funding schemes established in recent years, and one out of every two 18 year olds now enrolls in university. This means, I believe, that the community will no longer tolerate universities operating as isolated entities.

The labor market is a case in point. Traditionally, companies have recruited students on the basis of potential shown at the time of enrollment in university: their performance on exams for admission to university from high school. Upon induction into the company, new recruits would be provided with extensive training to equip them with the qualities and abilities required by that company. At most companies, this employment system is now undergoing change, with new emphasis placed on recruiting personnel with top-level abilities who are of immediate use in company activities. Many companies are choosing to recruit students with Master's degrees, or even PhDs, in preference to those with undergraduate degrees only. In order to address changes in corporate capacity to nurture human resources, or shall we say to respond to rapidly changing conditions, there is a growing expectation that the university sector should take more responsibility for human resource development.

In addition, although it is probably a transient phenomenon, in the period after Japan's economic bubble burst, many companies have closed their central research units and have come to rely instead on universities to meet their basic research functions. I believe that this led to the acceptance in wider society of the research function of universities as organizations.

We are aware of a need at this time for the university sector to communicate to the community, and to students, the results of a thorough process of self-evaluation and monitoring. Addressing the question of how this is to be labeled or graded has, in the postwar era, been a major responsibility of the Japan University Accreditation Association. Basically, we think that the most appropriate system is one in which a university association undertakes mutual evaluation and accreditation of member organizations, and in which a variety of intermediary organizations or functions help to promote communication between universities and wider society. One of our greatest hopes is that players from a variety of sectors, including the mass media, will help to promote the development of these processes of exchange.

There is one final point I would like to make. I have already said that the decline in the 18-year-old population is resulting in fundamental changes to the quality of evaluation, particularly to how it is presented to the community and above all to prospective students. One other factor, however, is globalization, which is also one of the explanations for changes in the corporate sector I discussed earlier. As is clear from the discourse in forums such as UNESCO and the OECD, the trends to globalization and

the international cross-border movement of people, goods, and intellectual property are making the issue of international quality assurance in the higher education sector a major concern.

We believe that in relation to international quality assurance, our Ministry must fulfill its responsibility to global higher education by working to improve the evaluation system, so we can communicate to the world an assurance of the quality of our higher education institutions. Thank you.

Kawaguchi: Thank you very much. Now we would welcome comments from our two Nordic panelists.

Wahlén: Just a brief intervention. I'd like to make a brief comment on Mr. Shimizu's inspired talk in favor of ranking. As Mr. Isoda said, we all know that universities are accountable to society and stakeholders generally for their provision and their results. The question is, who are really the stakeholders? Who wants to know what? I think this is an important question. And in this light, I'm afraid, sometimes rankings, as least as I've seen them, may become too simplistic, they over-simplify and over-state simple figures, which taken together may be significant, but do not necessarily correspond to what individual students and other stakeholders think is important for them.

It's true that a lot of information is needed, and a lot of it is indeed available. In Sweden, as in several other countries, there are databases with input concerning most aspects of higher education, providing figures number of students, number of new students, their progression, their number of years of study, graduation rates. Results of evaluations are also included. But figures with regard to employment are not available, unlike what is the case in, for example, the UK. Through our evaluations, we encourage universities to conduct such investigations themselves, because it is, after all their responsibility to do them and to make the results publicly available.

So for ranking purposes, what are the data we need, and how reliable are the ranking lists? Do they actually include such information as students, prospective students, employers and other stakeholders need to make informed choices.

Shimizu: I think Mr. Wahlén's point is well made. I am of the same opinion myself. In Europe, the *Times Higher Education Supplement* produces world higher education

rankings, but the results are unaccompanied by any explanation about the sources of the data or of the rationale behind the weightings accorded to each indicator.

You also said that rankings are too simplistic. Given that universities' scale and faculty structures vary widely, trying to transpose university information into a single figure for ranking purposes is a task which, I believe, is impossible.

We produce rankings according to 72 different indicators, but we do not produce an overall ranking. We think it is impossible to combine all the indicators. At a conference attended by parties involved in university evaluation, held by UNESCO in Berlin earlier this year, the Berlin Declaration was adopted. This declaration stated the principle that all published data must be substantiated, and that evaluators have a responsibility to explain weighting methods and other equations used. I believe that this principle should also be followed by all those involved in the production of rankings. This declaration will help change rankings for the better.

Kawaguchi: Thank you very much. Go ahead.

Isoda: I would like to make one related point. At present there is a lot of debate over who our stakeholders actually are. In the past, when confronted with the concept of stakeholders, we university people tended to use the excuse that we were contributing to the intellectual wealth of humanity as a whole, or to the development of the state or society in general, or to the improvement of the general citizenry. We must come to terms with the fact that we have not made enough effort to reflect on the actual quality of education or research at our universities.

One simple example comes from a private university in the Kansai region. This is a foreign language studies university, and its current account is well and truly in the black. It has also been able to move to a new campus location in a short time and very efficiently. However, because this is a private university, its mission precludes it from covering all academic fields.

In contrast, Tokyo University of Foreign Studies maintains programs in foreign language and regional studies representing a significant proportion of the world's regions. This has enabled it in recent years to provide cooperative educational support in Afghanistan and to facilitate academic assistance and human resource provision in a

variety of contexts for relations between Japan and other countries, including in Iraq. I always think that in such situations it is extremely difficult to evaluate the ways in which universities are contributing to the development of students, the corporate sector, and other elements of society, or to take a broader perspective, what role they play in the development of Japan, or of our citizens, or even of the human race as a whole, and in the long-term enhancement of knowledge for humankind. This is my current concern.

I believe that the market principles of neoliberalism do not provide a full solution to this issue. We need to consider ways in which we can build this issue in to our evaluation practices.

Kawaguchi: Thank you very much.

Sólrún Jensdóttir: Just a few words. Firstly, I must say that I was very inspired by Mr. Shimizu's presentation because when one looks at the heading of this panel discussion, contributions of university evaluation to society, the main point in evaluations of higher education for society is pretty obvious from my point of view at least.

The contribution of evaluation is to make both students, who are the main stakeholders I would say, and also industry and businesses aware of what quality they are getting from the supplier, which is the university, and therefore it's very important to give information to these stakeholders about the quality of the institutions. And as has been said here by many, the publication of evaluation reports is very necessary, as well as general information about the university institutions.

In Iceland we are so few and small that it's very easy for us, i.e. for the Ministry, to say to universities, if we are to give them contracts for financing, they have to fulfill several criteria and one is to have a good information system towards society. But as we were talking about the press and media, unfortunately, the media doesn't seem to be very interested in good reviews. But if they are bad, then everything breaks loose and you have this large heading for several days. This one is terrible, I mean, I never heard anything so bad as this. But fortunately, the institutions, even those who get bad reviews, get the opportunity to improve themselves, and we in the Ministry follow and try to help them because, as has also been said here often today, one of the main objectives of evaluation and quality assurance is to give the institutions the impetus to develop and improve. That's all for the moment I think.

Kawaguchi: I'm sure everybody would like to reply to some of these points, but please allow me to press on.

We have just heard about stakeholders and the information provided to them. Over a period of two years I visited all the Nordic countries and was introduced to the methods of evaluation employed in those countries.

One point of major difference from university evaluation in Japan was that representatives of the student body participate in the evaluation process. In Japan, there would be endless debate over whether Japanese university students should be entrusted with such responsibility. But the involvement of students is something we will have to think about in the context of issues such as how to communicate evaluation results to prospective student stakeholders.

There is another point, one that our organization often emphasizes when conducting evaluations, and that was reflected in the opinions of this morning's speakers. The point is that evaluation is a joint operation based on a relationship of tension between the evaluating body and the university being evaluated. That's what we need to achieve. As pointed out by Dr. Kajiyama earlier, the Nordic countries are one cycle ahead of Japan in terms of creating this relationship. I think we have just managed to take our first unsteady steps, but there is a history going back ten years, or at least more than five years, in the Nordic countries. It became clear to me that they have probably just got to the end of the first round or cycle, and are now reviewing their progress and possible directions for future years. This is the reason why we came up with the idea of holding this symposium as a source of ideas for university evaluation practices in Japan.

Earlier on—I think it came up at the end of the first panel discussion too—there were some comments made to the effect that evaluating bodies have also worked to reflect the views of universities in making improvements to their activities. I would like to invite anyone from the floor who has a short comment—perhaps it will be difficult to keep it short—to make in this regard, particularly from a university perspective. I'm sure many of you would like to say something, so please use this opportunity to make your opinions heard. We would welcome questions about challenges faced by Nordic countries and how they dealt with them, or any other general points. Would someone like to volunteer?

Question 1: Before I ask my question I would like to say that I listened to the representatives of the Nordic countries with a strong sense of respect and a certain degree of envy. This is because the Nordic countries are both part of Europe and at the same time have developed an organic and integrated approach to evaluation among themselves. I was deeply impressed by this. I just wanted to say that at the outset.

My question relates to the work of Mr. Shimizu who we heard from in the afternoon session. It was one of the major themes of this session—the issue of rankings. If I am not mistaken, during the morning session the point was made two or three times that the Nordic countries do not use rankings or league tables.

This can be contrasted to the situation in the neighboring United Kingdom. Mr. Shimizu also touched on the point that in the UK, rankings are published prominently in the press. I would like you to comment further on the reasons for this difference in the use of rankings.

I realize that rankings vary depending on whether they are quantitative or qualitative, and that the ease or difficulty with which they can be produced depends on factors such as whether they evaluate research or education. I would be grateful if you could talk about these points with reference to the Nordic countries.

Wahlén: You're referring, I think, to the difference between the Nordic countries and the UK. It's a striking phenomenon that rankings are most often or nearly always made and published by the press, i.e. newspapers or magazines. Some of them are good, such as the ones you mentioned, *The Times higher education supplement* and so on; Some of them are not so good. I think one of the reasons why rankings are not looked upon so favourably in the Nordic countries is that we are after all small communities, and there isn't enough interest on the part of the general public, so that publication of league tables would increase circulation. Rankings of Swedish, Norwegian, Danish, Finnish and Icelandic universities would not arouse sufficient interest.

Abrahamsen: Yes, I think you are right. It has something to do with the size of the countries. In Norway, when we started the evaluation as we have talked about today, there was a saying from the sector that they were afraid that the evaluations should be used as a kind of point of departure for ranking for the future. And we had then to convince them that that was not the reason why we introduced all the evaluations.

There are a number of arguments put on the table because in a small country, like Norway, there are quite few fully-fledged universities, and if you look upon these universities they are different in the way that they are specialized in certain areas. It means that the University of Bergen may be better than the University of Oslo in one particular field and that's the only place probably in Norway where this field is taught or given attention. So in a small country there is a tendency to greater specialization within certain subjects. So ranking is not very meaningful for that reason.

The other thing we know is that the Norwegian student seems not to look too much into that kind of quality. They will ask, where is this university located geographically in the country. That's one of the main reasons for the choice of university.

Another reason could be the social way of life for the students, and it was mentioned here the job opportunity, we have no information that there are better job opportunities if you go to this university or that university. We have more information about job opportunities regarding the subject you have studied. So in a small country we have to fulfill all of the requirements by higher education seen together and it's an open choice by the students, so ranking doesn't mean too much for the students and probably not for the society. Thank you.

Shimizu: May I make one brief comment?

I was deeply moved by one comment made by Dr. Kajiyama from Kyushu University in an earlier session today. He made the very important point that we must pay attention not only to the structures for input into the evaluation process, but also to the results or outcomes. Rankings are all about results. Number of papers, number of citations, amount of research grants-in-aid, amount of subsidies—they're all outcomes, all results.

Having listened to the comments just made, I can see that certainly the countries are small and have a limited number of universities. But I think that it's still possible and meaningful to evaluate results, even in the Nordic countries. So whether rankings are necessary is not merely a matter of size or geographical conditions—it is whether or not we focus on outcomes. I think this is an important standpoint for evaluators.

Kawaguchi: Thank you very much.

Wahlén: Just a brief comment. I agree very much that we should pay attention to outcome; that is essential. But I noticed that when you gave examples, you referred to the world of research, using things like citation indices and so on. The huge Chinese league table of 500 universities refers almost exclusively to research outcomes. This is not without complications in the way that it has an impact on the way research projects are carried out and published, but it is feasible and has a certain credibility. When it comes to teaching and learning, variables are more difficult and complex.

Kawaguchi: Allow me to move on to the next topic. I would like to ask all speakers to provide their name and the organization to which they are affiliated before they make their comment. Thank you in advance for your cooperation.

Now, I would like to invite questions and comments preferably on issues other than rankings. Yes, the person in the back, please go ahead.

Question 2: Thank you for an extremely valuable discussion today.

If I understand correctly, at the end of his presentation Mr. Shimizu made comments about the limitations of rankings and how he hoped that universities and evaluating organizations publish evaluation reports produced on the basis of a trust relationship. In the Nordic countries, I'm sure it's taken for granted that the 'yes' and 'no' of accreditation should be made public, but what about recommendations for improvement and points that were evaluated positively—the actual substance of the evaluation? To what extent are these matters disclosed? My knowledge of the Japanese situation is also lacking, so I would like you to explain how far disclosure goes in Japan, too.

Wahlén: In Sweden, and generally in the Nordic countries, everything is public. Self-evaluations are also public, and, in fact any kinds of results found by quality assurance agencies or the universities themselves are available to the public.

Kawaguchi: Prof. Kimura, would you make a comment about the situation in Japan?

Kimura: Well in the case of Japan, or rather the case of our organization, we disclose the self-assessment report produced by the university, any formal objection to the result filed by the university as well as our response to it, the final results of the evaluation—everything is made public.

Kawaguchi: So your answer is that everything is open.

Kimura: Of course we tell the universities in advance that they need to agree to the fact that the entire evaluation process will be made public.

Abrahamsen: Everything is public, but for instance the regulation for NOKUT, our agency, says that we should not only in a passive way make it public, we should have an active attitude to get the report published so we should pay attention to the publication activity as well. Thank you.

Kawaguchi: The person up the back. Go ahead.

Question 3: Education in the Nordic countries is held in high regard and is famous throughout the world. But as far as university evaluation and accreditation is concerned, from the global viewpoint, do practices in the Nordic countries have a good reputation? What are your distinctive features? Having listened to the presentations today, I could not see any particular difference between the practices employed in Europe, the Nordic countries, and Denmark. Why has the focus of this symposium been placed on the Nordic countries? I would appreciate it if you could talk about what distinguishes your systems of evaluation, or what underlying features make your systems strong.

Kawaguchi: Just one initial point. The certified evaluation and accreditation in Japan does not accord precisely with the evaluation used in Nordic countries in terms of content. With this in mind, are there any comments?

Abrahamsen: I feel we have to start it all over again in a way. We have been invited to present some of the main efforts from each and every country concerning evaluations. And you have seen that some of the presentations have a model that is more or less similar and at the same time given explanations why there are differences. But Dr. Thune's first presentation today was opening with the European perspective and that was because we should be able to see the Nordic activities in the EU perspective. So I don't think I'm in the position to comment on this in another way than saying just this. Thank you.

Isoda: I would like to share with you briefly what we in the bureaucracy feel.

Until recently, models for public administration in Japan had consistently been drawn from the U.S. or the UK. This trend was noticeable in higher education policy too. As has been pointed out, however, even in the case of university evaluation, there are many limits to the neoliberalist reforms carried out under Thatcher or by the Regan administration in the U.S. There is an awareness that we must shift our focus and try to learn from countries other than the U.S. and the UK. In the EU in particular, we see that a variety of countries with different cultural and linguistic backgrounds have worked to develop a common, interchangeable system of evaluation. I believe that there are points from which we can learn even if there are many areas of similarity with the UK. If there are points of difference, we can examine why they are different—whether it has to do with the size of the country in question, or perhaps the taxation system, or other social structures. I appreciate your candid opinion, and would like to make the doubts you expressed part of our own learning process.

Kawaguchi: Thank you very much.

Are there any other questions? Yes, go ahead.

Question 4: On several occasions during today's presentations, mention was made of the fact that Nordic universities have realized a high degree of student participation in decision-making processes as well as evaluation. By what means do you select the student representatives involved in these processes? I would like the parties currently on stage to elaborate on the actual ways in which students are chosen.

Jensdóttir: Thank you. Speaking for Iceland we do have several student unions and these student unions nominate students to sit on the board of the universities.

Kawaguchi: How does it work in Sweden and Norway?

Wahlén: In Sweden it works in the same way. Students are nominated by the student unions to sit on various kinds of boards and committees within the universities. Belonging to a student union in Sweden is compulsory in Sweden. This has been discussed and debated, and the students unions and the National Union of Students have a large mandate.

Kawaguchi: How about Norway?

Abrahamsen: Basically we have the same way of doing this, but when a student has been participating in an evaluation, the students also go into a pool of recognized students which can be used again and again, as long as they are students. Sooner or later they have to leave the pool because they are no longer students, hopefully. So we get some very good experience with the best students, of their approach and how they function in the groups. Thank you.

Thune: Well, not really Denmark, more Europe. The issue of student participation, which is part of the European standards, is actually a consequence of the fact which I mentioned in my presentation and which is that the standards had to be agreed upon by the European partners, including the very strong political student organizations. But it is almost a stone, so to speak, around the leg of the European standards because it is exceedingly difficult to convince some of the European agencies that they should have in their expert panels representatives of the student unions if these have very political platforms.

So these agencies argue that you cannot have a panel of experts going into a university with three or four eminent experts within each their academic field and then there is also a student representative whose main objective may be to advance the student political platform in more general national terms. So it is a difficult situation for those who, like me, do believe that it is important that students have a role. The student organizations themselves have made this issue more complicated by insisting in some countries that students should be nominated by the political student unions. They are not serving their cause very well by taking that stand. Thank you.

Tuomi: In Finland, the administration of universities the mechanism is similar with Sweden, Norway and Denmark, and we have, also like in Norway, a pool of student representatives for evaluation groups, but mainly we start with asking student unions make a proposal for student members.

Kawaguchi: Are there any other questions?

Question 5: I was particularly interested in what Dr. Tuomi from Finland had to say. It was about the need not just to evaluate accordance with the minimum requirements for accreditation, but also to conduct evaluation with a view to strengthen and provide support to universities. In other words, Dr. Tuomi talked about the practice of

evaluation through proposing ways to strengthen the universities.

My main point of interest is whether or not this will become the dominant approach in Nordic countries in the future. If we tried it in Japan we would soon be criticized for trying to control universities. But I found it very impressive that an evaluating body promotes the notion of developing proposals that provide positive support and assistance to universities. I would like to ask if this is the direction that will be taken in Nordic countries from now on.

Tuomi: I would ask my Nordic colleagues to answer this because I don't have anything to say after this comment from the floor.

Wahlén: At the moment we don't have such commendable procedures but we will actually be introducing them in our next cycle of evaluations, partly following the example of Finland. Norway, too, has a similar program of awarding excellence in higher education institutions. So I'll hand over to Roger.

Abrahamsen: Well, this is also a little bit difficult question but we, in Norway, established the awarding of center of excellence to different universities, but that's basically decided because of excellent research activities. These centers of excellence are research centers, but of course when they are centers of excellence of research in a certain area that has to influence the educational program related to the same area. So good results in the research area should increase the quality of the related education.

Jensdóttir: Yes, thank you. In Iceland we are still developing our quality assurance system, I'm sure that, we will also take our cue from Finland and proceed in this way because it is very important to make the universities cooperate with us. So we'll try to emulate Finland even though we don't go as far yet.

Kawaguchi: Dr. Thune, do you have any comments?

Thune: Well, it's another very complicated issue. The British tried to solve it in the nineties by having five different levels going from Excellent down to Not Acceptable. That was an attempt to give the universities the possibility to achieve a result which marked their level above a minimum standard, and we did more or less the same in Denmark.

The problem is that as you move into a system of accreditation, as many European countries are doing at the moment, you run into exactly the problem which they have been having in the U.S. for so many years, and one of the reasons you can go to elite universities such as Harvard, Yale and the Stanford and you can look for a while before you can find any indication that they were ever accredited because they couldn't care less. What does it mean for an elite university such as Harvard to find that in an accreditation process the same minimum standards apply to Harvard and to what Harvard could perceive as inferior universities? Certainly that is not a very relevant situation from the Harvard perspective.

And that to my mind is the main issue and problem with accreditation that compliance with minimum standards is not very motivational for the better universities.

Either you accredit against standards and give a yes or no as to whether a university or program meets these standards at a minimum level, or you have to use all the methodologies such as evaluation or audit. In my mind you cannot really save accreditation from this basic problem. You have to take that as one of your criteria for choosing in the national system what weight and what priority you will give accreditation.

Accreditation is in principle primarily accountability-oriented and based on minimum criteria. Therefore quality universities and quality programs may lose their motivation once they realize that their excellence or potential excellence does not become evident in an accreditation process. So I guess this may be a general international experience in that respect.

Kawaguchi: I think most of our questions have been from university people. I know there are people here today from other institutions, for example from colleges of technology, and from bodies that conduct evaluations. Are there any questions from non-university parties? We would really like to hear from you. Please go ahead.

Question 6: This has been a very interesting symposium, and I think it will be very useful in our efforts to reform our education systems.

I would like to ask one thing about experiences in the Nordic countries. How are your evaluation and accreditation assessed by the corporate sector? From our point of view it

seems that in Japan, companies do not necessarily show much appreciation for certified evaluation and accreditation. I would like to hear your experiences and the state of affairs in your countries.

Abrahamsen: I'm not quite sure if you have a long experience concerning the company's appreciation of evaluation, but let me guess. Within a few years, when the industry gets more information, they learn to know that we are doing this kind of evaluation, they will probably look very tightly into the evaluations, and this again will create, as I tried to underline in my presentation, a better communication between the industry and the university. And if the industry is smart, they may pay attention to good sides and weak sides of the report and possibly support the university to carry on in a good way. For instance, they may have something to say about the study curriculum in certain areas, and that should be welcomed by the university, that the industry, the society gives them some kind of feedback of how to proceed in the area, and support quality development within certain areas. Thank you.

Wahlén: The Board of the Swedish National Agency for Higher Education has at least two representatives of business and industry. And the Chair of the board is and industry person. Through him we are also able to recruit high-ranking members of our expert panels, who take part in evaluations of programs and previously also in our audits. They will most certainly also be included in the coming quality audits.

The interest shown by the Chairman of the board is very keen and he serves as a sort of catalyst, as a person who can actually share his knowledge of the university world with his friends in some of the large Nordic companies. So that's one answer to the question.

Kawaguchi: We have run out of time, but I will take just one more question from anyone who has something that they simply must ask before leaving today.

Question 7: Just one straightforward question.

In Japan, there is an extremely deep-rooted "beneficiary pays" principle in relation to tuition fees. The beneficiaries would be the students themselves or their families in Japan's case. Does this beneficiary pays concept exist at all in Nordic countries? If not, what is your attitude towards tuition fees? This is the one point I would like you to answer.

Wahlén: Well, there are no tuition fees in the Nordic countries at all so that all higher education, except in some private colleges perhaps, is free.

Jensdóttir: Thank you. No, I just wanted to say that in Iceland we do have three private universities and they are free to take tuition fees and they do. But on the other hand, we do have a student loan fund and the students can get a loan to pay their tuition fees which they do not have to repay until several years after they graduate, and then in relation to their salaries.

Kawaguchi: Are there any other comments?

We have run a little over time, but thank you for all your comments, including your questions relating to this morning's proceedings. I would like to express my gratitude to you all on behalf of the organizers.

I will now declare this session closed and pass the baton over to the MC.

Kato: Panelists, Vice-President Kawaguchi, thank you very much.

**Japan-Nordic Symposium
On the Frontier of University Evaluation
-Making the Most of Nordic Successes-**

Summary and Closing Address

Akihiko Kawaguchi

Vice-President, NIAD-UE

Kato: We now move to the last item on the program, a summary of today's symposium and closing comments by Vice-President Kawaguchi from NIAD-UE.

Kawaguchi: Thank you for your introduction. Once again I take the floor—please bear with me just a little longer.

This Japan-Nordic Symposium today was held on the theme “On the Frontier of University Evaluation—Making the Most of Nordic Successes.” In contrast to the poor conditions we experienced up until yesterday, the weather has turned out very well, and I am extremely grateful that we were able to hold the symposium under such conditions.

I would like to thank you for finding time in your busy schedules to come here today, and for the contributions so many of you made to the long and lively discussions we have had. In particular, as I mentioned earlier, we were not able to spare enough time for questions. However at the end we were able to take quite a few questions, and I hope you feel a little more satisfied now.

I would like to convey our special thanks to Dr. Thune and all other panelists who made time in their hectic schedules to join us here on stage today. We appreciate your immense understanding and cooperation with today's proceedings, right through from the preparatory stage. Thank you very much.

Discussions today have centered on evaluation in Japanese higher education institutions, issues of reform and improvement through evaluation, and accountability to wider society. I would be interested to know your thoughts on today's proceedings. I hope that you were able to gain some idea of possible directions for university evaluation here in Japan and how the results of evaluation should be utilized.

I think today's symposium provided a very valuable opportunity to consider how to develop a culture of evaluation—an issue that we ourselves are advocating—and to take a leading role in developing systems of quality assurance for higher education institutions in this country. As I said a moment ago, the Nordic countries have been engaging these issues for five or ten years longer than we have: that is why we organized this symposium.

On a personal note, when I was studying at Harvard University about thirty years ago,

I lived near a family from Sweden who I came to know well. We visited each other's houses and shared many frank conversations. I still have a clear recollection of what we talked about. Because we were living in the U.S., we exchanged views on how the U.S. was perceived in Japan, or how Japan was viewed from a Swedish perspective. These conversations made me realize that although Japan and Sweden are very far apart both culturally and geographically, our perceptions of the United States were very similar.

So in that sense, I thought the Nordic countries had many interesting features, and I also had access to information that suggested they were quite advanced in terms of university evaluation. So last year we began visiting the five countries of the region, and this year had observer status at the annual meeting of NOQA, which was mentioned this morning. We found many commonalities with our experiences in Japan. Earlier there was a question from the floor about the distinctive features of the Nordic experience: certainly, it is similar in many ways.

As I said earlier, however, there are also points of difference. I feel that Japan has a lot to learn from the way Nordic countries are utilizing the results of university evaluation. Although these countries are far from Japan and have different cultures and education systems from us, there is a high degree of commonality in the area of evaluation. I have made this point in my closing remarks because I would like you to contemplate it as you leave the symposium today.

We recognized that Nordic countries' experiences could provide important hints when considering future directions for the evaluation services provided by our institution. That provided the rationale for this symposium. I also believe the symposium is going to provide a catalyst for further exchange of information and sharing of experiences. I think this will be crucial for us in the future.

It is about three years now since we began interaction with our Nordic colleagues on the issue of evaluation. We will continue to watch the Nordic countries and other parts of Europe as they develop their quality assurance initiatives. I think this was a good opportunity to grasp the importance of quality assurance and to consider how we can realize it in the Asian context to contribute to an enhancement of our knowledge-based society.

However, this symposium is no more than a starting point. It is important that we work

together from now on to realize a better society for stakeholders in our different regions, countries, and even across national borders. I am sure that this will lead to an ongoing cooperative relationship between our different regions and countries.

I personally believe that our two different parts of the world share a very similar mindset, and that it would be very worthwhile for us to join together in developing partnerships in the higher education field. It would bring unexpected happiness to us as organizers if today's symposium helps to promote goodwill and contributes to the development of higher education in our two regions.

Now, I would like to make use of this opportunity to do some marketing for our institution. We already have plans in place to hold another symposium in two months' time, at the end of November, this time with representatives from university evaluation bodies in China. This is part of a series we have been operating since last year on "university evaluation in Asia," in which we invite Asian colleagues to discuss issues of quality assurance in our region. Last year we held a symposium on the topic of university evaluation in Taiwan. This will be the second in the series, and we look forward to the opportunity to interact with our counterparts from China.

This next symposium will be on the topic of quality assurance in Chinese higher education, but in the future we hope that our institution will be able to play a leading role in quality assurance not just domestically or in China, but throughout the Asian region. We look forward to your ongoing support for our activities.

I will conclude my address by saying once again that we are extremely grateful to the representatives of the five Nordic countries who joined us here today, as well as to those from Japanese institutions of higher education, and to all others who took the trouble to attend this symposium. Thank you very much.

Kato: Thank you for joining us at this Japan-Nordic Symposium, "On the Frontier of University Evaluation—Making the Most of Nordic Successes." This concludes our program for today. Thank you very much.

We ask for your cooperation in filling out your questionnaire sheets before leaving. Your completed questionnaires will be collected by staff at the exit. Also, please leave your simultaneous interpretation receivers at your seats. A reception will be held in the

Reception Hall on the second floor, starting at 5:15. Everyone in the audience is warmly invited to attend. All those who will not be joining us for the reception are reminded to take all their belongings with them when they leave.

Thank you very much.

Distributed Materials (Slides: English)

- * P.139~152 **How University Evaluations are being innovated in Europe**
Christian Thune Executive Director, EVA, Denmark
- * P.153~156 **“Nordic Success”- the case of Finland**
Ossi Tuomi Secretary General, FINHEEC, Finland
- * P.157~164 **Evaluation of Higher Education in Iceland improvement of teaching and research**
Solrun Jensdottir Director, Department of Education, Ministry of Education, Science and Culture, Iceland
- * P.165~171 **Quality Assurance in Higher Education - the Norwegian Way**
Tove Blytt Holmen Deputy Director General, NOKUT, Norway
- * P.172~179 **Nordic success-the case of Sweden**
Staffan Wahlen Senior Advisor, National Agency for Higher Education, Sweden
- * P.180~187 **Impact of University Evaluation on Educational and Research Quality**
Tisato Kajiyama President, Kyushu University, Vice-President, The Japan Association of National Universities
- * P.188~200 **Some remarks on the university evaluation from a viewpoint of private universities**
Norikazu Kudo Vice-President, Keio University
- * P.201~211 **Application of the Result of Evaluation in College of Technology**
Junko Kawamura Executive Director, Institute of National Colleges of Technology
- * P.212~221 **Contributions of university evaluation to society: University evaluation in Norway**
Roger K. Abrahamsen Professor of UMB, Chair of NOKUT's Board, Norway

How University Evaluations are being innovated in Europe

Japan-Nordic Symposium: On the Frontier of University
Evaluation – Making the most of Nordic Successes

United Nations University
Tokyo 28 September 2006

Christian Thune
Executive director of the Danish Evaluation Institute

Structure of presentation

- European cooperation in quality assurance of higher education (ENQA)
- Cooperation between the Nordic agencies (NOQA)
- Quality assurance of higher education in Denmark (EVA).

1992 prospects for a European success (1)

The positive:

- As a rule government initiated and owned agencies
- Independency of agencies in choice of methods and processes
- Four stage model universally applied (independent agency, self-evaluations, site visit by experts, public report)
- Cyclical activities in most national systems
- Very positive attitude towards agency networking
- Strong back up from the EU Commission
- 1994-95 The European Pilot Projects.

3

1992 prospects for a European success (2)

The negative:

- Fragmented national approaches (goals and methods)
 - Western Europe: improvement oriented evaluations
 - Central/Eastern Europe: accountability oriented accreditations
- Considerable variance in professional capacity building
- Language and terminology problems
- General scepticism and mistrust from universities.

4

European quality assurance strategies by 2002

National agency in place in almost every European country

EVA survey for ENQA identifies five top approaches:

- Accreditation of programmes
- Evaluation of programmes
- Audit of institutions
- Evaluation of institutions
- Accreditation of institutions.

5

The Bologna Proces – challenge and catalyst

Bologna 1999 – Prague 2001 – Berlin 2003 – Bergen 2005 – London 2007

- Important themes: the transparency, compatibility, comparability and flexibility of European higher education
- Increasing focus on quality assurance of higher education
- Key stakeholders: universities, students, teachers, employers and society.

6

ENQA

- acronym of the European Association for Quality Assurance in Higher Education
- established in 1999
- today more than 42 member agencies
- first objective: to share and disseminate knowledge and best practice
- second (and increasingly important) objective: to fulfil a political role.

7

ENQA report on European standards

“Standards and Guidelines for Quality Assurance in the European Higher Education Area”

- submitted to the European Ministers of Education in Bergen in May 2005
- fully endorsed by ENQA members and partners
- standards and guidelines adopted by the European Ministers.

8

Results and recommendations

- Agreed European standards for internal and external quality assurance and for external QA agencies.
- The standards will be common reference points for HEIs and QA agencies.
- Obligatory cyclical review within five years for European QA agencies
- A European register of QA agencies will be developed.

9

Standards for higher education

Scope: The standards cover internal as well as external quality assurance of HEIs.

Target group: The standards are applicable to all HEIs in the Bologna signatory states

Purpose:

- to improve the higher education available to students in the EHEA
- to assist HEIs in managing and enhancing their own quality
- to form a background for QA agencies in their work.

10

Standards for internal quality assurance

- Policy and procedures for quality assurance
- Approval, monitoring and periodic review of programmes and awards
- Assessment of students
- Quality assurance of teaching staff
- Learning resources and student support
- Information systems
- Public information.

11

Standards for external quality assurance

- Use of internal quality assurance procedures
- Development of external quality assurance processes
- Criteria for decisions
- Processes fit for purpose
- Reporting
- Follow-up procedures
- Periodic reviews
- System-wide analyses.

12

Standards for external QA agencies

Background: The growing numbers of European external QA agencies and of operators from outside Europe

Target group: External quality assurance agencies operating in one or more Bologna signatory states.

Purpose: To make the professionalism, credibility and integrity of the agencies visible, transparent and comparable

13

Standards for external QA agencies

- Use of external quality assurance procedures for higher education
- Official status
- Activities
- Resources
- Mission statement
- Independence
- External quality assurance criteria and processes used by the agencies
- Accountability procedures.

14

The European Register of QA agencies

- Bergen mandate
- Purpose
- Users
- Scope
- The European Register Committee
- Time schedule.

15

Main challenges for success

- The willingness of governments, HEIs and the QA agencies to implement the European standards
- The balance between national subsidiarity as a central principle and overall European constructions
- The different interests and goals between governments, agencies, HEIs, students and other stakeholders
- The risk that the register develops into a political rather than professional instrument.

16

The Nordic Quality Assurance Network in Higher Education (NOQA)

- Annually meetings since 1992
- Officially established in 2003
- Regional network under ENQA
- Low level of formalisation
- No substantial links to the Nordic political processes.

17

Indications for Nordic networking

Positive:

- All agencies national and government initiated
- Shared culture and tradition for Nordic cooperation
- Universities generally positive towards quality assurance
- Shared Scandinavian language
- Combinations of accountability and improvement oriented approaches
- Shared methods: Evaluation – Audit – Accreditation.

Negative:

- Still very individual approaches to agency mandates by the Nordic governments.

18

Nordic agencies' main methods of quality assurance

Evaluation

- Review of the quality of a programme or institution with a focus on input, output and processes.

Audit

- Review of the quality culture and internal quality assurance of a university.

Accreditation

- Review of the extent to which an institution or a programme fulfils predefined standards and resulting in a formal decision 'yes' or 'no' on compliance.

19

NOQA activities

- Annual conferences
- Annual joint projects 2001-06:
 - o "Quality Assurance in the Nordic Higher Education – Accreditation-like practices"
 - o "A Method for Mutual Recognition of QA agencies"
 - o "Student involvement in Nordic Quality Assessments of Higher Education"
 - o "Systematic Quality Work in Nordic HEIs"
 - o "European Standards and Guidelines in a Nordic Perspective"
 - o "Audit as a concept and method".

20

NOQA results

- Staff Exchanges
- Consultation and clearing mechanism for external experts
- Joint ENQA reports
- Strong element in ENQA developments and policies.

21

Challenges for further NOQA success

- Maintaining a Nordic dimension in the context of the European cooperation.
- Striking a balance between aims of increased Nordic cooperation and convergence on the one hand and recognition of national differences in policies for educational and quality assurance systems on the other.

22

External quality assurance of Danish higher education

1992-99 The Danish Evaluation Centre: Full cycle of reviews of programmes/subjects in higher education

1999 The Danish Evaluation Institute

- Established by an act of Parliament
- Covers the entire educational system from day care institutions to universities
- Is an independent institution under the Ministry of Education
- Has a Board of directors with the right of initiative
- Has a staff of 75.

23

EVA's aims and tasks

- Develop and improve evaluation methods.
- Develop and render visible the quality of education and teaching through systematic evaluation.
- Advice and cooperate with public authorities and educational establishments.
- Collect national and international experiences on educational evaluation as a national knowledge centre.

24

First phase: 2000-2003

- Selected follow-up on the Evaluation Centre's programme reviews of higher education
- Thematic reviews
- Cross-sector reviews
- Cross-national reviews
- International bench markings
- Audits
- Accreditations
- Revenue generating activities.

25

Second phase: 2004-2006

- Audits at university level (12 institutions)
 - from national/Nordic panels to international panels
 - from open format to European standards.
- Selective, criteria based reviews of university programmes
- Accreditation of medium-cycle higher education
 - programme level (20 programmes at 70 institutions)
 - institutional level (18).

26

Key challenges for Danish success

- Managing the comprehensive mandate (problem of coverage)
- Balance between improvement and accountability
- Balance between institutional and programme level
- Landing safely in the bureaucratic infighting between Ministry of Education and Ministry of Science
- Increase in profit generating activities
- Setting the information strategy towards respectively the media, the authorities and the educational institutions
- Continuing compliance with the European Standards.

27

Links - further reading

- www.engq.net
- www.noqa.net
- www.eva.dk

28



Japan-Nordic Symposium:
On the Frontier of University Education
Tokyo 28 September 2006

"Nordic Success" - the case of Finland

Ossi Tuomi
Secretary General
FINHEEC
www.kka.fi

Korkeakoulujen arviointineuvosto – Rådet för utvärdering av högskolorna – The Finnish Higher Education Evaluation Council (FINHEEC)



FINHEEC's evaluations

- institutional evaluations (quality audits)
- programme evaluations
- education policy and other thematic evaluations
- evaluations focusing on centres of excellence (additional funding from MinEdu for those who do well)
- evaluation and accreditation of professional courses

Korkeakoulujen arviointineuvosto – Rådet för utvärdering av högskolorna – The Finnish Higher Education Evaluation Council (FINHEEC)

2



Enhancement-led evaluation as the premise for FINHEEC operations (1)

- The purpose of the evaluations organised by FINHEEC is to support the HEIs in their endeavour to improve the education they offer (*enhancement-led evaluation*).
- The objective is to produce information which the HEIs can use in developing their own operations.
- Another objective is to exchange and disseminate the good practices identified in evaluations among other HEIs.
- Not to ascertain minimum standards, no ranking lists.
- Public reports provide MinEdu and other stakeholders with information on the quality and QA of the HEIs.
- Reports include proposals for further development.
- HEIs have the ultimate responsibility to utilise and apply the evaluation outcome.



Enhancement-led evaluation as the premise for FINHEEC operations (2)

- Based on dialogue with HEIs
- HEIs have an option to have a say in evaluation policy and evaluation criteria
- To secure the trust of HEIs in evaluation
- Respect for the autonomy of the HEIs
- Peer reviews (external evaluators from HEIs and working life)
- Student involvement



FINHEEC's audit model

- The audit model described in the Audit Manual
http://www.kka.fi/pdf/julkaisut/KKA_406.pdf
 - is compatible with the national HEI tradition
 - respects the autonomy of HEIs
 - is compatible with the enhancement-led principle
 - is valid and credible by international standards
 - meets the requirements imposed by European development and its different dimensions
- One central premise is HEIs' own responsibility for the development of their QA as well as choice and implementation of procedures
- However, QA in HEIs must meet certain uniform requirements defined in the Audit Manual



Effects of the evaluations (1)

- Follow-up evaluations, questionnaires, follow-up seminars
- Ministry of Education utilises evaluation reports in discussions with HEIs on targets and results
- Evaluations used in the HEIs' strategy work, personnel meetings, joint seminars for personnel and students
- Proposals generally found to be useful
- Difficult to be sure of effectiveness:
 - other factors and interposing variables
 - FINHEEC has no decision-making power vis à vis the structural development of HEIs, the establishment or discontinuation of faculties, departments or degree programmes



Effects of the evaluations (2) Examples

Centres of excellence (teaching & learning, regional impact, adult education)

- improvement of teachers' pedagogical skills
- systematic training for teachers
- units for further development of teaching in HEIs
- status
- additional funding
- increased interest in regional development
- attention to lifelong learning
- quality audits: tool for educational policy & implementation of European standards
- => a positive, rewarding mode of guidance - and it works



Evaluation of Higher Education in Iceland improvement of education and research

Sólrun Jensdóttir
Director Department of Education
Ministry of Education, Science and Culture

1



Contents:

1. A few facts about Iceland
2. The Higher Education System
3. Development of Quality Assurance
4. The Bologna-process
5. OECD Thematic Review of Tertiary Education
6. New Law on Higher Education
 - Accreditation
 - Qualification Framework
 - Quality Assurance
 - Internal and external evaluation
7. The way forward- Conclusions

2



A few facts about Iceland

- Volcanic island in the North Atlantic
- Language Icelandic
- 103.000 sq km – 300.000 inhabitants
- 2.8 per sq km
- Life expectancy 79 men-83 women
- GDP per capita seventh highest in the world
- 2004 service sector 71.2%, industry 22.4%, agriculture 3.4%, fishing 3%

3



The Higher Education System

- First University 1911
- 7 Education Institutions-4 public, 3 private
- Student population increase
1996 – 9.564 2004 – 16.068
- Legal framework 1997
- Increased autonomy
- Secure basis for private institutions

4



Development of Quality Assurance

International co-operation, ENQA-NOQA

First provision

Supervision by the Ministry

Rules on internal and external evaluation

Objectives:

- raise quality of teaching
- improve organization
- promote responsibility
- ensure international competitiveness

Institutions set up quality assurance systems

Public description of the systems

5



External Quality Assurance

- Not a special agency
- Peer review groups 3-6 experts
- Self evaluation report
- Report by peers and response by institutions published
- External quality assurance can cover different units

6



The Bologna-process

- Iceland signed Bologna-declaration 1999
- Unproblematic introduction
- Emphasis on quality assurance
- European Standards and Guidelines
- National Qualification Framework

7



OECD Thematic Review

- 24 countries
- Japan and Iceland in both strands
- Visit of team of experts 2005
- Report published 22 August 2006
- Quality assurance discussed
- No accreditation mechanism
- Lack of quality assurance in research

8



New Law on Higher Education

- Into force 1 July 2006
- Strengthen system - improve quality
- International competitiveness
- Accreditation of Higher Education Institutions

9



Accreditation criteria

- Definition of role and policy
- Administration and organisation
- Organisation of teaching and research
- Personnel qualifications requirements
- Admission requirements, students rights and duties
- Working conditions
- Internal quality system
- National Qualification Framework-Learning outcomes
- Finances

10



Accreditation process

- Application to Minister
- Accreditation of a field of study (Frascati)
 - Natural Sciences
 - Engineering and Technology
 - Medical Sciences
 - Agricultural Sciences
 - Social Sciences
 - Humanities
- Independent expert committee
- Accreditation revoked if demands are not met

11



National Qualification Framework

- Has been issued by Minister
- Based on the Framework of Qualification for the European Higher Education Area
- Accepted by Ministers in Bergen 2003
- Systematic descriptions of degrees
- Learning outcomes
- Issued in Icelandic and English

12



Quality Assurance of Teaching and Research

- Based on ENQA's Standards and Guidelines
- Special process for research
- Objectives:
 - Ensure that accreditation requirements are met
 - The Qualification Framework respected
 - Enhance quality
 - Encourage responsibility
 - Ensure international competitiveness

13



Internal and External Evaluation

- Carried out regularly
- Responsibility of institutions and Minister
- Active participation of staff and students
- Three year plan for external evaluation
- Administration - the Office of Evaluation and Analysis
- Implemented by an independent agent
- Domestic and foreign experts

14



The way forward-Conclusions

- Accreditation of all institutions in place mid 2008
- Rules for external evaluations under preparation
- Adjustment to rapid changes
- Reasonably successful
- Increased effort in quality assurance

15



The way forward-Conclusions

- Full implementation of the new law will strengthen the position of Icelandic Higher Education Institutions and their competitiveness both in Europe and globally

16

Quality Assurance in Higher Education - the Norwegian Way

Tove Blytt Holmen

The Higher Education Institutions (HEIs) in Norway

- **42 state-owned institutions (6 full-scale universities, 5 specialized universities, 25 university colleges, 2 Academies of Fine Art and 4 military colleges). 70% of the students attend state-owned universities. No student fees are allowed.**
- **20 private colleges with financial support from the state (1 specialized university, 1 university college, 18 not accredited as institutions. 30% of the students attend private institutions for higher education. Student fee is required.**

The Quality Reform of Higher Education

- Change in governance at the institutional level
- Increased institutional autonomy
- New funding formula for the institutions
- NOKUT – The Norwegian Agency for Quality Assurance in Education
- New degree structure
- New forms of student guidance, evaluation and assessment
- New financial support to students
- Internationalisation



13

Governance at the Institutional Level

- The Board of each state-owned HEI will consist of eleven members: four academic representatives, one representative from the technical and administrative staff, two student representatives, four external members appointed by the Ministry
- Student representatives should have at least 20% of the seats, two seats at the minimum, in all executive bodies of the institution
- For a private institution the Board shall be composed by at least five members and have representatives from the students and staff. If the Board has more than ten members, the groups representing students and staff shall have at least two members.



14

Institutional Autonomy

	Universities	Specialised universities	Accredited university colleges	Non-accredited
PhD.				
Master				
Bachelor				



Power to establish any study programme (BA, MA, PhD)



Power is limited. The institution can not offer study programmes in the field without accreditation and a final decision by The Ministry of Education.

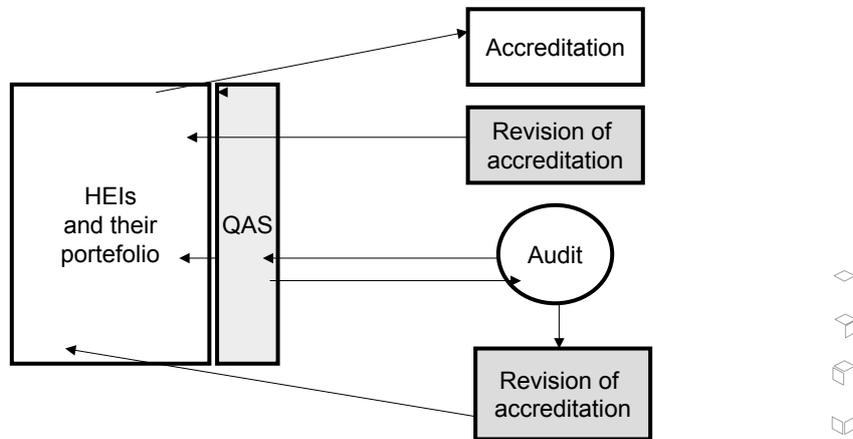
15

NOKUT - Mandate

- Evaluation of institutional quality assurance systems (institutional audits)
- Initial accreditation of higher education institutions
- Initial accreditation of course provisions (HE)
- Revisions of accreditations
- Evaluations for enhancement purposes
- Approval of shorter, vocational education (tertiary, but not HE)
- Recognition of foreign education

16

The Norwegian Model of Quality Assurance



17

Tumble-stones

- Division of labour and responsibility between NOKUT and the Ministry: NOKUT conducts what should be reliable, independent academic assessments. The Ministry is the owner and political instans.
- **The Ministry may not instruct NOKUT in excess of what is authorized by statute or laid down by the Ministry in regulations, and may not revise accreditations judgements by turning them from No to Yes.**
- HEIs have been heard when designing models for quality assurance, standards and criteria
- **All evaluations conducted by NOKUT are public and NOKUT shall make efforts to ensure that they are made known to the public.**

18

When quality fails

- If NOKUT finds that an institution no longer fulfils the conditions for accreditation, the institution shall be allowed a limited time implement necessary measures.
- NOKUTs decision to withdraw accreditation of a study programme shall be sent to the institution concerned with a copy to the Ministry. The institution shall withdraw the study programme immediately.



Appeals

- NOKUTs decisions - other than the judgements done by the external panels - can be appealed to an appeals board appointed by the Ministry.



Programme accreditation; standards and criteria

Universities and university colleges shall promote the purpose of the Act by providing higher education on the basis of the foremost within research, academic and artistic development work and empirical knowledge

- Curriculum
- Staff
- Internationalisation
- Infrastructure
- Quality assurance



| 11

Criteria

- Fairly detailed, but gives the experts room for qualitative judgements
- All criteria have to be met at a certain minimum level



| 12

The Quality Reform

There were two main reasons for the Reform:

- to achieve improved quality in higher education and research
- The Bologna Process and Norway's obligations in this respect

Years of cooperation between the parties:

HEIs, NOKUT and the Ministry

show that we are moving in the right direction



Nordic success – the case of Sweden

Staffan Wahlén
Swedish National Agency for Higher
Education

Background

- 340 000 undergraduate students
- 25 000 postgraduate students
- 14 state universities
- 3 semi-private institutions
- 22 universities including 7 colleges of visual and performing art

Degrees

- 3 year Bachelor's degree
- 1 year Master's degree
- 4 year PhD
- Bologna 3-2-3 (3-1-4)

Objectives

- Assurance (control; accreditation)
 - Growth of higher education; 50 per cent goal
- Enhancement
- Information – no ranking or league tables

Ingredients

- Accreditation (1992 -)
- Institutional quality audit (1995 – 2002)
- Subject and programme review (2001 -)
- Thematic evaluations

Accreditation

- Accreditation for master's degrees
(including Bologna masters)
- Accreditation for professional degrees
- Accreditation for attaining university status

Institutional quality audit

- Main goal – enhancement
- Review of institutional quality work
- Self-evaluation – peer review – site visit – public report – follow-up

Quality audit II

- Aspects considered (among others)
 - Academic leadership
 - Cooperation with stakeholders
 - Active participation of staff
 - Integration of quality work
 - Evaluation and follow-up activities
 - Internationalisation
 - Gender equality

Subject and programme review

- Evaluation of all subjects and programmes leading to a degree (1700 reviews)
- Six-year cycle
- Peer review with site visit, public report, feedback and follow-up (900 peers)
- Decision by the Agency (“accreditation”)

Subject and programme review II

- Aspects considered
 - Prerequisites (resources and teacher qualifications, library, laboratories etc)
 - Objectives and organisation
 - Teaching and examination methods
 - Theses
 - Completion rates

Thematic quality audits

How do universities deal with

- Internationalisation
- Co-operation with society
- Student influence
- Gender equality
- Student support?

Specificities

- Student involvement (including PhD students) as assessors
- A complete national picture of subjects and programmes
- Sanctions
- The inclusion of PhD programmes
- Systematic follow-up

Impact of quality audit

- Improvement of university leadership and strategies for quality assurance
- Improvement of student influence
- Improvement of co-operation with stakeholders (industry, employers etc.)
- Difficult to ascertain the impact of quality work on provision

Impact of programme and subject review

- About 10 per cent of programmes have been questioned, only one has been revoked
- Improved teaching staff development and qualifications
- Co-operation, specialisation, concentration
- Teacher education – changes in Higher Education Ordinance, changes in organisation and teaching staff, changes in syllabi, course material and examination.

To practise what you teach

- Quality assurance of agency activities:
 - continuous internal monitoring
 - annual analytical summary
 - feedback from various actors
 - external monitoring and review

New model

- HEI internal systems for QA and enhancement
- A small number of subject and programme evaluations based on monitoring data
- Thematic evaluations (study guidance etc)
- Excellence in teaching and learning
- Review of the right to award degrees



Impact of University Evaluation on Educational and Research Quality

Tisato Kajiyama, D. Eng., Ph. D.
President of Kyushu University
Vice President for The Japan Association of
National Universities

1



Overview

1. Evaluation for national university corporations
2. Experience at Kyushu University
3. Suggestion for university evaluation on educational and research quality

2

1. Evaluation for national university corporations

1) New problems of universities and competitive environment

- Knowledge-based society : change in the role of universities and diversification of social needs to university
- Universal higher education: rising university advancement ratio
- Efficiency of university finance: budget cuts and staff reduction

3

1. Evaluation for national university corporations

2) Expected actions for universities

- Diversification of university function
- Quality assurance of higher education and need to ensure the international validity of Japanese universities
- Efficient and stable university management

4

1. Evaluation for national university corporations

3) Structural reform of national universities: From national university to national university corporation

- Planning for the midterm and its evaluation
- Top management by the president
- Enhancement of education and research at university: 21st Century COE Program targeted support for creating world-level research and education bases

5

1. Evaluation for national university corporations

4) Partial conclusions of Chapter 1

Universities

- conduct proper self-evaluation / self-study.
- make the most of evaluation system among ones.
- should enhance own educational and research activities



Accountability and Improvement

6

2. Experience at Kyushu University

1) Change of attitude



- The faculty and staff recognition the importance of our education and research objectives by evaluation.
- Kyushu University establishes the self-evaluation system for the sake of the realization of our objectives and quality assurance.

7

2. Experience at Kyushu University

2) Engines to reform university and school culture

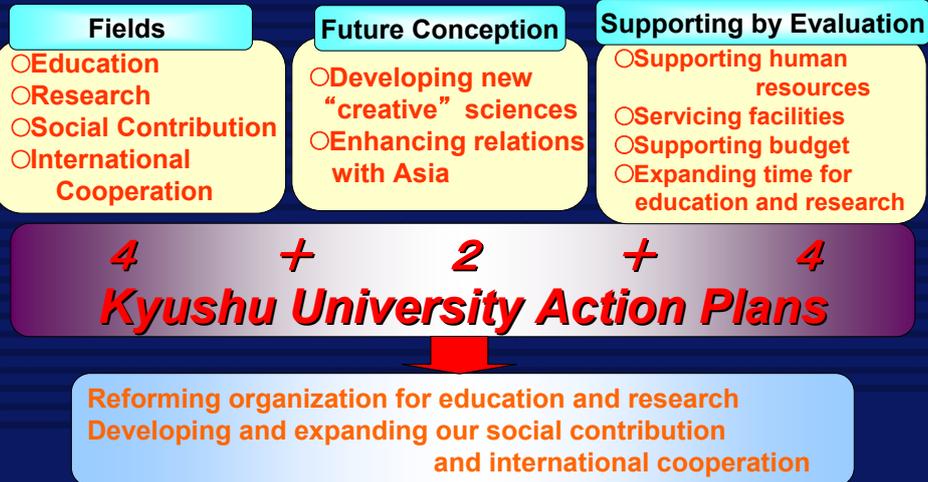
- Education Charter and Research Charter
- Midterm strategic plan
- 4+2+4 Kyushu University Action Plans: research fund assistance for excellent researcher, establishment of COE

8



2. Experience at Kyushu University

3) Scheme of 4+2+4 Kyushu University Action Plans



2. Experience at Kyushu University

4) New centers: Realization of 4+2+4 Kyushu University Action Plans

Developing new “creative” sciences / Enhancing relations with Asia

- Kyushu University Asia Center
- System LSI Research Center
- Center for Future Chemistry
- Bio-Architecture Center
- Digital Medicine Initiative



2. Experience at Kyushu University

5) Super-star program

Realization of 4+2+4 Kyushu University Action Plans
to individual researchers

Category

- 21st COE
- Senior
- Junior
- women faculty

11



2. Experience at Kyushu University

6) The 21st Century Program

What is the 21st Program?

⇒ Fostering “highly qualified generalists with well-educated specific skills”

Kyushu’s Original Selective
Examination

⇒ Original selection without taking the examination
by the National Center for University Entrance Examination

First Exam. : Listening to three lectures and writing reports

Secondary Exam : Debate ⇒ Short thesis ⇒ Interview

Kyushu’s Original Education Program

⇒ not belonging to any faculty but deciding their majors through
activities

Intensive General Education and Language Training

Tutorial System

Visiting lecturers in various fields

2. Experience at Kyushu University

7) Some cases to reform university and school culture

- Every five years evaluation and every ten years reorganization
- Vision for departments and leadership of dean
- Institute of higher education
- Faculty and staff evaluation
- Data collecting and analysis of university activities: Institutional Research

13

3. Suggestion for university evaluation on educational and research quality: Aims

- Turn a result of evaluation into a genuine improvement
- Acquire the university-wide perspective and execute a plan
- Ensure better accountability and greater transparency

14

Appendix



Public expenditure on education as a percentage of GDP

	2003		1995
	Tertiary education	All levels of education combined	All levels of education combined
Denmark	2.5	8.3	7.7
Iceland	1.4	7.8	m
Norway	2.3	7.6	7.4
Sweden	2.2	7.5	7.2
Finland	2.1	6.5	6.8
France	1.2	5.9	m
United States	1.5	5.7	m
United Kingdom	1.1	5.4	5.2
Australia	1.1	4.8	5.0
Germany	1.2	4.7	4.6
Korea	0.6	4.6	m
Japan	0.6	3.7	3.6
OECD average	1.3	5.5	5.3

Source: OECD, "Education at a Glance 2006"
 Web <<http://www.oecd.org/>>

Some remarks on the university evaluation from a viewpoint of private universities

Norikazu Kudo
Keio University
At Japan-Nordic
Symposium
28/9/06

A flood of evaluations? Getting tired of evaluation?

- Internal inspection and evaluation (1991-)
- External evaluation
- Evaluation by certified organisations (2004-)
- Funding or subsidising by evaluation (over 20% of governmental spending for higher education)

Venture to make brief comments on this kind of situation as a member of private universities.

This does not represent opinions of private universities as a whole.

2

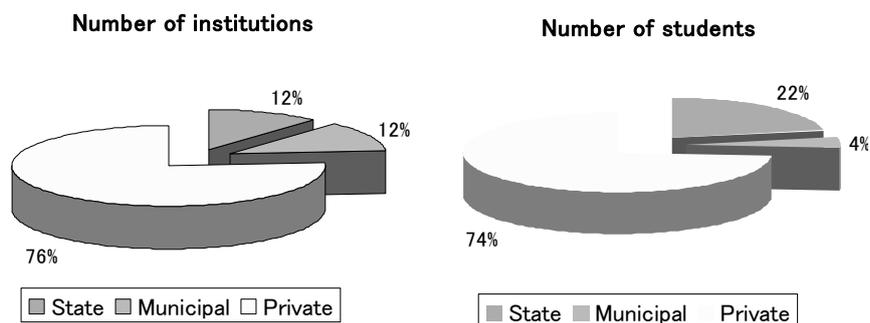
About private universities (1)

Tradition of thinking somewhat peculiar to Japan: Distinguishing (not classifying) universities and colleges by their funding systems.

- Governmental (State)
- Municipal governmental
- Private

3

About private universities (2)



Excluding junior colleges

As of 1 May 2006

4

About private universities (3)

Contributing to the society and the public welfare through their education and research activities.

Educated people's contribution to the society.



Private activities in the public sphere.

5

About private universities (4)

Mainly financed by private sectors: tuition, donations, revenue from the fund, and business activities.

Subsidies from the government: c. 10%



The only way to continue their service to the society is to be supported by the public. How to persuade the people is the crucial matter.

6

About Keio University (1)



- Founded in 1858 by intellectual leader and visionary Yukichi Fukuzawa
- One of the oldest private universities in Japan
The 150th anniversary in 2008
- Comprehensive educational system (primary through graduate level)
- Media Centres on all campuses house more than 3.7 million books and publications

7

About Keio University (2)

- 7 campuses
 - Japan: Mita, Hiyoshi, Yagami, Shinanomachi, Shonan-Fujisawa (SFC)
 - Abroad: Keio Academy of New York (USA)
- 9 undergraduate faculties; 11 graduate schools
 - Keio Business School (KBS) ranked number one in the country
 - 2005: Establishment of Graduate School of Health Management
 - 2004: Establishment of professional Law School
- 8 affiliated primary, junior and senior high schools
- 3 overseas offices (USA, UK, Korea)

8

About Keio University (3) Faculty & Students (May 2005)

■ 3,600 Faculty and Staff Members

Professors	718
Associate Professors	342
Assistant Professors	270
Instructors	479
Administrators	1,798
Total	3,607

■ 32,000 Students

Undergraduate	27,971
Graduate (Masters)	2,712
Professional (Law School)	507
PhD	1,093
Total	32,283

9

About Keio University (4) Enrollment & Degrees Conferred

■ New Enrollments(2005)*

	Undergraduate	Graduate
from within Keio system**	1,424	1,220
from outside Keio system	5,054	502
Total	6,478	1,702

■ Degrees conferred(2004)

Undergraduate (Bachelor)	6,747
Graduate (Masters)	1,087
Graduate (PhD)	226

- * Correspondence school students not included
- ** 71% of Keio affiliated high school graduates are accepted into Keio undergraduate programs
- ** 97% of students who complete undergraduate degrees at Keio are accepted into one of the graduate schools

10

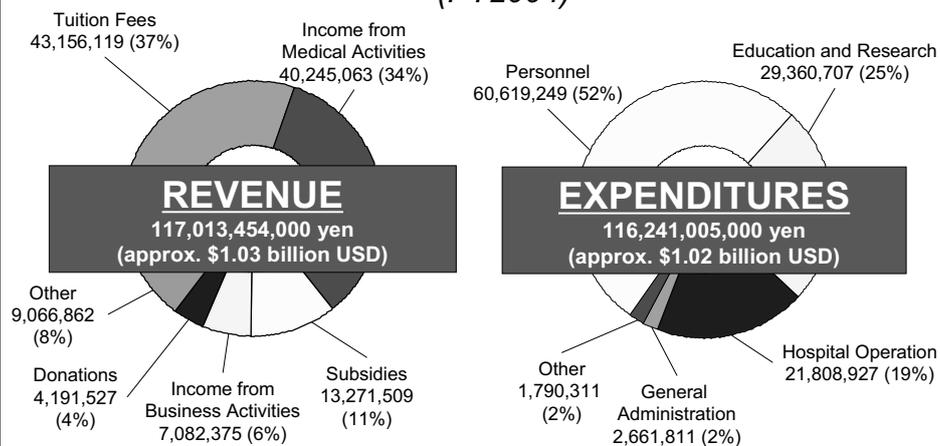
About Keio University (5) Finance

- FY2004 Cash flow statement
 - 169,014,940,000 yen (approximately \$1.5 billion USD)

- Credit Rating
 - Standards and Poors (USA): AA , stable outlook
 - Rating and Investment Information (Japan): AA+

11

About Keio University (6) Finance: Revenue & Expenditures (FY2004)



12

A basic understanding of the current environment for the higher education (1)

Fierce competition in the international market for the higher education.

- Saturated market in OECD countries.
- Penetration of transnational institutions into the rapidly growing market in Asia.
- Technological advance: e-Learning. OCW etc.
- Strength of English as an international language.



How to add an intellectual value to the educational power.

13

A basic understanding of the current environment for the higher education (2)

Competition in the domestic market.

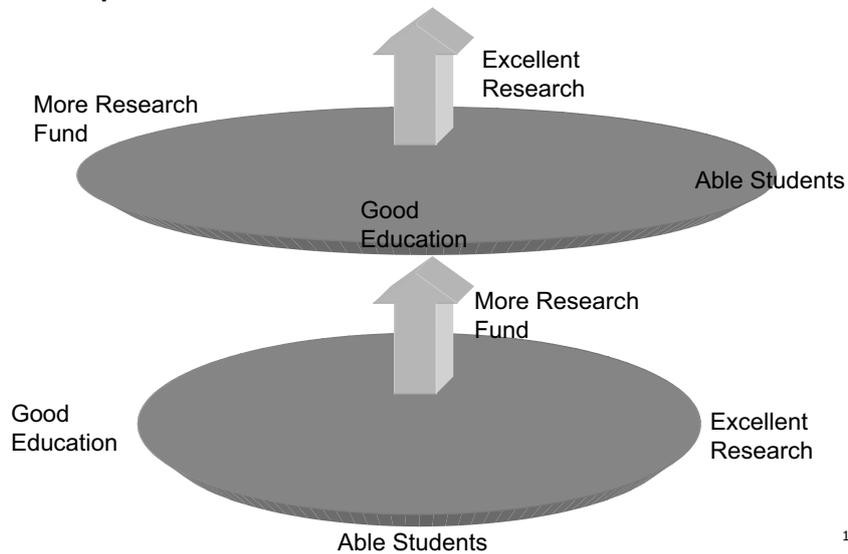
- Demographic change: Decrease in the 18-year-old population
- Diversification of demands for the higher education: multi ages and multi social backgrounds
- Proliferation of 'University' since the 1990s along with the relaxation of the regulations.
- Independent operation of state universities.
- Non-price competition – competition in the quality of education.



How to build up own strength.
How to find its own market.

14

Reform to survive and grow in the competitive environment.



15

To participate in the competition

- Quality assurance: variety with a comparable standard though variety is the vital part of private universities.
Bologna Process in Europe
UNESCO/OECD Guideline
Evaluation by certified organisations
- Transparency: To overcome unsymmetrical distribution of information, including financial information of the institution

Essential factors to be a player in the market.

16

Two aspects of evaluation

1. Valuable opportunity to demonstrate the strength of the institution esp., for private universities.
Strength in education: e.g.. Liberal arts education or Professional education?
Strength in research: e.g.. Science or Literature?
2. Evaluation as a starting point of reform.
Continuous effort to reform the education and research system is the most essential factor to remain in the market.

17

Evaluation as a starting point of reform Four stages of evaluation

1. Internal inspection and evaluation of achievements: Common knowledge about the current situation for all members.
2. External evaluation by external advisors: Objectify the internal evaluation.
3. Evaluation by the certified organisation: Commitment to the reform in public.
4. Actions for the reform.

18

A Case of Keio University (1)

No unified organisation for internal inspection and evaluation before 2003 though continuous inspection and evaluation had been made by various committees, departments and faculties.

e.g.,

Business School's external evaluation body.

SFC faculties as a forerunner in this field.

Keio Yearbook with a viewpoint of internal inspection.

Individual faculty reports and external advisors.

19

A Case of Keio University (2)

2003 All Keio Internal Inspection and Evaluation Committee was formed.

Discussion about the format and procedures.

2004 Inspection and evaluation work.

A *Provisional Report* was published.

External evaluation committee.

2005 Application for the certified evaluation to Japan University Accreditation Association with the final version of *the Report of Internal Evaluation*.

2006 Evaluation report by JUAA

Obtained the certified evaluation.

Feedback to individual faculties and to University education committee for the improvement of education.

20

A Case of Keio University (3)

JUAA's Evaluation Report for Keio University

- 98 merits such as vigorous initiative for internationalisation, positive actions for the promotion of research and so on.
- 34 demerits such as a lack of unified system for the evaluation of lectures by students and little effort for the faculty development and so on.
- No deficit indicated.

21

A Case of Keio University (4)

Feedback for improvement

- Efforts by each faculty – fundamental device.
- Efforts to establish a unified system of lecture evaluation by students and FD system by the University Education Committee: 9 of 34 demerits were concerning these matters. Learning from SFC's experience (a pioneer and the most advanced in this field in Japan).
- The 150th anniversary projects:
A structural reform programme for coming 10 years.

22

A Case of Keio University (5)

Several weak points detected during the process.

- Multi-versity syndrome? : Conflicts between the traditional autonomy of individual faculties and unified efforts as a university.
- Strength and weakness of Keio's fundamental idea: A spirit of 'Independence and Self-Respect' vs. tendency toward licence.
- A 'brand' university's fate? : A lack of 'a sense of crisis' in the rapidly changing environment.

23

A Case of Keio University (6)

- Necessity to overcome these problems through the persistent negotiations between faculties and the university headquarters for survival and growth in the highly competitive environment.
- Evaluation as a basic material for policy making: How to overcome the 'demerits', and How to develop 'the merits' further.
- Determined to become 'an advanced model of the university in the 21st century'.

24

For the future of private universities

University Evaluation

- Quality assurance and transparency to be a player in the market.
- Valuable opportunity for demonstrating their strength and persuading the society for their 'reason for being' to remain in the market.
- A starting point of reform to become a strong player in the market

25

Application of the Result of Evaluation in College of Technology

September 2006

Junko Kawamura

Institute of National Colleges of Technology, Japan

1

- I Features of colleges of technology as higher education institutions

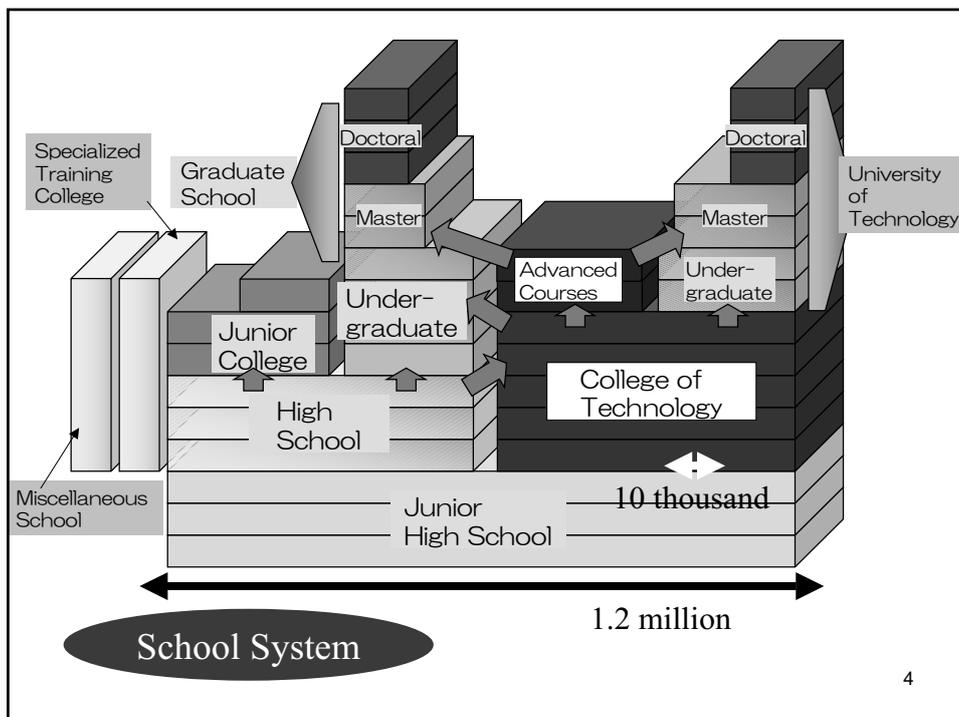
- II Evaluation in national colleges of technology and the application of the result

2

Establishment of Colleges of Technology

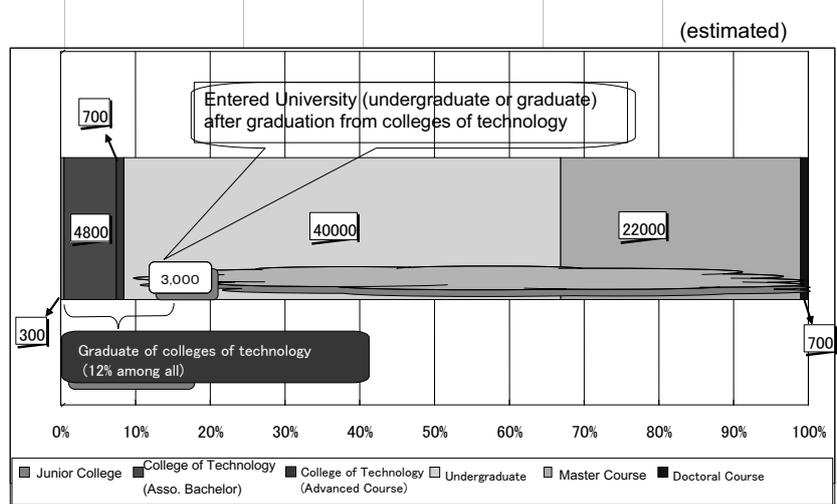
- Established in 1960's by strong request from the industrial sector to foster engineers who develop Japanese high economic growth (economic growth rate of Japan in 1960 was 12%).
- Designed as practical 5-year consistent higher education institutions which start educating from just the graduation of junior high school.
- Number of colleges: 55 National, 6 Municipal, 3 Private
In 2004, national colleges reformed as one national corporation; the Institute of National Colleges of Technology has established to manage the reformed national college.
- Approximately 300 thousands have graduated so far; graduates contribute mainly in the industrial sector, as engineers, researchers, managers, etc.

3



4

Ratio of graduates from colleges of technology among new engineers graduate from schools of engineering in 2005



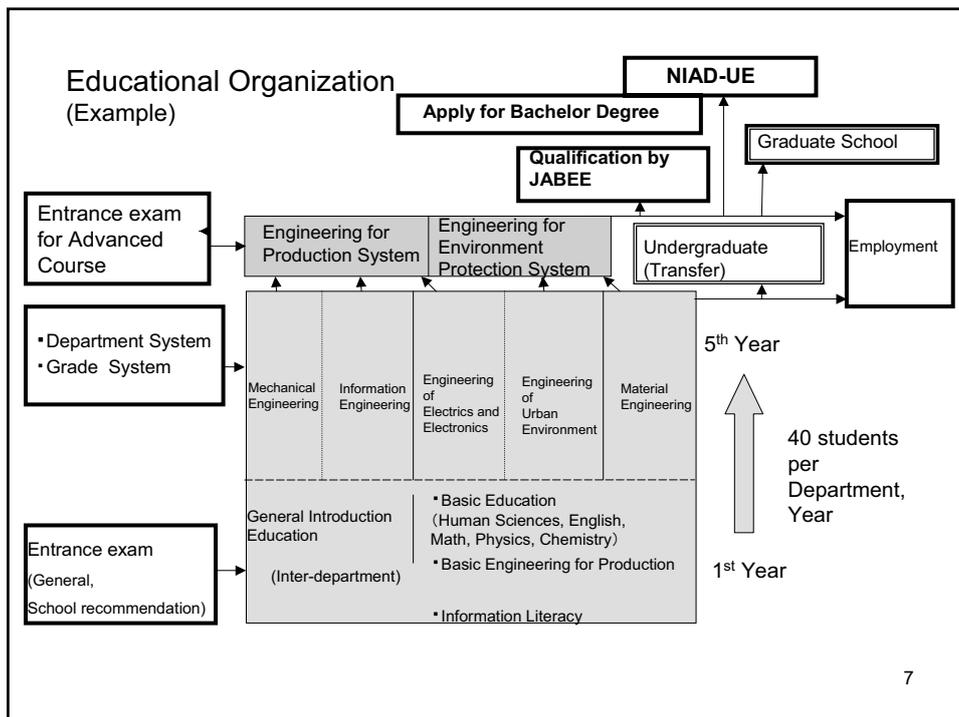
By Statistics of School Education (2005, MEXT); Graduates of Advanced Course, College of Technology was counted by the Institute of National Colleges of Technology

Engineers fostered in colleges of technology

Practical Engineer with high capacity who play a role in the industrial workplace consisted of interdisciplinary technological fields and develop the technology by originality and ingenuity

Each college has further concrete goals. For example:

- Engineers who follow the proper standard for engineers (such as independent acting), and have cooperativeness and leadership for group
- Engineers who have the capacity for cross-cultural understanding and communication
- Engineers who have distinguished basic achievement and special achievement (idea for production, skill for analogy, skill for structuring), and have the capacity for sustainable self-enrichment



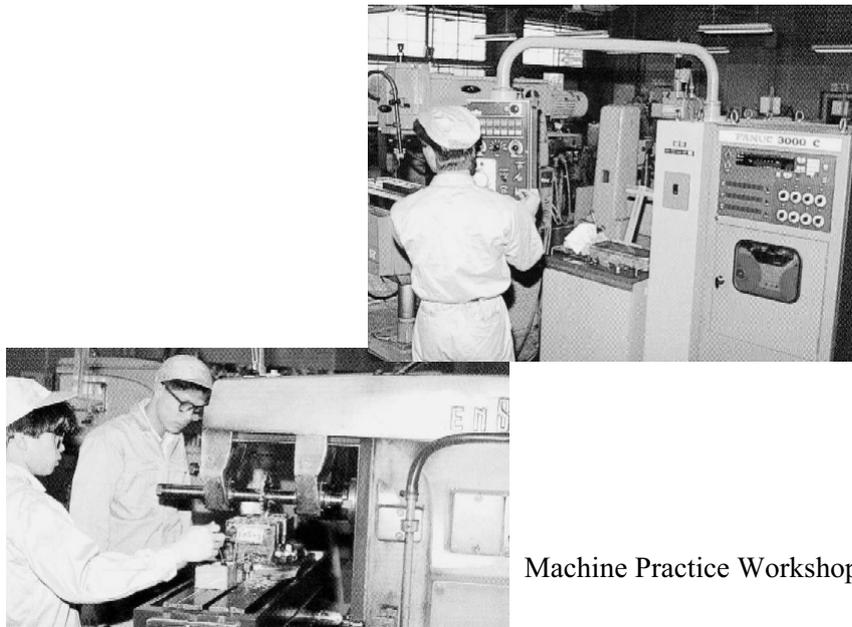
Feature of education in colleges of technology

- ✓ Engineer education of 5-year consistent from 15-year old
 - Curriculum carefully organized by grade, education for creativity based on the basic math, physics, etc and respected environments and exercises
- ✓ Internship by active cooperation with local industrial sector
- ✓ Living in a group in a dormitory
- ✓ Inter-college competition such as robot contest
- ✓ Ratio of job offer: 16 times of the total of graduates
(40% of graduates enter upper school (in 2006))



Basic Engineering for Production
(Department of Mechanical Engineering)

(Tokyo National College of Engineering)



Machine Practice Workshop

10



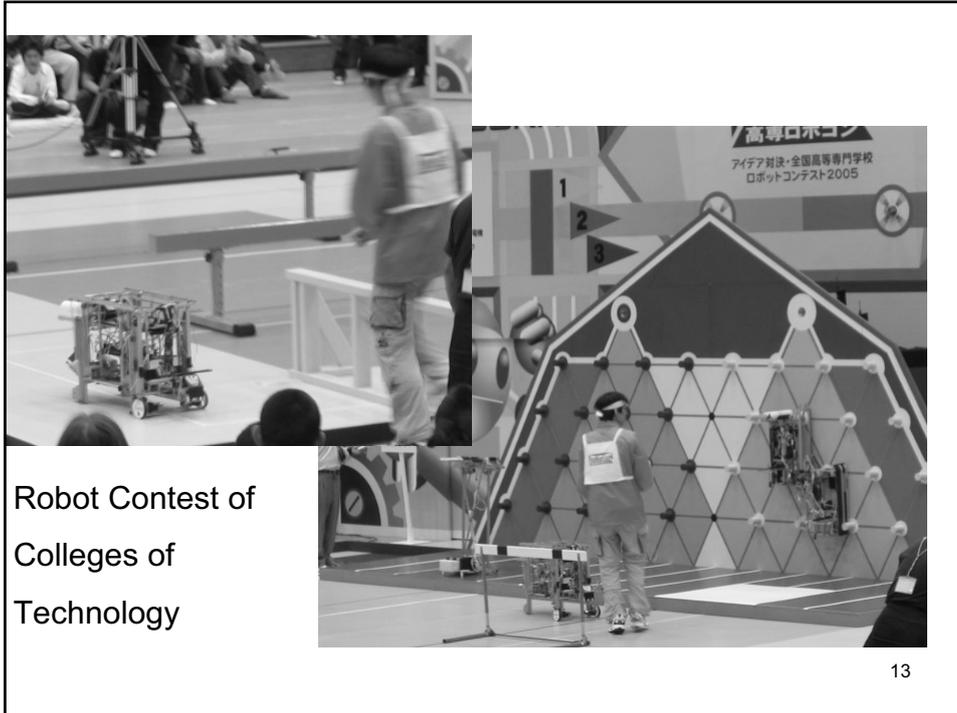
Basic Engineering for Production
(Department of Electrical Engineering)

(Tokyo National College of Technology)¹

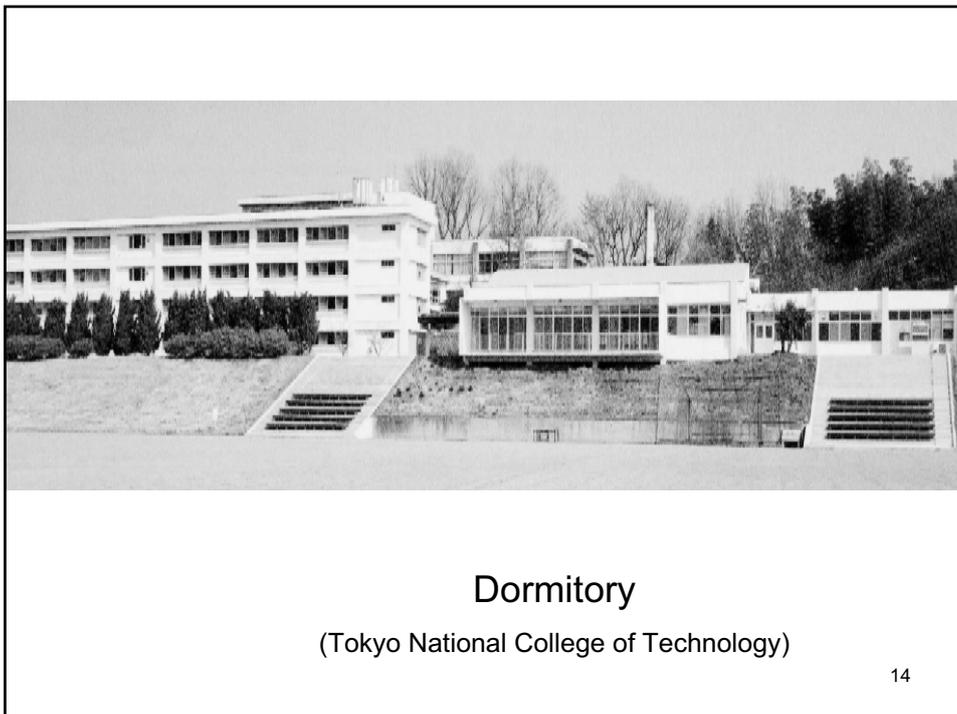


Basic Engineering for Production
(Department of Chemical Science
and Engineering)

(Tokyo National College of Technology) 12



Robot Contest of
Colleges of
Technology



Dormitory
(Tokyo National College of Technology)

Evaluation of colleges of technology and application of result

【Institutional evaluation for colleges of technology】

- Evaluation by NIAD-UE
- Program evaluation by JABEE (Japan Accreditation Board for Engineering Education)
- Part of the evaluation which evaluate the Institute of National Colleges of Technology

15

Evaluation by NIAD-UE

【Viewpoint】

To evaluate the whole activities of the college mainly focused on the educational activities for regular students

* e.g.: admission

“An admission policy in which required student qualifications and the basic policy of applicant selection are clearly provided according to the purpose of education is made public and disseminated.”

【Application of result】

- ❑ Through analyzing and reviewing the activities of the college, they can evaluate the adequacy of their current system and activities for achieving the goal in the viewpoint of legal standard, purpose of establishment of the college, etc.
- ❑ Through external evaluation, they know their strong points and weak points objectively, then they can make an improve plan and make more proper budget request to the government.
- ❑ All of national colleges of technology will have the evaluation in the first 3 years from the start of the new evaluation system. Through contributing the new system positively, the colleges of technology can show their attitude toward the accountability to the public.

16

Program evaluation by JABEE①

Advanced course
2nd year

Advanced course
1st year

5th year

4th year

3rd year

2nd year

1st year

Accreditation Institution :

JABEE (Japan Accreditation Board for Engineering Education).

Since last year, JABEE is a member of Washington Accord, under which the substantial equality of programs are recognized internationally (It is organized by members from 10 countries or regions).

Objective of the Accord: Engineering program of undergraduate level. In colleges of technologies in Japan, the program from the 4th or 3rd year of Asso. Bachelor degree course to the 2nd year of Advanced course.

17

Program evaluation by JABEE②

【Viewpoint】

To foster independent engineers ,and to assure the quality of education by considering the field graduates will belong to and demands from students and the public (demands from employers, global recognition)

* e.g. of standards: Recognition of effects of technology to the public and the nature ,and responsibility engineers have to the public (Ethics for engineers)

【Application of the result】

- ❑ Graduates who completed the accredited program are qualified to exemption of the 1st phase of the test for professional engineering by the notice by Ministry of MEXT (Education, Culture, Sports, Science and Technology); it gives the graduates motivation and proud as prospective engineers.
- ❑ Incentive for practical foreign language education and introductive education of ethics for engineers.
- ❑ Public recognition as education institution for engineers by evaluated by the same standards as other higher education institutions are evaluated.

18

Evaluation as a part of evaluation to the Institute of National Colleges of Technology

【Viewpoint】

Evaluation of mid-term plan to the Institute as an independent administrative institution

Achievement through 2004-2008 will be evaluated.

* examples of annual evaluation:

- maintaining the efficiency of entrance number
- improvement of entrance examination, advertisement to prospective students

【Application of result】

- ❑ Through collecting and publication of the examples of practice by the Institute, each colleges know good practices of other colleges.
- ❑ The Institute and colleges share the roles and cooperate with each other for improvement.
- ❑ Appeal the strong points of colleges to the public by getting a good results of evaluation.

19

Intention of evaluations

○Evaluation by NIAD-UE

⇒Assurance and improvement of proper educational organization and quality of education

○Program evaluation by JABEE

⇒Assurance and improvement of engineer education as education for special field

○Evaluation to the Institute of National Colleges of Technology

⇒Utilize the strong point that 55 colleges are managed by one institute

20

Challenges

- ✓ Preparation the database and making it common to deal with the tasks for evaluation by shorter time
- ✓ Assurance of communication and mutual recognition for keeping reliable relationship between evaluator and institution evaluated
- ✓ Active application of the result of evaluation and fostering evaluators

21

Contributions of university evaluation to society: University evaluation in Norway



By
Professor Roger K. Abrahamsen
Norwegian University of Life Sciences
Chairman of the Board of NOKUT



My introduction

- “Contributions of university evaluation to society”
- Questions asked by the organisers:
 - “Goal of university evaluation in the Nordic
 - How should the government, universities and quality assurance agency satisfy with the accountability of university evaluation
 - How should universities utilize the result of the evaluation for improvement”



Types of evaluations/assessments carried out by NOKUT

- Quality audit (evaluation of institutional quality assurance systems)
- Initial accreditations:
 - Institutional accreditation
 - Programme/course accreditation
- Revisions of accreditations
- Evaluations of significance to assessment of the quality of higher education



13

Evaluations and assessment carried out by NOKUT

- All evaluations and assessment are carried out by external committees or expert panels established by NOKUT. Only the secretary of the committee is a NOKUT officer.
- All reports from the committees and expert panels are public
- The reports are comprehensive and present basic information about the institution, a thorough evaluation spelled out in recommendations as well as more formal conclusions
 - The reports are very important tools for the institutions further work with quality aspects
 - The institutions normally express great satisfaction with the reports and often underline their practical usefulness
 - We have the understanding that the institutions pay considerable attention to the recommendations



14

Quality audit

- Institutions are required by law to have satisfactory internal quality systems
- The system will be assessed by NOKUT in periods of maximum six years
 - Institutional quality audits represent the systematic, comprehensive mechanism for external scrutiny of the quality of higher education
- The institutions themselves carry the responsibility for the quality of their own educational provision
 - To carry out robust *internal* quality assurance is in their own interest
 - The institutions have a good possibility to develop an institutional **quality culture**

| 5

Quality audit

- The institutions have the **freedom to** design their own quality assurance system within a given frame of reference
- External quality assessment:
 - Should assess whether the internal quality assurance works effectively and convincingly
 - Should not give detailed instruction as to **how** the internal quality assurance should be done
- The concept of **freedom** for the institution to design their own quality assurance system is supposed to foster a sense of **ownership and broad participation** among the institution's staff and students

| 6

Quality audits

- The purpose of the evaluation of the quality assurance system is to audit the quality assessments that the institution itself makes of its educational provision
- Quality audits cannot directly themselves lead to the loss of accreditation.
 - But could reveal indications of poor quality
 - NOKUT may follow up these indications by carry out revision of accreditations
 - The link between institutional quality audits and revisions of accreditations can be considered as a central pillar in the Norwegian system

17

Quality audits

- The quality assurance system should be used as an tool for the institution to pay continues attention to the improvement of their educational provisions
- The feedback to the students about actions for improvements is crucial.
 - Improve the confidence between the institution and the students
 - The students may pay an even more important role in developing the quality of the education when they see improvements
- The fact that the institutions have established, and are able to operate, a reliable quality system may be crucial for the trust and reliability expressed from the society to the Norwegian institutions for higher education

18

Initial accreditations: Institutional accreditation

- Accreditation of institutions is an instrument which make it possible to change institutional category
- NOKUT carry out institutional accreditation based on applications to change category
- The aim is to achieve academic expansion
- Through a process from being e.g. a university college with the ambition to getting the status of a university, there is need to increase the institution's competence and quality
 - This may:
 - Create a political will to allocate additional resources at the governmental level
 - Mobilize particular support from the regional or local politicians, society and industry
 - Increase the regional competence platform
 - Create regional innovation and new professional activities in the region



Initial accreditations: Programme/course accreditation

- Accreditation of programmes of study is an instrument to secure the standard of new programmes
- Accreditations are carried out by NOKUT when an institution applies for the accreditation of a new course or programme that the institution's status doesn't allow it to provide automatically
- Unaccredited institutions must undergo accreditation procedures for all new provision at all levels
- University colleges must do it for all new provision beyond the bachelor level
- Universities and special field universities (e.g. a school of veterinary science) possess full rights to award degrees at all levels without specific programme accreditation



Institutional Autonomy

	Universities	Specialised universities	Accredited university colleges	Non-accredited
PhD.				
Master				
Bachelor				



Power to establish any study programme (BA, MA, PhD)



Power is limited. The institution can not offer study programmes in the field without accreditation and a final decision by The Ministry of Education.

| 11

Initial accreditations: Programme/course accreditation

- In order to achieve governmental supported students loan, a study programme has to be accredited
- Accreditation of new programmes are an important prerequisite in the Bologna-process signed by the Norwegian government
- Accreditation may be considered as an important tool to achieve the national political and institutional goal to secure that the quality of higher Norwegian education is at a high international level
- It is considered important for the students to know that their study programme has been accredited
- Accreditation of new programmes establish an increased confidence to the institutions from the society

| 12

Revisions of accreditations

- Revision of accreditation of programmes of study
- Revision of accreditation of institutions
- Based on different indications, NOKUT may conduct an evaluation of an institution or a programme of study with a view to do revision of a previously granted accreditation. Such revision may result in withdrawal of the accreditation. The Ministry shall then withdraw the rights entailed by accreditation.
- Revision may be triggered by indications from the institutional audit of the quality assurance system or by other indications of inferior quality.
- Revisions may be carried out as random tests



Revisions of accreditations

- Accreditation is not a monitoring instrument only
- The reports from the expert panels contains recommendations on how the institutions could develop the quality beyond the minimum level
- The experience shows that the institutions follow up the expert's recommendations
- Accreditation is a strong instrument for obtaining the goal of continuous improvement of higher education
- The decision to revoke the accreditation of a programme or institution will obviously create a considerable set of activities in order to retain the quality necessary for accreditation



Evaluations of significance to assessment of the quality of higher education

- NOKUT may decide to conduct other types of evaluations that are considered useful from the perspective of increasing knowledge about quality in Norwegian higher education.
- Also the Ministry may instruct NOKUT to carry out such evaluations
- In these evaluations NOKUT will no longer have quality control as an objective. The relation to the evaluated institutions changes correspondingly.
- When the object is exclusively “to learn more”, participating institutions become NOKUTs project partners



Evaluations of significance to assessment of the quality of higher education

- Important source of information for the Ministry and for the institutions in their decision making and allocation of resources for improvement of higher education.
- May indicate to NOKUT if a revision of accreditation of a program or institution is necessary or relevant.



Challenges and further development of the system of quality assurance in higher education

- Based on the information given concerning the links between the various elements in the Norwegian system for quality assurance of higher education it can be concluded that it is **an integrated system**
- One of the strengths of the Norwegian system for quality assurance in higher education is the balance between internal and external quality assurance with focus on the institutions' responsibility for the quality on their provisions.
- This balance, combined with confidence in the institutions, also make the system resource effective



| 17

Challenges and further development of the system of quality assurance in higher education

- Besides getting more out of the existing system by improving processes and procedures and following up other challenging issues, the following steps could be taken:
 - Systematize the accreditation instruments more; criteria and procedures
 - Reserve evaluations of significance for assessment of quality of higher education, primary to thematic evaluations, covering specific aspects across the institutional spectrum
 - Give higher priority to work with the examination of the effects of the different instruments on the aims and objectives
 - Achieve more knowledge on the effectiveness of the different methods used and how to reduce the cost in quality work without reducing the quality



| 18

Some general conclusions

- The various types of evaluations of the quality assurance system in higher education creates an increased focus on quality development in higher education
 - Important for the country as such
 - Important for the students
 - Important for the institutions
- A comprehensive quality assurance system and the evaluation tools used creates:
 - Increased confidence between the society and the institutions
 - Better contact between the society and the institutions
 - Better contact between the industry and the institutions
 - A better platform for decision making for allocation of resources both at the institutional and governmental level
 - A better platform for other political decisions
 - An increased possibility for internationalisation within higher education
- The lack of an appropriate national quality assurance system in higher education will result in a loss of confidence in the modern society, among students and among politicians



National Institution for Academic Degrees and University Evaluation (NIAD-UE)

Japan-Nordic Symposium

On the Frontier of University Evaluation

- Making the Most of Nordic Successes -

August 2007

Editing, Publishing

National Institution for Academic Degrees and University Evaluation (NIAD-UE)

1-29-1, Gakuen-Nishimachi, Kodaira, Tokyo 187-8587, Japan

TEL: +81-42-353-1500