

Practical Instructions for Self-Assessment

*Institutional Certified Evaluation and
Accreditation of Universities: 2012-2019*

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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.

Outline

The institutional certified evaluation and accreditation of universities requires each university to articulate the purposes of its education and research activities to fully reflect its individual character and distinctive features in the evaluation. The evaluation is conducted against each of the standards with these goals taken into account. The mission of the university refers to, among others, its basic policies on education and research activities, and intended basic outcomes, including human resources it aims to develop.

Evaluated against this standard is whether the mission of the university is explicitly stated and conforms to the purposes generally expected of universities.

The university is required to specify its institutional aim after clarifying its roles and functions in society and its individual character and distinctive features based on its founding philosophy, vision, history, circumstantial requirements, and so on. It is also required to set and state in its charter or equivalent documents the purposes of its education and research activities, including the development of skills and knowledge of its students at the levels of faculties, departments and academic programs, and at the level of graduate programs if the university has one or more graduate schools. These purposes must conform to those expected of universities and/or graduate schools as prescribed in the School Education Law.

Viewpoints

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.

Practical Instructions

- ❑ The mission of the institution is to be understood as a combination of its basic policies for its education and research activities, the basic outcomes it aims to achieve which include the visions for the development of human resources, *etc.* It is required for each institution to explicitly stipulate its aim as an institution as well as make explicit its role and functionality in society and its characteristics and strengths in the context of its intention of establishment, visions, history, backgrounds *etc.*
- ❑ It is required, in addition to the mission of the institution, to stipulate the purpose of the development of human resources and others for education and research activities in terms of faculties, departments and courses (or basic units for education and research of the institution) in an appropriate format in the corresponding rules and bylaws.
- ❑ As regards the accordance with the generally expected purposes stipulated in the Article 83 of the School Education Law, self-analysis is to include an analysis of the appropriateness of the stated mission with respect to that stipulated in School Education Law.
- ❑ It is not discouraged to describe the content of the institution's Mid-term objectives and plans, and other targets for the administration with limited time constraints, where available.

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.

Practical Instructions

- ❑ It is required to stipulate the purpose of the development of human resources and others for educational and research activities in terms of graduate schools and programs (or other basic units for education and research of the institution) in an appropriate format in the corresponding rules and bylaws.
- ❑ As regards the accordance with the generally expected purposes stipulated in the Article 99 of the School Education Law, self-analysis is to include an analysis of the appropriateness of the stated purposes with respect to that stipulated in School Education Law.

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.

Outline

The conditions of the university's basic organizational structure for education and research activities, committees, and other administrative structures required for conducting education and research activities are evaluated against this standard.

In order to conduct education and research activities with the aim of achieving its purposes, the university must install basic teaching and research organizations and an implementation system for liberal education in an effective and appropriate manner. These organizations include faculties, departments, graduate programs (or equivalent units, if any), special courses, advanced courses, and affiliated teaching and research organizations (including affiliated schools, hospitals, *etc.*, that certain particular faculties or departments are required to establish).

In addition, for both the university as a whole and each basic teaching organization to function effectively and provide sound educational programs, internal committees, such as faculty councils and the academic affairs committee, and other administrative structures must be appropriately in place and function effectively.

Viewpoints

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.

Practical Instructions

- ☐ Self-analysis is to be given as to the consistency of the constitution, namely the organization, size *etc.* of faculties, departments *etc.* with the purposes for education and research in undergraduate programs.
- ☐ It is required to explicitly describe the kinds of faculties, departments *etc.* and their outlines.

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

Practical Instructions

- ☐ Self-analysis is to be given as to the implementation of the system for liberal education based on evidential materials and data in terms of the roles and constitution of organizations, the staffing and balance of responsible organizations, their coordination and decision-making processes, responsibilities.
- ☐ In the case of multi-campus institutions, self-analysis is to be given as to the implementation on each individual campus, special arrangements, the condition of student transportation *etc.*
- ☐ This viewpoint focuses on the system of liberal education rather than the content of its programs, which is to be analyzed with respect to Standard 5.

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.

Practical Instructions

- ☐ Self-analysis is to be given as to the consistency of the constitution, namely the organization, size *etc.* of graduate schools and programs, other basic units *etc.* with the purposes for education and research in graduate programs of the institution.
- ☐ It is required to explicitly describe the kinds of graduate schools and programs, other basic units *etc.* and their outlines.
- ☐ In the case where there are graduate programs which are implemented in collaboration with the institution's affiliated research institutes or other graduate schools or research institutions, self-analysis is to be given as to the structures for coordination and collaboration.
- ☐ In the case where there are professional degree programs, self-analysis is to be given as to those programs.

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

Practical Instructions

- ☐ Self-analysis is to be given as to the consistency of the constitution, namely the organization, size *etc.* of the advanced and special courses with the purposes for education and research in graduate programs of the institution.
- ☐ It is required to explicitly describe the kinds of advanced courses or special courses and their outlines.

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

Practical Instructions

- ☐ Self-analysis is to be given as to the kinds and roles of the affiliated organizations, education and research centers, *etc.*
- ☐ Self-analysis is to be given as the functions and conditions of those organizations based on the evidential materials and data on their substantial contribution to education, including the supervision of graduate studies.
- ☐ In the case where there are organizations affiliated to faculties and departments rather than the institution, self-analysis is to be given as those affiliated schools and university hospitals which are required to by Article 29 of School Education Law.
- ☐ This viewpoint focuses on the affiliated organizations, education and research centers, *etc.* which substantially contribute to education, including the supervision of graduate studies, rather than those organizations whose main purposes include the supports for educational activities, including admissions, learning, and campus life, which are to be analyzed with respect to Standards 4 and 7.

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.

Practical Instructions

-Self-analysis as to the faculty councils and other relevant committees:

- ☐ The other relevant committees include the education and research councils of national university cooperation.

- ❑ Self-analysis is to be given as to the implementation and maintenance of the faculty councils and other relevant committees taking advantage of the documents and data that describe the roles and structure of organizations, including their terms of reference, size and structure of operational units, cooperation between units, decision-making process, and demarcation of responsibility.
- ❑ Self-analysis is to be given as to the effectiveness of the organizations taking advantage of documents and data that describe their actual activities. Actual activities are to be analyzed in terms not only of the frequency of meetings but also of the minutes of concrete discussion.
- ❑ Likewise in the case where the university has one or more graduate schools.

-Self-analysis as to the committees in charge of discussing curricula and other educational issues:

- ❑ Appropriate organization for the committee for curricula and other educational issues is to be analyzed in terms of implementation and maintenance of the system, including the roles and structure of organizations, including their terms of reference, size and structure of operational units, cooperation between units, decision-making process, and demarcation of responsibility.
- ❑ Self-analysis is to be given as to the effectiveness of the organizations taking advantage of documents and data that describe their actual activities and discussion for improvement. Actual activities are to be analyzed in terms not only of the frequency of meetings but also of the minutes of concrete discussion.
- ❑ Likewise in the case where graduate schools have the committees in charge of discussing curricula and other educational issues.

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.

Outline

Evaluated against this standard is whether the assignment of academic staff, education supporting staff and academic assistants is appropriate for fulfilling the university's mission.

There is no doubt that both individual academic staff members and their organizations play important roles in providing university education. The university is required to have in place academic staff organizations whose responsibilities for education and research are clearly defined, whose members properly share the roles they play and systematically cooperate with each other, and whose quality and scale are adequate to conduct educational activities. These organizations must fulfill the requirements of the Standards for the Establishment of Universities (and the Standards for the Establishment of Distance Learning Programs at Universities in the case where distance learning programs are offered), Graduate Schools, and Professional Graduate Schools.

To this end, criteria for the employment, promotion, *etc.*, of academic staff must be clearly established and appropriately applied. The evaluation of academic staff in terms of their education, research and other activities must also be conducted on a regular basis to ensure that the quality of the staff is appropriately maintained.

In addition, it is essential that in conducting educational activities, not only academic staff but also education supporting staff, such as administrative and technical staff, be appropriately assigned, and academic assistants, such as teaching assistants (TAs), be effectively provided.

Viewpoints

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.

Practical Instructions

- ❑ Self-analysis is to be given as to the organization of academic staff, including their commitment to teaching at undergraduate and graduate programs. In the case where graduate programs are provided in cooperation with affiliated organizations or with other universities, research or other institutions, self-analysis is to include an analysis of the system of collaboration and cooperation with respect to the organizational structure of teaching staff.
- ❑ In the case where the organizational structures of academic staff are different for undergraduate and graduate programs, self-analysis is to be given to all different organizational structures.
- ❑ Self-analysis is to be given as to the attribution of responsibility in each different organization: the

responsibilities of the dean and those of the department chair, department head *etc.*, for example.

- ❑ Self-analysis is to be limited to the basic organization 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.

Practical Instructions

- ❑ Self-analysis is to be given, in respect of the mission of the institution, as to the adequacy of academic staff in terms of their quality and quantity as well as the employment of academic assistive and adjunct teaching staff.
- ❑ Self-analysis is to be given as to the roles of full-time professors and associate professors in teaching the classes which are recognized as educationally primary subjects.
- ❑ Self-analysis is to be given not only in respect of the mission of the institution but with respect to the compliance to laws and regulations, there being legal and administrative stipulations as regards academic staff.
- ❑ Full-time teaching staff do not include those academic staff members who are not responsible for classes.

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

Practical Instructions

- ❑ Self-analysis is to be given, in respect of the purpose of graduate programs, as to the adequacy of academic staff in terms of their quality and quantity as well as the employment of academic assistive and adjunct academic staff.
- ❑ Self-analysis is to be given not only in respect of the purpose of graduate programs but with respect to the compliance to laws and regulations, there being legal and administrative stipulations as regards academic staff.

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.

Practical Instructions

- ❑ Self-analysis is to be given as to the measures taken to invigorate the activities of academic staff as well as the achievements of those measures.
- ❑ Self-analysis include considerations for age and gender balance, as represented, for example, in the form of the number of female employees, systems for balancing female academic staff's child care and their education and research *etc.*, open call for employment, limited term employment, tenure and tenure track systems, sabbatical leave system (including encouragement for research abroad), award system for excellent academic staff. Note should be taken that these examples are shown only for clarification so that self-analysis is to be given, in respect of the mission, size and strengths of the institution, as to whether appropriate measures have been taken to invigorate the activities of teaching 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.

Practical Instructions

- ❑ Self-analysis is to be given, with special attention to "appropriate application," as to the methods taken for assessing the applicants' 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.
- ❑ Note should be taken that evidential materials not appropriate for extramural inspection, such as those including personal information, could be attested at the time of site visit.

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.

Practical Instructions

- ❑ Self-analysis is to be given as to whether teaching and research activities of academic staff are being assessed regularly, or periodically. In the case where academic staff's achievements, normally in the four fields of teaching, research, administration and community outreach, are assessed, the outcomes of such assessment can replace the assessment required in this viewpoint.
- ❑ In the case where the outcomes of assessment are reflected in the individual academic staff members' condition of employment or teaching and research funds, self-analysis is to be given as to the results of such practice.
- ❑ Note should be taken that evidential materials not appropriate for extramural inspection, such as those including personal information, could be attested at the time of site visit.

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.

Practical Instructions

- ❑ Self-analysis is to be given as to the appointment of administrative staff in charge of academic and living affairs, technical staff in charge of supporting and assisting educational activities and librarians.
- ❑ Self-analysis is to be given as the appointment and deployment of academic assistive for seminars, experiments, skill practices or class with hands-on practice and that of teaching assistants (TAs).
- ❑ The appointment of administrative staff for general and accounting affairs is to be analyzed in the Standard 9.

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.

Outline

The admission policy of the university, the situation of student admissions, and other related issues are evaluated against this standard.

With the significant impact that university admissions has on high school education and society in general, it is admitted that student admissions need to be conducted in a fair and reasonable manner under an appropriate system. But it is important for the university to be conscious that the purpose of the admissions process is to appropriately select the prospective students who are equipped with the talents and qualities befitting educational purposes of the university.

The university is, therefore, required to clearly stipulate the policy for admissions that describes the talents and aptitudes of prospective students which the institution regards as befitting the educational purposes as well as the principles for selection procedures.

Since the educational system of universities are put in place according to the number of students, the number of entrants should be the same as or as close as possible to the admissions capacity of the university in order to ensure the effectiveness of education.

Viewpoints

4-1-i The admission policy is to be clearly defined.

Practical Instructions

- ☐ The admission policy must present both a picture of the kind of students sought and a basic policy on admissions procedures.
- ☐ It is recommended to describe the basic academic skills needed at the time of admissions.
- ☐ Likewise in the case where the university has one or more graduate schools.

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

Practical Instructions

- ☐ With respect to the appropriateness of the student admissions procedures, self-analysis is to be given as to the kinds of adopted procedures, including general selections, special selections, academic performance testing and interviews.
- ☐ Especially in the case where special selections, such as recommendation and admissions-office conducted selections, are adopted, self-analysis is to be given as to whether the student admissions procedures are appropriately carried out.
- ☐ Likewise in the case where the university has one or more graduate schools.

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

Practical Instructions

- ❑ With respect to the appropriateness of the system, self-analysis is to be given from the viewpoint of its current condition including organizational roles and composition, size and structure of the personnel, cooperation between units, decision-making process, and demarcation of responsibility.
- ❑ Likewise in the case where the university has one or more graduate schools.

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

Practical Instructions

- ❑ Self-analysis is to be given by way of documents and statistics that describe the status of organizations and procedures, for verification including procedures for information gathering for making improvements.
- ❑ Self-analysis is to be given by way of examples of specific improvements that describe how the study results have been reflected in the improvements.
- ❑ Likewise in the case where the university has one or more graduate schools.

4-2-i The number of entrants are not substantially to exceed or fall below the admissions 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.

Practical Instructions

- ❑ With respect to enrolled first-year students, self-analysis is to be given for the past five years based on the table as per attached.
- ❑ Self-analysis is to be given in term of the unit for which admissions capacity is defined.
- ❑ The number of the enrolled first-year students includes that of mid-year enrolled students as well as those of the admitted students assigned by the MEXT, etc., and by foreign governments
- ❑ By saying the number of first-year students substantially exceeds or fall substantially below the admissions capacity, it is meant that the average ratio of the enrolled first-year students to admissions capacity over the past five years is no less than 130% or less than 70 %, respectively.
- ❑ In the case where the enrolled first-year students substantially exceeds or falls below the admissions capacity, self-analysis is to be given as to whether the actions for correction have been taken.
- ❑ Likewise in the case of advanced courses or special courses.

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.

Outline

The content and methods of the university's academic programs are evaluated against this standard.

Academic programs should not only meet the standards required of all universities as set forth in the School Education Law and the Standards for the Establishment of Universities, Graduate Schools, and Professional Graduate Schools, but should also embody the educational goals of the university.

To this end, the curriculum policy of the university must be clearly defined, its academic programs must be systematically designed based on the policy, and their content and standards must be appropriate to the academic degrees awarded.

In addition, class methods, teaching methods, *etc.*, including those of research and thesis supervision in graduate programs, employed must be appropriate for providing academic programs.

The university is required to clearly define its degree awarding policy, and appropriately award credits and academic degrees to students in accordance with the policy. It is also expected to secure the validity of the credits and academic degrees that it awards as an educational institution. From these points of view, the university must appropriately assess its students, award credits, and approve graduation (or completion), and ensure that students can fully benefit from their learning outcomes.

In this standard, evaluations of the undergraduate programs and graduate programs (including professional degree programs) of the university are made separately.

Viewpoints

Undergraduate Programs

5-1-i The policy for designing and implementing curricula is to be clearly defined.

Practical Instructions

- ❑ Policy for designing and implementing curricula refer to a set of basic concepts concerning how to design and implement curricula.

5-1-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.

Practical Instructions

- ❑ Self-analysis is to be given as to whether the curricula, as represented, for example, in the form of course diagrams and model study plans, classes and class content are to produce appropriate educational outcomes in light of the educational purposes and the degrees conferred, based on the policy for designing and implementing curricula.
- ❑ Self-analysis is to be given, for example, as to the provision of first-year education, the balance between liberal education and specialized education, the balance of required and elective subjects and course numbering. Note should be taken that these examples are shown only for clarification so that self-analysis is to be given as to whether classes are arranged appropriately and whether curricula are guaranteed to be systematic, based on the policy for designing and implementing curricula.

5-1-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.*

Practical Instructions

- ❑ Self-analysis is to be given as to the institution's recognition of and consideration with respects of curricula and content of subjects for various needs on the part of students, trends in scholarship, demands from society, *etc.*, taking advantage of documents and data that describe the actions.
- ❑ Self-analysis is to be given, for example, as to considerations for cultivating the abilities needed to achieve social and occupational subsistence, the adaptation of teaching to trends in scholarship including the research results of the teaching staff, elective inclusion of classes provided by other faculties, the recognition of credit for internship experiences, introduction of transfer admissions and fall admissions, coordination with master's (first half of doctoral) programs, implementation of credit transfer and exchange programs with other universities in and outside Japan, and the adoption of double degree programs. Note should be taken that these examples are shown only for clarification.
- ❑ In the case where the institution operates initiatives accepted and funded by MEXT, self-analysis is to be given as to the actions including continued developments beyond the funded terms as well as their influence and effects on teaching and learning.

5-2-i The combination and proportion of class methods, including lecture, seminar, experiment, practical training, skills practice, *etc.* are to be appropriate in terms of educational purposes. Appropriate teaching methods are to be employed for respective educational content.

Practical Instructions

- ❑ Self-analysis is to be given as to whether the combination and proportion of class methods, including lecture, seminar, and practical training, are appropriate so as to achieve appropriate educational outcomes in light of the educational purposes.

- ❑ Self-analysis is to be given as to whether appropriate measures are being taken to increase the educational effects in each subject.
- ❑ Appropriate measures include small class sizes, focusing on discussion and debate, project-based learning (PBL), fieldwork, lecture blended with experiment, blended learning, and the deployment of TAs. Note should be taken that these examples are shown only for clarification so that self-analysis is to be given as to whether teaching methods which are appropriate for classes are being employed.
- ❑ In the case where the institution operates initiatives accepted and funded by MEXT, self-analysis is to be given as to the actions including continued developments beyond the funded terms as well as their influence and effects on teaching and learning.
- ❑ In the case where the classes utilizing diverse media, self-analysis is to be given as to whether they have educational effects comparable to those of face-to-face classes in the sense stipulated by the Standards for the Establishment of Universities.

5-2-ii Considerations are to be given to credit substantiation.

Practical Instructions

- ❑ Self-analysis is to be given as to whether the school year, including time of examination, comprises no less than 35 weeks.
- ❑ Self-analysis is to be given as to whether unit length of one subject is set to ten or fifteen weeks. Self-analysis is to be given as to the reasons for the arrangement as well as the educational effects which should be equivalent to or greater than in the case where the university sets the unit length otherwise reasons .
- ❑ Self-analysis is to be given as to whether actions are being taken to encourage proactive learning by students and to ensure sufficient and necessary learning time. Those actions include provision for sufficient learning time outside of class when students prepare and review the classes as well as learn independently, the systematized advising for study plan with a view to student's independent learning, the instructions on preparatory study by way of syllabuses, frequent assignment of reports and quizzes, and upper limits allowed to register. Note should be taken that these examples are shown only for clarification.
- ❑ In the case where class hour system is taken instead of credit system in a faculty of medicine or faculty of dentistry, self-analysis is to be given mutatis mutandis.
- ❑ This viewpoint focuses on the method of teaching, rather than extended library hours, permission for the use of class rooms for independent study, installation of self-study rooms, and support systems for encouraging independent learning, which are to be analyzed with respect to Standard 7.

5-2-iii Appropriate syllabuses are to be prepared and made use of.

Practical Instructions

- ❑ Self-analysis is to be given as to whether syllabuses are being provided appropriately as a basic tool for students to prepare for each class by including information on the name of the class, teachers, the purpose of the class, the topics and schedule, the grading principle, grading criteria, concrete instructions on preparation, textbooks and references, and prerequisites.
- ❑ Self-analysis is to be given as to the usage of syllabuses by students, such as using for deciding on electives and for preparation.

5-2-iv Considerations are to be organizationally given to students with insufficient fundamental academic ability.

Practical Instructions

- ❑ Self-analysis is to be given as to whether actions are being organizationally taken which target students lacking in academic achievements in certain areas, including remedial and stratified classes.
- ❑ Self-analysis is to be given as to the methods of assessment of students' fundamental academic abilities at the time of entrance by way of, for example, in-house quizzes and TOEIC, in the case where such actions are taken.

5-2-v In the courses, 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.

Practical Instructions

- ❑ Self-analysis is to be given as to whether actions are being taken which use considerations for students enrolled in evening courses, including differential class schedules.
- ❑ Self-analysis is to be given as to whether appropriate advices or supervision on study plan is being given.
- ❑ In the case where class is offered in the evening in locations off the main campus, self-analysis is to be given as to the usage of the facilities in relation to the main campus.

5-2-vi 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.

Practical Instructions

- ❑ Self-analysis is to be given as to whether actions are being taken so as to achieve the educational effects equivalent to those of class room lecture. Especially in the case where the class is conducted by way of media, self-analysis is to be given as to whether actions are being given so as to achieve the educational outcomes equivalent to those in face-to-face classes, such as ensuring interactivity, assigning teaching assistants, and providing opportunities for exchanging opinions with other students.
- ❑ In the case where correspondence education is conducted by way of printed materials, broadcasts, or other media, self-analysis is to be given as to whether appropriate instructions are being provided, including written correction and comments and opportunities for questions to be answered by academic staff.

5-3-i The degree awarding policy is to be clearly defined.

Practical Instructions

- ❑ Degree awarding policy refers to a basic principle according to which degrees awarded in line with university in light of distinctive features and strengths of the institution. It is required for this policy to stipulate the knowledge and skills that those who are granted degrees should acquire.

5-3-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.

Practical Instructions

- ❑ Self-analysis is to include an analysis of methods for grading by which letter grades like A, B and C, are given by combining the results of the attendance, reports, a mid-term exam, and a final exam as well as the standards for grading.
- ❑ Self-analysis is to be given as to the implementation of a GPA system, if implemented.
- ❑ Self-analysis is to be given as to the methods of informing students of the grading system by way, for example, of publications and websites.
- ❑ Self-analysis is to be given as to whether the assessment of students' achievements and the recognition of credits are being conducted appropriately.
- ❑ Note should be taken that evidential materials not appropriate for extramural inspection, such as those including personal information, could be attested at the time of site visit.

5-3-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.

Practical Instructions

- ❑ Self-analysis is to be given as to the organizational measures taken to ensure the objectivity and rigorousness of the assessment of academic achievements and the recognition of credits.
- ❑ Self-analysis include the establishment of guidelines on the range of grades, as represented, for example, giving an A to about 30% of the students in a class, the adequacy of the assessments in terms of bias reduction, the employment of GPA as an indicator for advancement to the next year, appealing system in terms of grading, returning assignments after grading, and the presentation of model answers and grading standards. Note should be taken that these examples are shown only for clarification.

5-3-iv The standards for graduation approval are to be organizationally stipulated in accordance of the degree awarding policy, made known to students and appropriately followed in approving graduation.

Practical Instructions

- ❑ Self-analysis is to be given as to whether the standards for graduation approval, including the number of credits needed for graduation, have been organizationally stipulated in accordance with the degree awarding policy.
- ❑ Self-analysis is to be given as to the institution's actions, including publications and websites, which are intended to make the standards understood by all students.
- ❑ Self-analysis is to be given as to whether the standards for graduation approval are actually being appropriately followed with respect to rigorousness and consistency.
- ❑ Note should be taken that evidential materials not appropriate for extramural inspection, such as those including personal information, could be attested at the time of site visit.

Graduate Programs (including Professional Degree Programs)

Practical Instructions for 5-4

- ❑ With regard to professional degree programs, self-analysis is to be given in light of the purpose of education and the professional degrees conferred. Self-analysis is to include an analysis of conformance with the 'Standards for Establishment of Professional Graduate Schools' and 'Particular Requirements for Professional Graduate Schools' (MEXT Notification No. 53 of March 31, 2003).

5-4-i The policy for designing and implementing curricula is to be 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.

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.*

Practical Instructions

- ❑ With regard to graduate programs except professional degree programs, self-analysis is to be given, for example, as to considerations for the adaptation of teaching to trends in scholarship including the research results of the teaching staff, the classes provided in the different languages other than in Japanese, elective inclusion of classes provided by other graduate schools, implementation of credit transfer and exchange programs with other universities in and outside Japan, the recognition of credit for internship experiences, and introduction of fall admissions. Note should be taken that these examples are shown only for clarification.
- ❑ With regard to professional degree programs, self-analysis is to be given, for example, as to considerations for the adaptation of teaching to trends in scholarship including the research results of the teaching staff, the adaptation of teaching to actual practices in the professional fields, the recognition of credit for internship and externship experiences, and introduction of fall admissions. Note should be taken that these examples are shown only for clarification.
- ❑ In the case where the institution operates initiatives accepted and funded by MEXT, self-analysis is to be given as to the actions including continued developments beyond the funded terms as well as their influence and effects on teaching and learning.

Practical Instructions for 5-5

- ❑ With regard to professional degree programs, self-analysis is to be given in light of the purpose of education and the intent of curricula design. Self-analysis is to include an analysis of conformance with the Standards for Establishment of Professional Graduate Schools and Particular Requirements for Professional Graduate Schools (MEXT Notification No. 53 of March 31, 2003).

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.

Practical Instructions

- ❑ Appropriate measures include small class sizes, focusing on discussion and debate, case study, fieldwork, lecture blended with experiment, and blended learning. Note should be taken that these examples are shown only for clarification so that self-analysis is to be given as to whether teaching methods which are appropriate for classes are being employed.
- ❑ In the case where the institution operates initiatives accepted and funded by MEXT, self-analysis is to be given as to the actions including continued developments beyond the funded terms as well as their influence and effects on teaching and learning.

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

Practical Instructions

- ❑ In the case where the university has one or more professional graduate schools, self-analysis is to be given as to upper limits allowed to register.

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

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.

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.

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.

Practical Instructions

- ☐ Self-analysis is to be given together with the basic principles on research supervision.
- ☐ Self-analysis is to be given as to whether a supervision system has been developed and whether supervision is being appropriately provided, for example, supervision by plural teachers, advice on research topics, annual plan for research supervision, interim presentation of research progress, participation in academic conferences in and outside Japan, collaboration with other universities and industry, skills development by serving as TAs and RAs, and training for teaching. Note should be taken that these examples are shown only for clarification so that self-analysis is to be given whether research supervision is provided appropriately in accordance with the purpose of education and the basic policy on research supervision.
- ☐ Likewise in the case where research projects are assigned in place of a thesis.
- ☐ In the case where the research supervision and thesis supervision could be analyzed separately.
- ☐ Note should be taken that evidential materials not appropriate for extramural inspection, such as those including personal information, could be attested at the time of site visit.

5-6-i The degree awarding policy is to be 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.

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.

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.

Practical Instructions for the graduate programs except for those where professional degrees are awarded

- ❑ Self-analysis is to be given as to whether the standards for evaluation of a thesis and assigned research have been defined appropriately by the degree awarding units in accordance with the degree awarding policy. The standards for evaluation of a thesis and assigned research refer to the stipulation of acceptable kinds of content and format of a thesis or assigned research rather than procedures and requirements for awarding degrees.
- ❑ Self-analysis is to be given as to how well the standards have been made known to students.
- ❑ Self-analysis is to be given as to the structure of the review committee, including organizational roles, the size and balance of the committee, its relationship with other parts of institution in decision making, ascription of responsibilities, and the procedures leading to the review in terms of its formal arrangement and the appropriateness of review procedures of the thesis and recognition of the completion within the review committee.
- ❑ A qualifying examination for doctoral candidacy could be analyzed likewise.
- ❑ Note should be taken that evidential materials not appropriate for extramural inspection, such as those including personal information, could be attested at the time of site visit.

Practical Instructions for the graduate programs where professional degrees are awarded

- ❑ In the case where the university has professional degree programs, self-analysis is to be given in the same manner as in bachelor's degree programs *mutatis mutandis*.

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.*

Outline

Learning outcomes achieved by students through university education are evaluated against this standard.

While it is important that educational and other activities of the university are conducted as planned, students should be the primary beneficiaries of the outcomes of these activities. Thus, the university must collect appropriate data, grasp the learning outcomes that its students have achieved or will achieve in the future, and carry out a self-assessment of these outcomes.

The intended learning outcomes need to be produced in terms of the knowledge, skills, attitudes, *etc.*, that students are expected to acquire, in line with the educational goals of the university and human resources it aims to develop. Achievement in these learning outcomes must be evidenced by the situation of credits earned and graduation (or completion) and the results of student surveys.

Achievement in the learning outcomes must also be evidenced by the situation of student destinations after graduation (or completion), for example, further education or careers, the results of surveys among graduates themselves and academic staff, employers and other people involved in their current activities, and other facts.

The university and its faculties, graduate schools and institutes should grasp the learning outcomes produced and carry out a self-assessment by collecting the mentioned or any other appropriate data according to the educational goals of the organizations and the characteristics of the study fields.

Viewpoints

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).

Practical Instructions

- ☐ Likewise in the case where the university has one or more graduate schools.

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

Practical Instructions

- ☐ The responses from students include satisfaction survey, learning portfolio analysis, *etc.*
- ☐ Likewise in the case where the university has one or more graduate schools.

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

Practical Instructions

- ☐ Likewise in the case where the university has one or more graduate schools.

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

Practical Instructions

- ☐ Self-analysis is to be given by way of data or evidence, if indirect or incomplete which support description of the situation objectively.
- ☐ Likewise in the case where the university has one or more graduate schools.

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.

Outline

First, the facilities and equipment of the university are evaluated against this standard. If lecture rooms, laboratories, and learning facilities for information processing and languages are used for lectures or any other forms of lesson, they must be sufficiently capable for the purposes and effectively used. Their capacity and functions should depend on the number of students attending the lesson, the content and methods of academic programs, *etc.* In addition, the university is expected to have a library in place where books and other resources necessary for study are systematically collected, classified and organized, and available for use. It is also important to put in place facilities for self-study and extracurricular activities. These facilities need to be appropriately maintained and managed as the university's assets, and systems for ensuring security and preventing crimes must be installed.

Second, the student support services of the university are evaluated against this standard. Students may face various problems during the course of their university life, but can hardly solve all of these problems alone. Thus, the university must grasp what problems they have and what support they need, and provide them with proper assistance. Their problems and needs may be related to course/major selection, learning, student life, career and employment, harassment, *etc.* The university needs to arrange appropriate systems and services to provide consultation and advice on these issues. Clubs, student councils and other extracurricular activities are an important part of university education in a broader sense. The university must provide support aimed at helping students conduct these extracurricular activities smoothly. Support and assistance also need to be given to students barely able to pay tuition. In addition, the university must appropriately assist students who need special support, such as international students, working students and disabled students.

Viewpoints

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.

Practical Instructions

- ☐ Self-analysis is to be obligatorily given as to the size of the area of campuses sites and school buildings.
- ☐ Self-analysis is to be given as to whether the facilities and equipment for the management of the educational and research organizations in the university and the implementation of their curricula are appropriately provided and functioning. Facilities and equipment include campuses, athletic grounds and facilities, faculty offices, lecture hall, seminar rooms, laboratories, training facilities, facilities for information research, and language laboratories, as are specified in the Standards for

Establishment of Universities.

- ☐ Self-analysis is to be given as to whether considerations are given to the equal accessibility for all users including disabled students.
- ☐ Self-analysis is to be given as to the considerations for safety and security on campus. Relevant considerations include, but are not limited to, installing lighting and security cameras.
- ☐ Self-analysis is to be given as to the various demands from students and the university's responses.

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

Practical Instructions

- ☐ Self-analysis is to be given as to the development and usage of the ICT environment necessary for the implementation of the curricula of the university, including the condition of the effortless connectivity to the internet by staff and students in the course of teaching and learning and other activities, in light of the importance of the ICT.
- ☐ In the case where students' demands and satisfaction with respect to the ICT environment are captured, self-analysis is to be given by way of documents and data.

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.

Practical Instructions

- ☐ Self-analysis is to be given as to the condition of the systematic collection and effective usability of the books and other materials which are to be managed by libraries according to the education and research organizations and curricula.
- ☐ Self-analysis is to be given as to the open hours, circulation, etc.
- ☐ In the case where students' demands and satisfaction with respect to the libraries and collected materials are captured, self-analysis is to be given by way of documents and data.

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

Practical Instructions

- ☐ Self-analysis is to be given as to whether the environments for independent learning are usefully available for students.
- ☐ In the case where students' demands and satisfaction with respect to the environments for independent learning are captured, self-analysis is to be given by way of documents and data.
- ☐ Relevant practices include, but are not limited to, self-study rooms, group discussion rooms and computer rooms as well as class rooms and facilities available outside of class hours.
- ☐ Likewise in the case where the university has one or more graduate schools.

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

Practical Instructions

- ☐ Self-analysis is to be given as to the effects as well as the content and the provision of the guidance.
- ☐ In the case where students' demands and satisfaction with respect to the guidance are captured, self-analysis is to be given by way of documents and data.

- ☐ Likewise in the case where the university has one or more graduate schools.

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

Practical Instructions

- ☐ Self-analysis is to be given as to the initiatives and methods for understanding of students' demands for support as well.
- ☐ Relevant practices include, but are not limited to, office hours, online communication and consultation, and faculty consulting system.
- ☐ Self-analysis is to be given to the learning supports for students with special needs based on numerical data about these students. Students with special needs in learning include, but are not limited to, international students, part-time students and students with disabilities.
- ☐ In the case where currently there are no students with special needs enrolled, self-analysis is to be given as to the availability of necessary supports.

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

Practical Instructions

- ☐ Self-analysis is to be given as to the usage of learning support and consultation as well.
- ☐ In the case where students' demands and satisfaction with respect to learning support and consultation are captured, self-analysis is to be given by way of documents and data.

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

Practical Instructions

- ☐ Self-analysis is to be given in terms of facilities, equipment and finance for extracurricular activities.
- ☐ Self-analysis is to be given as to the extracurricular activities as systematically supported by the university.

7-2-v Students demands for supports in living are to be appropriately understood. Opportunities for consultation and counseling 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.

Practical Instructions

- ☐ Self-analysis is to be given as to the students demands as well.
- ☐ Self-analysis is to be given as to the development and effectiveness of concrete initiatives and system for implementation for the purpose of empowering students for social and vocational independence.
- ☐ Self-analysis is to be given as to the role, size and structure of organizations, their coordination, decision procedure and responsibility for the consultation and advice in different areas based on evidential materials and data.
- ☐ Relevant practices include, but are not limited to, dispensary facilities, student consultation office, career placement office and harassment consultation desk.
- ☐ Self-analysis is to be given to the living supports for students with special needs based on

numerical data about these students. Students with special needs in living include, but are not limited to, international students, part-time students and students with disabilities.

- ❑ In the case where currently there are no students with special needs enrolled, self-analysis is to be given as to the availability of necessary supports.
- ❑ In the case where students' demands and satisfaction with respect to living are captured, self-analysis is to be given by way of documents and data.

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

Practical Instructions

- ❑ Self-analysis is to be given as to the students' knowledge about scholarship programs, *etc.*
- ❑ Self-analysis is to be given as to the condition of the application and acceptance.
- ❑ In the case where students' demands and satisfaction with respect to financial aids are captured, self-analysis is to be given by way of documents and data.
- ❑ Relevant practices include, but are not limited to, scholarships, loans, tuition waiver and dormitories.
- ❑ In the case where there special assistance for international students, self-analysis is to be given as to the condition thereof.
- ❑ Likewise in the case where the university has one or more graduate schools.

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.

Outline

The university's internal quality assurance system for education is evaluated against this standard.

To achieve its educational purposes, the university is expected to make constant efforts to assure and enhance the quality of its teaching and learning by continuously evaluating the conditions of its educational provision. To this end, appropriate systems must be in place and function properly for evaluating the university's educational activities and the learning outcomes achieved by students through its academic programs and enhancing the quality of its education based on the findings. It is also important to reflect the views and advice of internal and external stakeholders in the self-evaluation process.

Programs to improve the quality of the university's staff must be appropriately provided and function properly. These programs include faculty development (FD) programs (i.e., training for academic staff and mutual class observations between them), and training and other programs for education supporting staff and academic assistants.

Viewpoints

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

Practical Instructions

- ☐ Self-analysis is to be given as to the collection and accumulation of evidential materials and data on education and learning outcomes, including the descriptions of the organization in charge of managing the data and the roles played by the institution's constituents.
- ☐ Self-analysis is to be given as to the organization in charge of self-evaluation in terms of the system for the self-evaluation on the education and learning outcomes as well as the cases the institution has reviewed.
- ☐ Self-analysis is to be given as to the continued actions contributing to the enhancement and improvement of educational quality, including the planning and implementation of the actions to be taken regularly and its PDCA (Plan-Do-Check-Act) cycle.
- ☐ Likewise in the case where the university has one or more graduate schools.
- ☐ Self-analysis is to be given as to the system employed in preparation for the self-assessment for Certified Evaluation and Accreditation (CEA), which could be the same implementation system as that of institution's self-evaluation.

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 appropriate way in the improvement and enhancement of the quality of teaching and learning.

Practical Instructions

- ❑ Self-analysis is to be given as to the content of and the methods for hearing opinions from the university community consisting of students, academic and administrative staff as well as the observed cases of action.
- ❑ The methods for hearing opinions include questionnaire surveys on students' achievements, satisfaction, learning environments as well as on student evaluation of teaching. Note should be taken that these examples are shown only for clarification so that self-analysis is to be given as to continued actions of hearing opinions from the university community as well as bringing the results of self-evaluation to bear the enhancement and improvement of educational quality.
- ❑ Self-analysis is to be given as to the cases where the enhancement and improvement of quality of education was actually brought to bear.

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

Practical Instructions

- ❑ Self-analysis is to be given as to the content of and the methods for hearing opinions from stakeholders in society as well as the observed cases of action.
- ❑ Stakeholders in society include alumni and employers. Note should be taken that these examples are shown only for clarification so that self-analysis is to be given as to continued actions of hearing opinions from the university community as well as bringing the results of self-evaluation to bear the enhancement and improvement of educational quality.
- ❑ Self-analysis is to be given as to the cases where the enhancement and improvement of quality of education was actually brought to bear.

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.

Practical Instructions

- ❑ Self-analysis is to be given as to the content of and the methods for faculty development (FD) as well as the observed cases of action.
- ❑ Self-analysis is to be given as to whether the actions for FD meet the demands from students and staff and whether they are taken appropriately as an institution.
- ❑ Self-analysis is to be given as to the effectiveness of the actions in terms of measures taken for improvement and the cases where perceived issues have been solved.

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.

Practical Instructions

- ❑ Self-analysis is to be given as to the principles, content and methods of the actions for academic supporting staff and academic assistants as well as the condition of implementing those activities.

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.

Outline

First, the university's financial basis and financial management are evaluated against this standard. A university cannot function without sufficient financial resources. To facilitate its education and research activities in an appropriate and stable manner over the long term, the university is required to have a stable financial basis. If the university's revenue largely depends on tuition fees, it must secure a sufficient number of students. The university must also preserve adequate capital (funds and assets) as a means of crisis and risk management in the case of unexpected changes in the external environment and other contingencies. A university earns revenue from various sources, manages and invests this revenue, and allocates its budget according to its purpose. Thus, the university must draw up and implement clear budget plans and allocation policies. The university also needs to produce financial statements and other relevant documents to clarify its financial status and conduct appropriate financial audits to confirm its financial soundness.

Second, the university's management systems and administrative organizations are evaluated against this standard. For the university to achieve the purposes of its education and research activities, it is important that its management and administrative organizations function in a coordinated way to assist and facilitate its education, research and other activities. It is also essential to have crisis and risk management systems in place in order to respond to unexpected events and changes in the external environment and other critical situations, and ensure staff development, including compliance with relevant laws and ethics for researchers. To ensure smooth and effective management, the university should clearly define the authority and responsibilities of each of its members. It also should grasp the views and needs of its internal and external stakeholders before making swift and accurate organizational decisions.

Whereas evaluated against Standard 8 "Internal Quality Assurance System for Teaching and Learning" are systems for conducting the self-evaluation of the university's educational activities, evaluated against this standard is whether systems for conducting the self-evaluation of the general conditions of its activities and making constant improvements are in place and functioning properly.

Viewpoints

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.

Practical Instructions

- ☐ Self-analysis is to be given as to the assets such as school premises and buildings for facilitating appropriate and stable educational activities as well as the debts.
- ☐ Self-analysis is to be given for the past five years based on evidential materials or statistics.

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

Practical Instructions

- ☐ Self-analysis is to be given as to whether the institution incessantly secures regular revenues for its education and research activities, judging from the past revenues such as tuition fees and external funding during the past five years.
- ☐ Self-analysis is to be given as to the proportion of student enrollment to the capacity in consideration of incessantly securing revenues from student payments.
- ☐ Self-analysis is to include an analysis of regular revenues other than student payments.

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.

Practical Instructions

- ☐ Self-analysis is to be given as to the process of planning a budget which begins from drafting followed by setting it as a plan.

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

Practical Instructions

- ☐ Self-analysis is to be given as to the revenues and expenses in comparison with the budget during the past five years.

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

Practical Instructions

- ☐ Self-analysis is to be given by way of documents and data in terms of the allocation of resources to education and research activities, etc., based on policies and plans for resource allocation.
- ☐ Self-analysis is to be given as to the policy for resource allocation for facilities and equipment.

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

Practical Instructions

- ☐ Self-analysis is to be given as to the content and methods of accounting audits, such as internal audits, auditor's audits, and audits by certified public accountants, as well as the observed cases of execution.
- ☐ Self-analysis is to be given as to the independence of the methods and system for internal audits.
- ☐ Self-analysis is to be given as to the compliance with the relevant laws and regulations of the financial statements in terms of their structure and procedures for creation.

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.

Practical Instructions

- ☐ Self-analysis is to be given as to the size and functionality of the management and administrative system in terms of its roles and deployment of the constituents.

- ☐ Self-analysis is to be given as to the risk management, including the management of unforeseeable incidents, legal compliance, research ethics, as well as the units in charge of it.

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.

Practical Instructions

- ☐ Self-analysis is to be given as to whether the opinions and demands on the management of the institution from academic and administrative staff and students as well as stakeholders in society are systematically understood.
- ☐ Self-analysis is to be given as to the implementation of the system and the perceived opinions and demands.
- ☐ Self-analysis is to be given as to the cases where the opinions and demands are actually reflected in management and administration.

9-2-iii Auditors are to take part in an appropriate manner.

Practical Instructions

- ☐ Self-analysis is to be given as to the content and methods of the auditor's inspection as well as the condition of implementing those activities.
- ☐ Self-analysis is to be given not only as to the financial audits but also as to the inspection on operations.

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 fulfill its responsibility adequately.

Practical Instructions

- ☐ Self-analysis is to be given as to the principles, content and methods of training programs on management and administration as well as the condition of implementing those activities.
- ☐ Training programs and relevant development activities include training sessions conducted by the university, the university management seminars conducted by the Japan Association of National Universities, and the administrative staff seminars conducted by the Japan Association of Public Universities. Note should be taken that these examples are shown only for clarification.

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

Practical Instructions

- ☐ Self-analysis in terms of implementing self-evaluation on the general condition of the institution is to be given as to the policy, the system and examined items as well as the condition of the implementation.

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

Practical Instructions

- ☐ Self-analysis is to be given as to the methods and the condition of the implementation of evaluations by third parties.

- ❑ Evaluations by third parties include certified evaluation and accreditation, national university corporation evaluation, local incorporated administrative agency evaluation, and other external evaluations. Note should be taken that these examples are shown only for clarification.

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

Practical Instructions

- ❑ Self-analysis is to be given as to the continued actions which bring the results of self-evaluation and evaluations by third parties to bear the enhancement and improvement of the institution, taking advantage of documents and data that describe the roles and structure of organizations, size and structure of operational units, cooperation and decision-making process between units, and demarcation of responsibility.
- ❑ Self-analysis is to be given as to the cases where the enhancement and improvement of quality is actually brought about.
- ❑ In the case where any improvements were recommended in the last CEA, self-analysis is to be given as to the actions for improvements as well as their results.

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.

Outline

As public education and research institutions, universities are expected to fulfill their accountability to their stakeholders by actively publishing information on the conditions of their education, research and other activities. Different stakeholders, including prospective and enrolled students, parents, employers of graduates, taxpayers, and other members of society, look for many different kinds of information. Evaluated against this standard is whether the university fulfills its accountability by publishing such information appropriately.

The mission of the university and the purposes of its faculties, graduate schools, *etc.* are required to be published and be understood by the whole community.

By publishing its basic policies on education, i.e. admission policy, the policy for designing and implementing curricula and degree awarding policy, the university is expected to provide its stakeholders with information, among others, on what abilities, aptitudes and other qualities it expects prospective students to have, what kind of education it provides for students, and what knowledge, skills and attitudes it expects its graduates to acquire.

The university also needs to appropriately publish such information on the conditions of its education, research and other activities as includes not only the basic information on the conditions of its educational activities, e.g. the basic organizations for education and research, systems for implementing curricula and the general conditions of students experience but also the results of self-evaluation.

Viewpoints

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.

Practical Instructions

- ☐ Self-analysis is to be given in terms of the conditions of making information available including publishing in print or on the internet.
- ☐ Self-analysis is to be given as to the institution's actions, including various meetings, trainings for new staff, orientations for freshmen, which are intended to make the institution's mission understood by all constituents, namely academic and administrative staff, full and part-time staff, and students.
- ☐ Likewise in the case where the university has one or more graduate schools.

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.

Practical Instructions

- ☐ Self-analysis is to be given as to the institution's actions, including various meetings, orientations for freshmen, publication in print which are intended to make policies understood by all

constituents, namely academic and administrative staff, full and part-time staff, and students.

- ❑ Self-analysis is to be given in terms of the conditions of making information available including publishing in print or on the internet and the orientation for application for entrance.
- ❑ Likewise in the case where the university has one or more graduate schools.

10-1-iii The information on the institution's education and research activities, including the details specified by Clause 172-2¹⁾ of the Implementation Ordinance of School Education Law, is to be made publicly available appropriately.

Practical Instructions

- ❑ Self-analysis is to be given based on evidential materials and statistics whether the information on the institution's education and research activities, including the details specified by Clause 172-2 1) of the Implementation Ordinance of School Education Law, results of self-evaluation, financial statements, have been made available by way of publishing in print or on the internet, etc.
- ❑ In the case where the university makes publicly available the information on its other education and research activities and their outcomes, self-analysis is to be given as to the organizational actions concerning such information.
- ❑ In the case where the university makes information publicly available in other languages than Japanese, self-analysis is to be given as to the conditions of its actions.

¹⁾ Clause 172-2 of the Implementation Ordinance of School Education Law.

(1) The universities, junior colleges and graduate schools are required to make the following items of information publicly available:

- [1] the mission and purposes of the university;*
- [2] basic organizations for education and research;*
- [3] the structure of academic staff organization, the number of teaching staff members, and their degrees and achievements;*
- [4] the admission policy, the number of entrants, capacity and its fulfillment in terms of the number of students, the number of those who graduated or awarded degrees, the condition of immediate destination including employment and continued study for higher degrees with the number of graduated students broken down by the kind of destination;*
- [5] class subjects, methods and content of teaching and the annual plans for conducting classes;*
- [6] assessment of learning outcomes and qualification for graduation and completion of programs;*
- [7] land, buildings and other facilities and equipment together with the environments for students' learning;*
- [8] tuition fees, one-time restoration fees and other charges made by the institution; and*
- [9] Support for students in respect of their learning, career planning and physical and mental health, etc.*

(2) The universities and other higher education institutions are encouraged to proactively make publicly available the information on the knowledge and skills students are required to acquire in accordance with the purposes of education. Considerations for the enhancement of the educational effectiveness of university should be given by making clear what students can learn based on what kind of curriculum.