

The Third-Party Evaluation Final Report

**United Nations University Institute for
the Advanced Study of Sustainability**

March 2015

National Institution for Academic Degrees
and University Evaluation

Disclaimer: This document has been translated by NIAD-UE from the Third-Party Evaluation Final Report in Japanese published by NIAD-UE. In the case where any discrepancy between this document and the original Japanese document is found, the latter will prevail.

Contents

- About this evaluation 1

- I The Third-Party Evaluation results 3

- II Evaluation by standard 4
 - Standard 1 Mission of the University 4
 - Standard 2 Teaching and Research Structure 6
 - Standard 3 Academic Staff and Teaching Supporting Staff 8
 - Standard 4 Student Admissions 11
 - Standard 5 Academic Programs 14
 - Standard 6 Learning Outcomes 20
 - Standard 7 Facilities and Student Supports 22
 - Standard 8 Internal Quality Assurance System for Teaching and Learning 26
 - Standard 9 Finance and Management 29
 - Standard 10 Public Information on Teaching and Learning 33

About this evaluation

I Purpose

In order to maintain and enhance the quality of higher education and research at universities in Japan and contribute to the development of their individuality and diversity, the National Institution for Academic Degrees and University Evaluation (NIAD-UE) conducts the Third-Party Evaluation for the following purposes:

- (a) To assure the quality of education, research and other activities of universities by evaluating the institutions in accordance with the Standards for Evaluation and Accreditation set by NIAD-UE (hereafter referred to as “the Standards”);
- (b) To contribute to improvement in the quality of education, research and other activities of universities by providing them with high quality evaluation reports; and
- (c) To encourage and assist universities to gain public understanding and support for their status as public institutions by clarifying and publishing the conditions of their education, research and other activities.

II Evaluation Schedule

May to June

Briefing

NIAD-UE outlines the framework and methods of the Third-Party Evaluation.

End of September

Application

NIAD-UE receives applications for evaluation from universities.

Academic year in which the evaluation process is conducted

June

Training programs for external evaluators

NIAD-UE conducts training programs for external evaluators as to the purpose, contents, methods, etc., of university evaluation.

End of June

Submission of the self-assessment report

Universities conduct a self-assessment and submit a report to NIAD-UE in accordance with the Guidelines for Self-Assessment.

July to January

Document analysis and site visit

The Subcommittees composed of highly trained external evaluators examine the self-assessment reports, go on site visits, and summarize their initial findings. The Committee reviews the summary and compiles a draft of the evaluation results.

End of January

Notification of the draft of results

NIAD-UE notifies the university of the draft prior to the finalization of the evaluation results.

February

Statement of objection(s)

The university may make remark(s)/objection(s) to the draft.



March

Finalization and publication of the evaluation results

After its panel examines the objection(s), the Committee finalizes the evaluation results. A final report of the results is compiled, sent to the university and its founder, and made public.

I The Third-Party Evaluation results

The United Nations University Institute for the Advanced Study of Sustainability meets the Standards for Evaluation and Accreditation set by NIAD-UE.

Good practices identified by the review committee include:

- A large number of applicants compared to the number of admitted students with a particularly high rate of admissions from developing countries;
- Credit exchange with Japanese universities including the International Christian University, and a joint diploma programme with the University of Tokyo Graduate Program in Sustainability Science Global Leadership Initiative, for the purpose of expanding study opportunities and enhancing educational research; and
- Sufficiently organized self-study environments, such as the study rooms for graduate school students as well as the international conference hall equipment and fixtures, library, ICT environment, and other facilities being provided to enable the students to engage in more constructive tasks.

Areas for improvement identified by the review committee include:

- The necessity of gaining opinions and ideas from past degree recipients, employers, and other parties to systematically assess learning outcomes; and
- The lack of a dispensary for maintaining the health of students and faculty members.

II Evaluation by standard

Standard 1 Mission of the University

- 1 – 1 The mission of the university (its basic policies for its education and research activities, the basic outcomes it aims to achieve, *etc.*) is to be clearly stipulated and be in accordance with the aim generally expected of university as stipulated in the School Education Law.

【Assessment Result】

Standard 1 is fulfilled.

(Grounds and Reasons for the Result)

- 1 – 1 – i The mission of the university (including the aim of the faculties, departments, program, *etc.*) is to be clearly stipulated in the bylaws in accordance with the generally expected aim stipulated in the Article 83 of the School Education Law.

The mission of the University is clearly stipulated in the Article 1 of the United Nations University Charter (which was adopted by the United Nations General Assembly) in the way that would contribute to the mission of the United Nations. The main contents are as follows:

1. The United Nations University shall be an international community of scholars, engaged in research, postgraduate training and dissemination of knowledge in furtherance of the purposes and principles of the Charter of the United Nations.
2. The University shall function under the joint sponsorship of the United Nations and the United Nations Educational, Scientific and Cultural Organization (hereinafter referred to as “UNESCO”), through a central programming and coordinating body and a network of research.
3. The University shall have as a central objective of its research and training centres and programmes the continuing growth of vigorous academic and scientific communities everywhere and particularly in the developing countries.
4. In its postgraduate training the University shall assist scholars, especially young scholars, to participate in research in order to increase their capability to contribute to the extension, application and diffusion of knowledge.
5. The University shall grant and confer master’s degrees and doctorates, diplomas, certificates and other academic distinctions under conditions laid down for that purpose in the statutes by the Council of the University.

The University was established by the United Nations, an international organization. Therefore it is not subject to the School Education Law, but the above contents are in accordance with the spirit of Article 83 of the School Education Law.

From these observations, it is concluded that the mission of the University is clearly stipulated and complies with the generally expected aims of universities.

- 1 – 1 – ii In the case where the university has one or more graduate schools, the mission of the graduate schools (including the mission of the graduate schools and programs) are to be clearly stipulated in the bylaws in accordance with the generally expected purposes stipulated in the Article 99 of the School Education Law.

The United Nations University Charter was revised in the United Nations General Assembly of 2009. The revision gave the University the authority to grant and confer master's degrees and doctorates, and this led to the establishment of the Institute for Sustainability and Peace (ISP) in September 2010, which awards the Master of Science in Sustainability, Development and Peace, and then the PhD in Sustainability Science was commenced in September 2012. This was then reorganized in January 2014 as the Institute for the Advanced Study of Sustainability (IAS).

The mission of the master's course is stipulated in the "UNU Rules Governing the United Nations University Master of Science in Sustainability" to encourage the academic growth of students in the field of sustainability as follows.

1. Provision of an academic education within the context of the specific educational concept and profile of the University;
2. Provision of in-depth knowledge and understanding tailored to the student's specific academic field of choice;
3. Provision of opportunities for practical experience and applied research;
4. Support for independent and scientific thinking and research, evidenced by, inter alia, the successful deposition and defence of a master's thesis;
5. Support for the further development of academic, analytical and communication skills;

The mission of the doctoral course is presented as follows on the internet website.

1. The PhD programme in Sustainability Science aims to produce scholars who will become key researchers in the field of sustainability science.
2. The programme takes an innovative approach to sustainability, seeking to promote a better understanding of the issues by incorporating global change perspectives, specifically those related to climate change and biodiversity.
3. Students undertake problem-oriented research, acquiring the quantitative and qualitative analytical research skills necessary to understand the underlying principles of various systems involved in sustainability issues and debates.

The new "UNU Rules Governing the United Nations University Master of Science in Sustainability" and the "UNU Rules Governing the United Nations University Doctor of Philosophy (PhD) in Sustainability Science" were enacted in September 2014, and both sets of the Rules present their missions respectively.

The mission of the graduate school is clearly stipulated as above and the contents are in accordance with the mission of the United Nations.

From these observations, it is concluded that, although the University is not subject to the School Education Law as it was established by the United Nations, an international organization, the above contents are in accordance with the generally expected spirit of the graduate schools which is stipulated in the Article 99 of the School Education Law.

With all the conclusions above considered, it is judged that Standard 1 is fulfilled.

Standard 2 Teaching and Research Structure

- 2 – 1 The basic organization for education and research (faculties and their departments, graduate schools and their programs and other organizations as well as the system for liberal education) is to be appropriate in terms of the mission of the university.
- 2 – 2 Management system for educational activities is to be appropriately implemented and effectively functioning.

【Assessment Result】

Standard 2 is fulfilled.

(Grounds and Reasons for the Result)

2 – 1 – i The organization of faculties and departments (plus other basic academic units, if any) is to be appropriate for achieving the education and research purposes of the undergraduate programs.

not applicable

2 – 1 – ii A system for liberal education is to be appropriately implemented and maintained.

not applicable

2 – 1 – iii The organization of graduate schools and programs (plus other basic academic units, if any) is to be appropriate for achieving the education and research purposes of the graduate schools.

The Institute is comprised of one graduate school to provide education and research focusing on sustainability and its social, economic, and environmental aspects in accordance with the mission of contributing to building a sustainable future through policy oriented research and training.

The programmes used to concentrate on the three research areas: Global Change and Sustainability, International Cooperation and Development, and Peace and Security, however, the research areas were reorganized into Sustainable Societies, Natural Capital and Biodiversity, and Global Change and Resilience in September 2014.

The students enjoy practical experiences through internship and fieldwork, taking advantage of the University's international networks of 16 University institutes and programmes, 13 partner organizations, United Nations organizations, *etc.* The students can also participate in international meetings, workshops, *etc.* and have many opportunities to meet leading scholars, researchers, and practitioners.

From these observations, it is concluded that the Institute and its programmes are organized appropriately for achieving their education and research purposes.

2 – 1 – iv The organization of advanced courses or special courses, is to be appropriate for achieving their education and research purposes.

not applicable

2 – 1 – v Affiliated organizations, education and research centres, *etc.* are to be appropriate for achieving their education and research purposes of the university.

The University has its own library. The Institute takes advantage of international networks that enable to do fieldwork and internships with UN agencies or other international organizations such as the Institute for Natural Resources in Africa (UNU-INRA) and the United Nations Office for the Coordination of Humanitarian Affairs (UN-OCHA) in accordance with its education and research purposes.

From these observations, it is concluded that the affiliated organizations, education and research centres, *etc.* are appropriate for achieving education and research purposes.

2 – 2 – i The faculty councils and other relevant committees are to function properly in deliberating important issues on educational activities. The committees in charge of discussing curricula and other educational issues are to be appropriately organized and conduct necessary activities.

The Institute has a Graduate Programme Committee (held approximately seven times a year) which is comprised of the Director of UNU-IAS, the Academic Programme Director and, the Administrative Director who assists the Director, and other faculty members. This Committee determines the basic principles for education and research to ensure that there is management and administration which allow the careful, swift, and smooth implementation of the Institute's programmes, and to deliberate and determine the practical content of education and research. The Graduate Programme Committee also deliberates and decides aspects regarding school affairs and student support, including semester schedule, conditions of student's learning and study, and provision of support for student life.

Under the Graduate Programme Committee, the Faculty Meeting (held approximately six times a year), comprised of the Senior Academic Programme Officers and other academic staff, is organized for the deliberation and review of the items related to the academic content of the Institute's education. It deliberates and reviews the basic content including curriculum, contents of the courses, internship, and academic calendar.

From these observations, it is concluded that each organization is conducting the necessary activities for performing education and research activities.

With all the conclusions above considered, it is judged that Standard 2 is fulfilled.

Standard 3 Academic Staff and Teaching Supporting Staff

- 3 – 1 Sufficient academic staff for educational activities are to be appropriately appointed.
- 3 – 2 Criteria for the employment, promotion, *etc.* of academic staff are to be clearly set forth and appropriately applied. The evaluation of academic staff in terms of their teaching, research and other activities is to be conducted on a regular basis for the purpose of ensuring that the quality of the staff is appropriately maintained.
- 3 – 3 The appointment of necessary education supporting staff and the deployment of academic assistants are to be appropriately carried out for educational activities.

【Assessment Result】

Standard 3 is fulfilled.

(Grounds and Reasons for the Result)

- 3 – 1 – i The academic staff are to be organized so that organizational coordination may be secured, with necessary duties appropriately assigned as well as with responsibilities for education and research explicitly ascribed to academic staff members.

The Institute conducts the education and research of sustainability studies in a specialized and comprehensive manner, and the academic staff with advanced expertise and diversity are organized appropriately in order to promote the interdisciplinary education and research of sustainability studies.

The academic staff conduct research and education in one of the three main academic areas: Sustainable Societies, Natural Capital and Biodiversity, and Global Change and Resilience. There is a Senior Academic Programme Officer responsible for each area, deciding personnel affairs and evaluating academic staff in the area.

From these observations, it is concluded that organizational coordination is secured through the appropriate assignment of duties to academic staff, and the academic staff are organized, explicitly ascribed with responsibilities for education and research.

- 3 – 1 – ii In undergraduate programs, sufficient academic staff are to be secured for educational activities. Additionally, classes which are considered essential are to be taught by full-time professors or associate professors.

not applicable

- 3 – 1 – iii In graduate programs, sufficient academic staff are to be secured for educational activities.

Twelve people are appointed to Research Supervisors and assistant research supervisors in the graduate programmes. The Institute's initial target at the time of establishment was for one academic staff member to supervise two master's degree students and one doctoral student in their thesis preparation.

From these observations, it is concluded that the necessary academic staff are secured for educational activities in the graduate programmes.

3 – 1 – iv Appropriate actions are to be taken to improve the activities of academic staff in accordance with the mission and the condition of the university.

The Institute recruits staff from all over the world to improve the activities of the academic staff. As a general rule, it adopts annual salary system with a two-year-term appointment, renewable up to six years contingent on the results of academic staff evaluation.

The main body of academic staff is comprised of researchers with a high degree of internationality, regardless of nationality, gender, or age, as well as with advanced expertise regarding education and research, to engage in efforts to resolve the pressing global problems of human survival, development, and welfare. Experts with the practical experience of implementing programmes in academic institutes or at international organizations have also been recruited to enhance the diversity and vibrancy of the Institute.

As of May 1, 2014, the gender composition of the 12 Research Supervisors was 10 men (83.3%) and two women (16.7%). The age composition was three in their thirties (25.0%), three in their forties (25.0%), two in their fifties (16.7%), and four in their sixties or over (33.3%). The geographical composition was two Europeans (16.7%) and 10 Asians (83.3%).

Although the University's "Strategic Plan 2011-2014" states that it "needs to make strong and concerted efforts to ensure gender balance," there is an imbalance in the male to female ratio. Nevertheless, the Institute is comprised of a small number of people, and considering its high fluidity, it is within the acceptable range.

From these observations, it is concluded that appropriate actions are taken to improve the activities of academic staff.

3 – 2 – i Criteria for the employment, promotion, *etc.* of academic staff are to be clearly set forth and appropriately applied. Additionally, their professional competencies for teaching in the case of undergraduate program and those for both teaching and supervising research in the case of graduate program are to be assessed.

The criteria for the employment of academic staff are clearly set forth in the Faculty Recruit Advertisement for international recruitment. The advertisement also clearly states that one of the duties that should be fulfilled by successful applicants is to contribute to the development of graduate school education and to the research projects promoted by the Institute. It also clearly states that applicants must meet requirements including a PhD degree, teaching experience for one year or more at an academic organization, practical experience at an international organization, command of English, and IT literacy.

In the recruiting and hiring process, applicants are reviewed by the Director of UNU-IAS, the Academic Programme Director, and the Senior Academic Programme Officers, and the final decision is made by the Rector. Furthermore, the Institute encourages women with the aforementioned qualifications to apply for employment.

The terms and conditions of employment including the criteria for the promotion of the academic staff are determined according to each individual contract.

From these observations, it is concluded that the criteria for the employment of academic staff to provide advanced teaching at the graduate school are clearly set forth and appropriately applied.

3 – 2 – ii The evaluation of academic staff in terms of their education, research and other activities is to be conducted on a regular basis. Appropriate actions are to be made based on the evaluation.

The evaluation of academic staff in terms of their education, research, and other activities is conducted by the Director of UNU-IAS, the Academic Programme Director, and the Senior Academic Programme Officers when the contract for the academic staff is to be renewed. The evaluation involves items including student evaluation results, contribution towards the research projects promoted by the Institute, teaching initiatives, involvement in administration on teaching and learning, and international contribution, and the final decision is made by the Rector.

From these observations, it is concluded that the evaluation of academic staff in terms of their education, research, and other activities is conducted on a regular basis, and appropriate actions are taken based on the evaluation.

3 – 3 – i The appointment of necessary education supporting staff, such as administrative and technical staff, are to be appropriately carried out for educational activities. Additionally, academic assistants, such as teaching assistants (TAs), are to be effectively deployed.

The Institute appoints five administrative staff, one student support staff, one technical staff for supporting the facilities or computer/networks, and three library staff.

The Institute recruits staff internationally, and it is clearly stated that an understanding of graduate school education, a bachelor's or higher degree in their field of study, work experience in the academic field, and fluency in Japanese and English are among the conditions of the application.

All library staff have master's degrees in the field of library and information science, and two of them have the Japanese certificate in librarianship.

From these observations, it is concluded that necessary education supporting staff, such as administrative and technical staff, are appointed appropriately.

With all the conclusions above considered, it is judged that Standard 3 is fulfilled.

Standard 4 Student Admissions

4 – 1 The admission policy is to be clearly defined. Student admissions procedures are to be appropriately conducted in accordance with the policy.

4 – 2 The number of entrants are to be appropriate relative to the admissions capacity.

【Assessment Result】

Standard 4 is fulfilled.

(Grounds and Reasons for the Result)

4 – 1 – i The admission policy is to be clearly defined.
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The University's basic objective is to train human resources to be capable of engaging in pressing issues of sustainability and climate change faced by the United Nations and its member states, with a broad understanding and outstanding problem-solving abilities, through an interdisciplinary approach across natural sciences, social sciences, and the humanities. To achieve this objective, the Institute defines its admission policy as follows:

Welcomed applicants:

- Applicants who have a keen interest in the pressing global issues on the UN agenda, and in particular those of sustainability.
- Applicants who have an aspiration to pursue a career in international fields in public service or private organizations, including the United Nations, multinational corporations and non-governmental organizations as well as research and academic institutions.
- Applicants who have the intention to proactively apply academic research findings to policy making.
- Applicants who have a strong desire to contribute to solving of problems concerning global environment through an interdisciplinary approach.

Expected graduate profile

- The graduates are expected to contribute to resolving global issues at international organizations such as the United Nations, government-affiliated organizations, international NGOs and civic groups, as well as research institutes and private companies, *etc.*

Regarding admission, the Application Guide Instructions to Applicants states that applicants are assessed based on their understanding of international issues, interest in research, command of English, *etc.* The Institute thus accepts students from a wide range of eligible applicants from bachelor's degree holders to practitioners all over the world.

From these observations, it is concluded that the admission policy is clearly defined.

4 – 1 – ii The student admissions procedures are to be appropriately conducted in accordance with the admission policy.

In order to accept a wide range of qualified applicants including bachelor's degree holders, professionals and practitioners, applications are only accepted via internet website.

The Institute asks applicants to submit application documents providing details of their educational background, reason for application, research plan, and personal achievements, as well as reference letters and other documents. After subsequent screening and interviews, students are selected based on a multi-faceted evaluation of their ability,

motivation, experience, *etc.* For example, the criteria for academic performance is set at GPA 3.5 or more, and for English competence, at 100 or more for TOEFL iBT, 600 or more for TOEFL PBT, and 7.0 or more for IELTS. Furthermore, since all lectures and dissertation preparations/reviews are provided in English, the application documents must be written in English and interviews are conducted in English.

From these observations, it is concluded that the student admissions procedures are conducted appropriately in accordance with the admission policy.

4 – 1 – iii The admissions procedures are to be fairly conducted by way of an appropriate system.

The Institute has a Board of Admissions and Exams, headed by the Director of UNU-IAS, to evaluate the applicant's aptitude, *etc.* for the graduate school programme, to protect the confidentiality of personal information, and to make swift decisions on acceptance of applicants. The Admission Office handles the administrative affairs regarding the entrance examinations.

The Graduate Programme Committee confirms eligibility for applicants, application forms, and other submission documents, and the Board of Admissions and Exams is established after the entrance examination schedule is determined. In the Board of Admissions and Exams, multiple members conduct the screening of the applicants by document and select the applicants to be interviewed. The individual interviews are conducted by multiple members, and for those applicants who have difficulty coming to Japan, individual interviews are conducted via the video conference system. The Board of Admission and Exams determines potential candidates for admission based on the results of the individual interviews. These results are then reported to and approved by the Graduate Programme Committee.

From these observations, it is concluded that the admissions procedures are fairly conducted by way of an appropriate system.

4 – 1 – iv The university is to implement procedures to verify conformance of the admissions procedures to the admission policy.

To accept students in conformance with the admission policy, the Board of Admissions and Exams verifies the admissions procedures, contents of applications, *etc.* each academic year. There has been a significantly greater number of applicants compared to the number of admitted students since the Institute was established in 2010. Furthermore, from the fact that the applicants include those with solid academic skills from regions all over the world, and those who are highly motivated in learning sustainability studies, it is understood that the verification results are proving instruments in improving the admissions procedures.

From these observations, it is concluded that initiatives are implemented to verify whether or not students are accepted according to the admission policy, and the results are used to improve the admissions procedures.

4 – 2 – i The number of entrants are not substantially to exceed or fall below the admission capacity. Were it the case, the university were to take action to narrow the gap between the number of entrants and the capacity so as to achieve an appropriate balance.

The Institute does not set a specific number for the capacity for enrolment, but at the Faculty Meeting, it has been agreed to accept 10 to 20 students in the master's course and about five students in the doctoral course.

The number of admitted students (applicants) for the master's course in 2014 was 7 (144), and the admitted students were all from developing countries. The numbers from each region are: Europe 0 (2), Asia 5 (29), Middle East 0 (19), Africa 1 (87), North America 0 (0), Latin America 1 (6), and Oceania 0 (1). The number of admitted students (applicants) for the doctoral course in 2014 was 3 (82). The numbers from each region are: Europe 0 (1), Asia 3 (25), Middle East 0 (10), Africa 0 (39), North America 0 (1), Latin America 0 (6), and Oceania 0 (0). Among them, 2 (78) were from developing countries.

The Institute selects students with high ability, motivation, and qualifications in accordance with the admission policy, and does so while securing a sufficiently organized structure for research and guidance and giving thought to student support including scholarships.

From these observations, it is concluded that entrants are accepted appropriately.

With all the conclusions above considered, it is judged that Standard 4 is fulfilled.

【Good practices】

- A large number of applicants compared to the number of admitted students, with a particularly high rate of admissions from developing countries.

Standard 5 Academic Programs

(Undergraduate Programs)

- 5 – 1 The policy for designing and implementing curricula is to be clearly defined and actually followed. The content and the quality of curricula are to be appropriate with respect to the type and field of degrees conferred.
- 5 – 2 Appropriate class methods, teaching methods, *etc.* are to be employed for curricula.
- 5 – 3 The degree awarding policy is to be clearly defined and put in effective practice with the assessment of academic achievements, recognition of credits, and graduation approval conducted in accordance with the policy.

(Graduate Programs (including Professional Degree Programs))

- 5 – 4 The policy for designing and implementing curricula is to be clearly defined and actually followed. The content and the quality of curricula are to be appropriate with respect to the type and field of degrees conferred.
- 5 – 5 Appropriate class methods, teaching methods, *etc.*, including those of research and thesis supervision, are to be employed for curricula.
- 5 – 6 The degree awarding policy is to be clearly defined and put in effective practice with the assessment of academic achievements, recognition of credits, and completion approval conducted in accordance with the policy.

【Assessment Result】

Standard 5 is fulfilled.

(Grounds and Reasons for the Result)

< Undergraduate Programs >

not applicable

< Graduate Programs >

5 – 4 – i The policy for designing and implementing curricula is to be clearly defined.

As the policy for designing and implementing curricula, the Institute defines the graduate school programme policy as follows:

“This master’s degree programme cultivates a holistic perspective to address the development needs of societies without affecting the underlying sustainability of the earth system, through an innovative interdisciplinary approach that integrates the natural sciences, social sciences and the humanities.”

From this observation, it is concluded that the policy for designing and implementing curricula is clearly defined.

5 – 4 – ii The content and the quality of curricula are to follow policy for designing and implementing curricula and to be appropriate with respect to the type and field of degrees conferred.

To study theories and practice of sustainability based on the graduate school programme policy, the curriculum is systematically organized into the three categories: Broad Overview Courses, Elective Courses, and Competency

Courses. The purpose of this organization is for the students to focus on their classes in the fields they choose. Each category also provides many subjects, ranging from basic subjects to subjects addressing diverse academic aspirations.

It is compulsory for students to produce a 20,000- to 40,000-word master's thesis on a specific topic, or a doctoral dissertation that is directly related to their research project, with content and quality befitting of the academic degrees (Master of Science in Sustainability, Development and Peace, and PhD in Sustainability Science) to be conferred.

From these observations, it is concluded that the curricula are organized systematically based on the policy for designing and implementing curricula, and that the content and quality of the curricula are befitting of the degrees conferred.

5 – 4 – iii In terms of designing curricula and the content of classes, considerations are to be given to various demands from the students, advancements in arts and sciences, requests from society, *etc.*

Since it was first established, the University has set focus areas in its programme which coincide with the various purposes for peace and progress determined by the United Nations Charter, and promoted research in those areas in cooperation with UNESCO and other international organizations. After more than 30 years, the focus areas currently consist of the following five themes which represent pressing global issues faced by the United Nations and its member states:

1. Peace, Security, and Human rights
2. Human Development and Governance
3. Populations and Health
4. Global Change and Sustainable Development
5. Science, Technology, and Society

The Institute organizes curricula and provide classes to train human resources equipped with the abilities and skills to resolve these issues, with sustainability as the keyword.

Based on its mission of training human resources who would be successful in United Nations organizations, *etc.*, the Institute also has internship programmes in United Nations organizations, *etc.* as part of its curricula. These work opportunities are provided to encourage students to understand practical work, to assist them in specializing their areas of research, and to develop career opportunities.

To expand the students' learning opportunities and to further develop their education and research, the Institute makes it possible to exchange credits with the International Christian University and Yokohama National University, and has a joint diploma programme with the University of Tokyo Graduate Program in Sustainability Science, Global Leadership Initiative.

From these observations, it is concluded that consideration is given to the various needs of the students, advancements in arts and sciences, and demands of society, *etc.* in the curricula design and class content.

5 – 5 – i The combination and proportion of class methods, including lecture, seminar, *etc.* are to be appropriate in terms of educational purposes. Appropriate teaching methods are to be employed for respective educational content.

Each student in the master's course is required to take eight credits (four credits for the doctoral course) from the Broad Overview Courses, six credits (six credits for the doctoral course) from the Elective Courses, and eight credits (four credits for the doctoral course) from the Competency Courses. Thus, the proportion of lectures, seminars, *etc.* is

appropriate in terms of educational purposes.

Each subject is conducted in the form of lectures, student presentations, Q&A sessions, *etc.*; and the Competency Course subjects in particular are designed to centre on interaction between students so that students may acquire skills of critical analysis, research planning, quantitative/qualitative methodologies, and thesis preparation. The students also have opportunities to visit United Nations organizations or government-affiliated organizations located in Tokyo.

From these observations, it is concluded that the combination and proportion of class methods are appropriate, and appropriate teaching methods are employed according to educational content.

5 – 5 – ii Considerations are to be given to credit substantiation.

The “UNU Rules Governing the United Nations University Master of Science in Sustainability” and “UNU Rules Governing the United Nations University Doctor of Philosophy (PhD) in Sustainability Science” state that a one-credit subject requires 45 hours of learning. A two-credit subject usually involves 15 sessions of 90-minute classes.

For each subject, there is an end-of-term examination, and it is designed to encourage the self-study of the students with required reading, small tests, presentations, and reports.

Each student is assigned an Academic Adviser for systematic guidance on what classes to take so the students may plan their classes smoothly.

From these observations, it is concluded that consideration is given to credit substantiation.

5 – 5 – iii Appropriate syllabuses are to be prepared and made use of.

The syllabus states the name of teacher in charge, the term, the day of the week, the hour, the type of subject (compulsory, elective/compulsory, or elective), lecture outline (purpose, schedule, *etc.*), learning outcomes, required and recommended readings, *etc.*, and the evaluation method of academic performance. But the amount of the content is not necessarily consistent.

The syllabuses are used when students and Academic Advisors discuss which subjects to take, and thus are useful in planning the students’ choice of courses. Since the campus intranet enables students to view the syllabus, search the required or recommended reading, and acquire material on the lectures, *etc.*, it is possible for them to use the syllabus for their studies before and after classes.

From these observations, it is concluded that, although there is an inconsistency in the amount of the content stated, the syllabuses are prepared and made use of appropriately.

5 – 5 – iv In the course where the classes are conducted in the evening, considerations are to be given to the enrolled students as regards the class schedule so that appropriate teaching may be given.

not applicable

5 – 5 – v In the case of correspondence education, the class methods including printed and other materials (followed by corrections and comments by the teacher), broadcasts, face-to-face classes (on-campus learning), or the other media are to be employed so that appropriate teaching may be conducted.

not applicable

5 – 5 – vi In graduate programs except for those where professional degrees are awarded, systematic supervision on research and thesis preparation (including assigned research project) is to be provided in accordance with an appropriate plan.

The “UNU Rules Governing the United Nations University Master of Science in Sustainability” and “UNU Rules Governing the United Nations University Doctor of Philosophy (PhD) in Sustainability Science” state that the academic dissertations (master’s thesis and doctoral dissertation) should be original, should be theoretically and practically analysed in great detail, and should contribute to creative learning.

Master’s course students are provided with the “General Guidelines for Master’s Thesis” in the first semester, and choose their Thesis Supervisor. A student receives guidance from the Thesis Supervisor, prepares a Master’s Thesis Plan (stating the topic of the thesis, outline of research, flow of research, plans for submitting the thesis, *etc.*), submits the plan to the Board of Admissions and Exams after being signed by the Thesis Supervisor, and obtains approval from the Board. During this process, the student is introduced to project groups and research topics that are related to the student’s research topic.

If a Thesis Supervisor cannot continue to advise the student for a particular reason, the student may be offered guidance from other academic staff in the research field the student chooses at the time of enrolment, or new academic staff will be appointed so that the student may receive uninterrupted guidance.

Besides receiving guidance from the Thesis Supervisor accordingly, the student also has three presentation opportunities regarding the progress of the thesis in front of students and academic staff before the final oral examination.

The doctoral course provides collective thesis guidance involving the Principal Academic Advisor and the Advisory Committee.

From these observations, it is concluded that the graduate programmes provide systematic supervision on research and thesis preparation, and that this supervision is conducted based on an appropriate plan.

5 – 6 – i The degree awarding policy is to be clearly defined.

The master’s course diploma policy is as follows:

1. The student has addressed pressing global issues that the United Nations is engaged in, particularly in the field of sustainability, and has the ability to resolve the issues.
2. The student has displayed leadership in international organizations such as the United Nations, government-affiliated organizations, international NGOs, and international fields of research institutes and private companies, *etc.*, and has the capacity for practical activities.
3. The student has acquired the required credits stated in the Rules Governing the United Nations University Master of Science in Sustainability, and passed the thesis review and final exam.

The doctoral course diploma policy is as follows:

1. The student has the independent ability as a researcher when engaging in the research of various issues regarding sustainability.
2. The student has acquired the skills of quantitative and qualitative analysis and research, and has the ability to contribute in resolving the issues in focus area research themes of the University.
3. The student has acquired the required credits stated in the Rules Governing the United Nations University PhD in Sustainability Science, and passed the thesis review and final exam.

From these observations, it is concluded that the degree awarding policy is clearly defined.

5 – 6 – ii The standards for assessment of academic achievements are to be organizationally stipulated, made known to all students, and followed appropriately in assessing students' achievements and recognizing credits.

The Rules stipulate that academic grades are to be evaluated on a 10-level scale, and the method of academic grading is specified in the syllabus and made known to the students. Furthermore, the new Rules established in September 2014 stipulate that the grades should be on a four-level scale, with the premise of presenting the detailed marks out of 100, as before. The thesis or dissertation is to be graded on a 10-level scale as before.

From these observations, it is concluded that the standards for the assessment of academic achievements are stipulated as an organization and made known to the students, and that the academic grading and credit recognition are performed in an appropriate manner.

5 – 6 – iii Organizational measures are to be taken in order to ensure the objectivity and rigorousness of the assessment of academic achievements and the recognition of credits.

The Rules recognize the students' right of inspection, and incorporate the system where students may object to their academic grades. The certification of course completion involves an organizational checking process by the Board of Admissions and Exams.

From these observations, it is concluded that organizational measures are taken to ensure the objectivity and rigorousness of academic grading, *etc.*

5 – 6 – iv In graduate programs except for those where professional degrees are awarded, the standards for evaluation of thesis are to be defined by the degree awarding units in accordance with the degree awarding policy, made known to students and appropriately followed in approving the completion.

In graduate programs where professional degrees are awarded, the standards for completion approval are to be organizationally defined by the degree awarding units in accordance with the degree awarding policy, made known to students and appropriately followed in approving the completion.

The evaluation standards of the master's course thesis are stipulated in the "UNU Rules Governing the United Nations University Master of Science in Sustainability"; and the intent and purpose of producing the thesis, standards that should be met, final submission period, and process until the oral examination are made known to the students in the "General Guidelines for Master's Thesis".

The student undergoes a review by the Examining Committee, and must prove their originality, creativity, contribution to society, *etc.* in the oral examination. After the Examining Committee assesses the adequacy of the student's academic performance, and credits of compulsory subjects and elective subjects, the Board of Admissions and Exams determines whether or not the student has completed the course.

From these observations, it is concluded that the standards for evaluation regarding the thesis and course completion approval are defined as an organization and made known to the students, and that course completion is approved appropriately.

With all the conclusions above considered, it is judged that Standard 5 is fulfilled.

【Good practices】

- The Institute conducts credits transfers with the International Christian University, and a joint diploma programme with the University of Tokyo Graduate Program in Sustainability Science Global Leadership Initiative, to expand study opportunities and enhance educational research.

Standard 6 Learning Outcomes

- 6 – 1 Expected learning outcomes are to be achieved in terms of the knowledge, skills, attitudes, *etc.* which the students are prescribed to acquire by the educational purposes and visions for the development of human resources.
- 6 – 2 Expected learning outcomes are to be achieved judging from the destinations after graduations or completion, *etc.*

【Assessment Result】

Standard 6 is fulfilled.

(Grounds and Reasons for the Result)

- 6 – 1 – i Expected learning outcomes are to be achieved in terms of the knowledge, skills, attitudes, *etc.* judging from the conditions of acquired credits, progression, graduation (completion), acquired qualifications and licenses at the end of academic year or graduation (completion).

The master's course completion rate for the standard completion period, was 94.1% on the average during the three years from 2012 to 2014, (excluding the students who left because of circumstances due to the 2011 Great East Japan Earthquake).

Judging from the acquired credits of the students who have completed the courses so far, the stipulation in the “UNU Rules Governing the United Nations University Master of Science in Sustainability” stating that a student should normally acquire eight credits on average per semester is observed. In the evaluation of the master's thesis, all students have acquired a grade of B+ or above (fourth highest evaluation on the 10-level scale). The students have completed their courses by acquiring the academic knowledge and skills to resolve issues related to sustainability, preparing a thesis, and passing the thesis review.

The students not only participate but also give presentations in many international workshops and seminars held on the campus. The students also publish an academic journal to announce their research results and to achieve the mission of the United Nations University Charter. The first issue was published in 2013 and the second in 2014 made available open access.

From these observations, it is concluded that learning outcomes are achieved.

- 6 – 1 – ii Expected learning outcomes are to be achieved judging from responses from the students regarding achievements and success in learning.

Students respond to lecture questionnaire surveys online for all classes offered. The comprehensive evaluation of classes shows that 67.2% of respondents gave a fifth or better grade (Excellent or Very Good) out of a six-level scale.

Furthermore, the informal meetings, held about once a month, with the Academic Programme Director also confirm how the students are engaging in studies.

From these observations, it is concluded that learning outcomes are achieved.

- 6 – 2 – i Expected learning outcomes are to be achieved judging from the destinations after the graduation (completion), including employment and continued education.

The employment rate of students seeking employment after graduation is 70.4% for the 33 master's course graduates in the three years from 2012 to 2014.

The Institute's education and research mission is to train personnel to be capable of contributing to resolving global issues, and master's course graduates have proceeded to work at United Nations organizations, government-affiliated organizations, international NGOs, research institutes, and other fields that coincide with the mission.

From these observations, it is concluded that learning outcomes are achieved.

6 – 2 – ii Expected learning outcomes are to be achieved judging from responses of the stakeholders including graduates (recipients of degrees) and employers.

The recipients of degrees have given positive comments and thoughts via letters and e-mails to the Institute and the Japan Foundation for the United Nations University. The following is a collection of selected excerpts: "The Institute has allowed me to further my knowledge and understanding in the theories, concepts, and methods of approach regarding sustainability/development/peace in society, economics, and environment," "The Institute has helped me acquire skills to resolve issues, particularly difficult problems," "The Institute has provided opportunities to meet with high-level scholars, researchers, and practitioners," and "The Institute has enabled me to share studies and other experiences with students with high awareness from all over the world." Nevertheless, it is necessary to prepare opportunities for the Institute to systematically listen to comments from degree recipients, employers, and other related people, and assess the learning outcomes.

The Japan Foundation for the United Nations University, supported by the donations from companies, *etc.*, determines whether or not to continue providing scholarships based on assessments of the acquired credits of each scholarship student, and has been providing scholarships to students since the University was first established.

The Japan Foundation for the United Nations University established the UNU Alumni Association, and the present students and degree recipients are the members of the Association. The UNU Alumni Association also provides a certain level of evaluation regarding the abilities of the degree recipients, *etc.*

From these observations, it is concluded that learning outcomes are achieved.

With all the conclusions above considered, it is judged that Standard 6 is fulfilled.

【Areas for Further Development】

- Although there are not so many degree recipients at present, since they are working in United Nations organizations, government-affiliated organizations, international NGOs, *etc.*, it is expected that the graduates will further contribute to the international community in the future.

【Areas for Improvement】

- The necessity of gaining opinions and ideas from past degree recipients, employers, and other parties to systematically assess learning outcomes.

Standard 7 Facilities and Student Supports

- 7 – 1 Facilities and equipment for education and research organizations and those for implementing curricula are to be provided and made effective use of.
- 7 – 2 Guidance for the students on learning is to be appropriately provided. Opportunities for consultation, counseling, and supports with respects of learning, extracurricular activities, campus life, career planning and placement, financial aids, *etc.* are to be appropriately provided.

【Assessment Result】

Standard 7 is fulfilled.

(Grounds and Reasons for the Result)

- 7 – 1 – i Facilities and equipment for education and research organizations and those for implementing curricula are to be provided and made effective use of. Considerations are to be given to the conditions of facilities and equipment in terms of earthquake disaster mitigation, universal design, safety, and security.

The campus of the University headquarters (Shibuya-ku, Tokyo) is 7,043 m², and the school building occupies 8,382 m². The main facilities supporting education and research activities are two lecture rooms, graduate school student study rooms, graduate school student lounge, student counselling room, academic staff study rooms, information-processing learning facility, two halls capable of hosting international meetings (U Thant International Conference Hall and Elizabeth Rose Conference Hall), and the library. However, there is no facility which functions as a dispensary.

All rooms including the lecture rooms and study rooms are equipped with air-conditioning, wireless LAN, AV equipment, *etc.* making them fit for use according to the purposes of education and research.

After the 2011 Great East Japan Earthquake, the facilities were examined for their seismic capacity, and their safety has been confirmed.

The facilities are designed in consideration of universal design, with one handicap-accessible lift, handicap-accessible toilets, and floors designed so that one can travel within the building smoothly practically without any uneven floors.

All possible measures are being taken to ensure safety and security, including the presence of a security guard, elevator hall, access restrictions on each floor by way of campus cards, security cameras, *etc.*

From these observations, it is concluded that, although a dispensary needs to be provided to maintain the health of students and faculty members, the necessary facilities and equipment for education and research activities are provided sufficiently, and seismic capacity, universal design, safety and security have been considered in their design.

- 7 – 1 – ii Learning environments in which ICT is employed for education and research activities are to be provided and made effective use of.

In addition to wireless LAN, the Institute provides high-speed internet connection (100Mbps), e-mail, a lecture support system, and other information infrastructures. It also provides a large-volume data storage and servers for that purpose, managing the electronic data of each student. The Institute also has a unique hosting server to manage the

websites for student programmes.

Two rooms are provided as special information-processing learning facilities, with 36 personal computers, allowing students constant access to information. (They can search for books, theses, and data, use necessary software for processing their research data, *etc.*) Support staff are always at hand so that the personal computers and information networks can be used appropriately, and they conduct information security measures, provide counselling regarding the campus networks, receive various applications, *etc.*

From these observations, it is concluded that the necessary ICT environment for education and research activities is provided and used effectively.

7 – 1 – iii Libraries are to be established and made effective use of, with books, scholarly journals, audio-visual materials and other materials which are necessary for education and research systematically collected and organized.

The library occupies 740 m², with 35 seats for reading. and is open from 9:30 a.m. to 5:30 p.m. on weekdays. Document searches, online journals, and online databases are available on and off campus also when the library is closed. The library has 40,614 books and 24,572 electronic journals as of May 2014. The number of books checked out for 2013 was 860, of which 429 were by students (13 books per student).

The library has a Collection Development Policy in accordance with the purposes of education and research, and books, journals, audio-visual material, and other necessary material are systematically collected and organized as collections, libraries, priority collections, *etc.* The information environment is also organized to harmonize with the digitization of the library.

From these observations, it is concluded that the library is established and used effectively, systematically collecting and organizing material necessary for education and research.

7 – 1 – iv Environments for independent learning are to be sufficiently provided and made effective use of.

Study rooms are provided for all students so that they may engage in independent studies and organize documents, while the student lounge and multi-purpose rooms enable them to communicate with each other. There are information-processing learning facilities which provide for advanced information-processing. Access to these facilities is controlled as a general rule with IC cards from 9:30 a.m. to 11:00 p.m. on weekdays.

There is a system that enables students to access the information infrastructure via internet off campus as well to search for documents, download lecture material, *etc.*

From these observations, it is concluded that the environment for independent learning is provided sufficiently and used effectively.

7 – 2 – i Guidance for students in selecting classes, specializations, or majors is to be appropriately provided.

Guidance for new students is provided at the time they enter the Institute. The Academic Programme Director and the Senior Academic Programme Officers explain the academic calendar, overview of the content, purpose, *etc.* of theses and course models, *etc.* The contact details of the academic staff, the course syllabus, and registration materials are distributed to the students at this guidance. Guidance is also provided on how to use the library, with explanations on how to use electronic journals, databases, *etc.*

From these observations, it is concluded that guidance is provided appropriately.

7 – 2 – ii Students demands for supports in learning are to be appropriately understood. Opportunities for consultation, counselling, and supports in learning are to be provided. Students with special needs in learning are to be appropriately supported.

In the master's course each student is assigned an Academic Advisor designated by the Board of Admissions and Exams to provide comprehensive guidance and support while they are enrolled students, in planning classes to take, registration, and studies including preparation of the master's thesis. The Academic Advisor approves the elective subjects her or his student takes, usually advising them to take average eight credits per semester.

The doctoral course has a system which centres around the Principal Academic Advisor and Advisory Committee that provides counselling, advice, and support for studies.

The informal meetings with the Academic Programme Director are opportunities to grasp student needs. For example, students give their feedback on the operating hours of the library, schedule of the master's thesis review, *etc.* as well as requests regarding classes, thesis supervision, career opportunities after completion, *etc.*

Student Support Services is established separately from the Administration Office so that the students can seek counsel on academic and campus life whenever needed. One coordinator and two interns address the counselling needs of the students. For example, they work, in coordination with the academic and administrative staff, to resolve issues regarding the students' personal computer environments, study space, registration, *etc.* They also count the results of the various student questionnaires and provide feedback to the relevant departments as necessary.

From these observations, it is concluded that study support *etc.* is provided appropriately in general.

7 – 2 – iii In the case of correspondence education courses, supports and consultation for learning are to be appropriately provided.

not applicable

7 – 2 – iv Supports for the facilitation of school clubs, students unions, and other extracurricular activities are to be appropriately provided.

The Institute provides students with opportunities to experience life in Japanese local communities and Japanese culture, as well as opportunities to visit Japanese companies. From this observation, it is concluded that appropriate support is provided for the students' extracurricular activities.

7 – 2 – v Students demands for supports in living are to be appropriately understood. Opportunities for consultation and counselling concerning living, health, career planning and harassment of different kinds are to be provided. Students with special needs in living are to be appropriately supported.

Student Support Services addresses all the students' needs for consultation on transportation, accommodation, health and safety, economic/legal issues, harassment issues, *etc.* It also explains and provides material on how to register residency, issue a student commuter pass, arrange health insurance, use the campus network, *etc.* at the student orientation at the time of enrolment.

Each student is required to submit her or his medical examination report when they enrol, and is instructed to

undergo medical check-ups each year. All students join National Health Insurance and Personal Accident Insurance for Students Pursuing Education and Research. Once any health problem should arise, Student Support Services and the administrative staff take responsibility for introducing the student to a doctor, *etc.*, taking into consideration language and other cultural conditions. There have been no particular problems related to student health so far.

To provide support for employment, the student portal site is linked to recruitment pages of United Nations related organizations, and the Institute provides individual career advice, including the introduction of positions in the United Nations or related organizations/groups, or recruitment as programme assistants in the Institute.

From these observations, it is concluded that the Institute provides appropriate support for student life, *etc.*

7 – 2 – vi Financial aids are to be appropriately provided.

Students in the University are not eligible to receive student grants from the Ministry of Education, Culture, Sports, Science and Technology or Japan Student Services Organization, but the Institute provides its own scholarships in consideration of the student's economic status or abilities.

In addition to funding *etc.* for research and programmes, the Japan Foundation for the United Nations University (established in 1985) also provides scholarships focused on support for students from developing countries through donations by member companies, *etc.*

There were eight scholarships (two of which were doctoral students) in 2012, nine (three of which were doctoral students) in 2013, and nine (two of which were doctoral students) in 2014. Scholarship students are exempted from the full tuition fees (annual amount of 10,000 dollars).

From these observations, it is concluded that financial aids are provided to the students appropriately.

With all the conclusions above considered, it is judged that Standard 7 is fulfilled.

【Good practices】

- Sufficiently organized self-study environments, such as the study rooms for graduate school students as well as the international conference hall equipment and fixtures, library, ICT environment, and other facilities are provided to enable the students to engage in more constructive tasks.

【Areas for Further Development】

- Financial support for students through the University's scholarships or other scholarship systems is sufficient, but a further enhanced student support system is desired.

【Areas for Improvement】

- The lack of a dispensary for maintaining the health of students and faculty members.

Standard 8 Internal Quality Assurance System for Teaching and Learning

8 – 1 A system is to be provided and effectively functioning which improves and enhances the quality of education of the institution, based on the results of self-evaluation.

8 – 2 Professional development for academic staff, education supporting staff and academic assistants for improvement and enhancement of education is to take place and be effectively functioning.

【Assessment Result】

Standard 8 is fulfilled.

(Grounds and Reasons for the Result)

8 – 1 – i A system is to be provided and effectively functioning which improves and enhances as well as assures the quality of teaching and learning of the institution, based on the results of self-evaluation on the conduction of educational activities and the learning outcomes students have acquired through education.

The data on the status of education (the entrance examination data including the information of the applicants, those who passed the examination and admitted; and curricula data of the students after they were enrolled) are collected and accumulated in shared folders with limited access on the campus intranet.

The data on educational activities and learning outcomes undergo a review by the Board of Admissions and Exams, with the Faculty Meeting materially analysing the details of education before finally the results are fed back to the Graduate Programme Committee. Concerning entrance examinations, for example, efforts have been taken to improve the student admission system and the “Application Guide Instructions to Applicants”; and concerning theses, there are efforts to revise the “General Guidelines for Master’s Thesis”, *etc.* to improve and enhance the entire graduate school education programme.

From these observations, it is concluded that the Institute self-inspects and assesses the learning outcomes acquired by the students, thus ensuring the quality of teaching and learning, and there is a functioning system for improving and enhancing the quality of teaching and learning of the institution.

8 – 1 – ii Opinions from the university community consisting of students, academic and administrative staff are to be heard, and continuously play an effective part in an appropriate way in the improvement and enhancement of the quality of teaching and learning.

Student opinions are heard through questionnaire surveys on teaching and informal meetings with the Academic Programme Director. Opinions from the academic and administrative staff are heard through monthly Staff Meetings with the Rector, as well as monthly Academic Meetings with students and academic staff. The results are used to enhance and improve the quality of teaching and learning.

These opinions are reviewed at the Board of Admissions and Exams and the Faculty Meetings, and reported to the Graduate Programme Committee.

From these observations, it is concluded that the opinions from the university community are heard, and put to use specifically and continuously in an appropriate manner in improving and enhancing the quality of teaching and learning.

8 – 1 – iii Opinions from stakeholders in society are to continuously play an effective part in an appropriate way in the improvement and enhancement of the quality of teaching and learning.

The Institute's activities are reported to the Council of the University in the annual report. The Council of the University consists of the Rector and external members, and evaluates the performance of the Institute in terms of the focal education and research areas set by the Institute, and provides instructions, corrective measures, and recommendations for improvement regarding the plans and implementation if need be.

The Japan Foundation for United Nations University may also state comments or requests regarding education and research of the Institute through its Board of Directors, Board of Councillors, *etc.*

These opinions of external stakeholders are fed back to the Graduate Programme Committee, *etc.*, which conducts a review and plans for improvement.

From these observations, it is concluded that there is a system in place where the opinions from external stakeholders are put to use in an appropriate manner for the improvement and enhancement of the quality of teaching and learning.

8 – 2 – i Faculty development is to take place appropriately and contribute systematically to the enhancement of the quality of teaching and learning and to the improvement of teaching.

The Senior Academic Programme Officers convene Faculty Meetings to discuss the status of course registrations, the evaluation of class presentations, the progress and effects of classes through the analysis of academic results, and other issues. They also supervise the themes and progresses of student theses.

The academic staff belong to at least either of the Board of Admissions and Exams or the Graduate Programme Committee, and are required to share information on issues that the students have regarding education, and to make presentations regarding ways to improve class management or thesis supervision.

From these observations, it is concluded that the faculty development activities are implemented appropriately, contributing to the enhancement and improvement of the quality of teaching and learning of classes as an organization.

8 – 2 – ii Professional development for education supporting staff and academic assistants is to take place appropriately in the form of training programs for the enhancement of the quality of teaching and other programs for the improvement of the quality of the staff.

For the education supporting staff and academic assistants related to the Institute, including the University headquarters staff, the Administrative Director convenes Administrative Meetings (approximately once a month), which review the content of the website, confirm the entrance examination schedule, and discuss other issues related to administration as well as education and research.

To further the knowledge and understanding regarding the research fields of the Institute, staff are encouraged to participate in symposiums, seminars, *etc.* held on campus.

The library staff are encouraged to participate in copyright seminars held by the Japan Special Libraries Association, as well as practical seminars and lectures, and other seminars. Furthermore, the library and the United Nations Information Centre co-host the United Nations Depository Library network, exchanging information with other university libraries in Japan.

From these observations, it is concluded that the Institute takes appropriate initiatives to enhance the quality of the education supporting staff and academic assistants.

With all the conclusions above considered, it is judged that Standard 8 is fulfilled.

Standard 9 Finance and Management

- 9 – 1 The institution is to have an appropriate and stable financial basis, make and execute the plan for revenues and expenses appropriately and to have its finance audited appropriately.
- 9 – 2 A management and administrative system is to be appropriately in place and effectively functioning.
- 9 – 3 Self-evaluation of the general condition of the institution is to take place. A system for continuous improvement is to be organized and effectively functioning.

【Assessment Result】

Standard 9 is fulfilled.

(Grounds and Reasons for the Result)

- 9 – 1 – i The institution is to possess sufficient assets for the development of appropriate and stable educational activities. The institution's debts are not to be excessive.

The land and premises of the United Nations University are provided free of charge respectively by the Tokyo Metropolitan Government and the Japanese government. Furthermore, the debts are small enough in comparison with the assets.

From these observations, it is concluded that the Institute is in a situation where it is capable of conducting education and research activities in an appropriate and stable manner, and the debts are not excessive.

- 9 – 1 – ii The institution is to have continuous regular revenue for its education and research activities in accordance with the institutional mission.

Since the Institute secures its regular revenue from contributions, or endowments for promoting special programmes from the Japanese government, National University Corporation, private corporations, *etc.*, it is concluded that the Institute has regular revenue for conducting its education and research activities in an appropriate and stable manner.

- 9 – 1 – iii The institution is to appropriately formulate and make explicitly accessible to stakeholders the plan for revenues and expenses as the financial basis for achieving the institutional mission.

The budget plan is deliberated by the Institute's Graduate Programme Committee, before being submitted from the University headquarters to the United Nations budget committee for finalization. After the budget is determined, it is made known at the Graduate Programme Committee and Faculty Meeting.

From these observations, it is concluded that the Institute forms and clearly explains to stakeholders the plan for revenues and expenses, *etc.*

- 9 – 1 – iv The size of expenses is not to be excessive in terms of balance between revenue and expense.

Since the expenses from 2010 to 2013 are of an appropriate size, it is concluded that they are not excessive.

- 9 – 1 – v The institution is to appropriately allocate the resources for education and research activities in achieving the institutional mission.

Approximately 70% of the total expenditure is allocated to academic activities promoting the research of projects

related to sustainability, development, and peace.

From this observation, it is concluded that the Institute allocates appropriate resources for education and research activities.

9 – 1 – vi Financial statements are to be reported and audited appropriately.

A balance sheet, a settlement of accounts statement, and a cash flow statement are reported to and approved by the Council of the University each year, before being submitted to the United Nations General Assembly.

For audit, the financial statements are audited by the external auditor of the United Nations, who then submits an Audit Report to the United Nations General Assembly.

From these observations, it is concluded that the financial statements are prepared and audited in an appropriate manner.

9 – 2 – i The management and administration is to be of an appropriate size and functionality. A system for risk management is to be put in place.

The Council of the University is the decision-making organization for the entire University, and the University headquarters assists the Rector in the overall programmes, plans, management, administration, finance, *etc.* for the whole University.

The Institute has the Board of Admissions and Exams, the Graduate Programme Committee, and the Faculty Meeting to deliberate and review the various issues of the Institute, as well as various committees to deliberate contingent individual topics.

The Institute has five full-time administrative staff including the Administrative Director, and since University headquarters staff are also responsible for the affairs of the Institute as general affairs of the University, there is a total of 10 staff members engaged in the Institute's affairs.

For risk management, highly confidential documents are managed according to the security standards for printed matter. There is also an emergency contact network that enables the Institute to communicate with all students and faculty members in disaster situations, and this is made known to everyone.

From these observations, it is concluded that the organizations for management and administration are of appropriate size and functionality, and a system for risk management is in place.

9 – 2 – ii Opinions of the community consisting of academic and administrative staff and students as well as stakeholders in society concerning the management of the institution are to be understood and appropriately reflected in practice.

The student opinions and needs concerning the management of the Institute are heard through informal meetings between the Academic Programme Director and the students, and other opportunities.

For the faculty members, informal meetings are conducted among staff including the Rector and the Director of UNU-IAS, so that they may discuss various issues of the moment or agendas for the future.

These opinions and needs concerning the management of the Institute are reported to the Graduate Programme Committee and the information is shared among the faculty members. After solutions are deliberated, they are fed back to the Director of UNU-IAS and the Rector, who are responsible for the management.

The opinions and needs of external stakeholders are heard through the Japan Foundation for United Nations University's UNU Alumni Association, as well as the Board of Directors and the Board of Councillors, which consist of prominent figures in the fields of politics, economics, government, and academics.

From these observations, it is concluded that the opinions and needs of the Institute's members and other external stakeholders concerning the management of the Institute are heard and reflected in practice in an appropriate manner.

9 – 2 – iii Internal auditors are to take part in an appropriate manner.

The University does not have an internal auditor, but based on the Financial Regulations of the United Nations, several auditors, sent from the audit committee at the United Nations headquarters, performs the audit every year in April and May over four to five weeks. The audit committee writes up comments regarding the financial items and overall operations as an Audit Report, and this is then sent to the United Nations headquarters Advisory Committee before reaching the United Nations General Assembly.

From these observations, it is concluded that the financial and operational audits are performed in an appropriate manner.

9 – 2 – iv Systematic professional development, including training programs, for enhancing the quality of administrative staff is to take place so that management and administration fulfil its responsibility adequately.

The administrative staff, as members of the Graduate Programme Committee, participate in meetings with the students and academic staff, and further their knowledge on projects related to the Institute by attending to the presentations and discussions of students and academic staff.

The administrative staff are provided with opportunities to participate not only in training programmes organized by the University headquarters, but also various seminars and symposiums.

From these observations, it is concluded that organizational initiatives are taken to enhance the quality of staff engaged in the management and administration of the Institute.

9 – 3 – i Self-evaluation of the general condition of the institution is to take place on the basis of evidence and data.

The basic data regarding the operations, finance, education and research activities, *etc.* are collected and organized at the Administration Office.

The University activities are documented in an Annual Report based on the University Charter regulations, which the Rector then reports to the Council of the University via the University headquarters. The Council of the University then studies the Annual Report, and provides instructions, measures, and advice as necessary, before reporting once a year to the United Nations General Assembly.

For the Institute's Annual Report, the Graduate Programme Committee prepares a draft regarding the education/research activities and management/administration items based on the annual data of education and research activities, *etc.*, and this is submitted to the University headquarters.

The Institute (as the United Nations University Institute for Sustainability and Peace) published an activity report called *The First Four Years, 2009–2012*, in 2013.

From these observations, it is concluded that the Institute conducts self-checks/evaluations regarding the general condition of the University activities based on evidence, data, *etc.*

9 – 3 – ii Evaluation of the condition of the institution by the third party is to take place.

The items regarding finance and programmes selected by the Audit Committee (designated by the United Nations headquarters) are audited every other budget year. (Field audits are performed every school year.)

The University's activities are reviewed in the annual reports submitted to the Council of the University every year, and the University then receives instructions to take measures, and recommendations for improvement as necessary.

The Japan Foundation for the United Nations University verifies the University's activities and makes decisions to provide new scholarships or continue scholarships based on the educational activities of the students.

From these observations, it is concluded that the University's activities are evaluated by third parties.

9 – 3 – iii The results of evaluation are to be reflected in actions for improvement.

Regarding the opinions and findings given by the Council of the University, the audit committee at the United Nations headquarters, and the Japan Foundation for the United Nations University, the Board of Admissions and Exams and the Graduate Programme Committee consider the ways to address the issues and take the necessary and possible measures.

Reflecting the opinions of these committees, the curriculum has been revised to suit the Institute's objectives after its reorganization, and scholarships have been provided based on the Asian Development Bank-Japan Scholarship Programme (ADB-JSP) since the Institute was designated in 2014, and the joint-diploma programme with the University of Tokyo has been implemented to expand the learning opportunities of the students. Furthermore, the United Nations University Institute of Advanced Studies (Yokohama City, Kanagawa Prefecture) and United Nations University Institute for Sustainability and Peace (Shibuya-ku, Tokyo) were reorganized and renamed in January 2014 as the Institute for the Advanced Study of Sustainability, to enhance the education and research content of the master's and doctoral courses.

From these observations, it is concluded that the evaluation results are reflected and actions for improvement are being taken.

With all the conclusions above considered, it is judged that Standard 9 is fulfilled.

Standard 10 Public Information on Teaching and Learning

10- 1 The institution is to take accountability by making publicly available the information of the details of its education and research activities in an appropriate way.

【Assessment Result】

Standard 10 is fulfilled.

(Grounds and Reasons for the Result)

10- 1 - i The mission of the institution, and/or of the faculties, departments, *etc.* in the case of undergraduate programs, and of schools or majors in the case of graduate programs, is to be made publicly available appropriately and made internally fully aware of.

The mission of the Institute is clarified in the University Charter and made publicly available on the internet website. Furthermore, the University mission, history, and other education and research objectives are stated on the website as well as in the *Institute Outline*, student application guidelines, *etc.* in an easy-to-understand manner.

The University mission and characteristics are explained to the students by the Rector and the Director of UNU-IAS at the entrance ceremony and orientation sessions.

It is made mandatory that the faculty members should understand the University mission in their recruitment interviews, and the important items regarding the education/research or management/administration of the University are reported and explained at the Faculty Meetings and other various meetings, so that the members may have a shared understanding of the University mission as well as education and research trends.

From these observations, it is concluded that the University mission is made publicly available and made known to the members in an appropriate manner.

10- 1 - ii The admission policy, the policy for designing and implementing curricula and the degree awarding policy are to be made publicly available appropriately and made internally fully aware of.

The admission policy, the policy for designing and implementing curricula, and the diploma policy are explained specifically on the website as well as in *the Institute Outline*, student application guidelines, *etc.*

From these observations, it is concluded that the admission policy, policy for designing and implementing curricula, and degree-awarding policy are made publicly available and made aware of in an appropriate manner.

10- 1 - iii The information on the institution's education and research activities, including the details specified by Clause 172-2 of the Implementation Ordinance of School Education Law, is to be made publicly available appropriately.

The University was established by the United Nations, an international organization, and although it is not subject to the School Education Law, information regarding its education and research activities is made accessible to the public on its website, including the basic organization of education and research, academic staff, course subjects, facilities, tuition fees, student support situation and, annual reports. This information is also provided in student application guidelines and other publications.

However, it is necessary to implement measures to enhance the disclosure of information regarding the conditions of

the progression and destinations of the alumni and the content and method of teaching, *etc.*

From these observations, it is concluded that the information regarding education and research activities, *etc.*, are basically made publicly available.

With all the conclusions above considered, it is judged that Standard 10 is fulfilled.

【Areas for Improvement】

- It is necessary to implement measures to enhance the public availability of the information on teaching and learning.

