

# Institutional Research in a University **without** Regular Institutional Management

The Case of Japanese National Universities

---

## IIAI AAI-IRIM 2013

2nd International Conference on Institutional Research and Institutional Management, IIAI International Conference on Advanced Applied Informatics

Miho Funamori  
Educational Planning Office  
The University of Tokyo

September 3<sup>rd</sup>, 2013

# Basic Issue

---

- Why does institutional research not function well in Japanese universities, and especially in national universities?
- ✓ Staff at IR offices having difficulty gaining firm footing within their universities and restless of their and IR office's future
- ✓ Academic publication on IR mainly on how IR offices could function, and not on detailed IR topics such as enrollment management, financial analysis, etc.

# Today's Talk

---

1. Background: The **Rise of IR** in higher education
2. **Comparing Japan and US**: Difference in IR and university management
3. Discussion:
  - Primary **Cause of Malfunction of IR** in Japan
  - Next Step of Japanese IR Offices

---

# 1. Background: The Rise of IR in higher education

# History of IR

---

## United States

- Growth in 1960s-80s
- Background:
  - ✓ Students protesting against authoritarian university leadership
  - ✓ Economic recession for decades
  - ✓ Massification of HE, demanding increased accountability
  - Strong private HE sector, leading to heavier pressure towards public sector

## Japan & Other Countries

- Since 1990s or 2000s
- Background:
  - ✓ Economic recession
  - ✓ Massification of HE, demanding increased accountability
  - General view to regard HE as public good(!)

# Background of Rise of IR

---

## □ Background

- Economic recession
- Massification of HE
- Aging society and increased social welfare spending

leading to...

- Tight Budget of HE

## □ Pressure towards HE

- Increased Efficiency and Effectiveness
- Increased Accountability

IR as a tool to increase efficiency, effectiveness and accountability in HE management

# Sea Changes in 21<sup>st</sup> century HE

---

## □ Rush of HE Reforms

- ✓ Privatization/Incorporation of Universities
- ✓ Introduction of Accreditation of HE
- ✓ Introduction and/or Increase in Tuition fees
- ✓ Competitive Funds and Performance Funding
- ✓ Call for Strong University Leadership and Corporate-style Governance
- ✓ Call for Strong Research Strength and High University Rankings
- ✓ Call for Student's Learning Outcomes, competency-based programs, mastery, ...
- ✓ Call for Internationalization of HE, Online Education, MOOCs, etc.

# University Reforms

---

- Establishing Corporate-style Governance
  - ✓ Strong Presidency and introduction of Vice-Presidents
  - ✓ Introduction of Governing Board
  - ✓ Swift, Agile and Central Decision-Making
  - ✓ Reinforcement of Support Staff at Central-Management and introduction of Professional Staff
  - Away from Consensus-Making, Shared Governance
  - Away from Strong Chancellor (Secretary)
- Drafting Strategic Papers, Alignment of Means and Goals, PDCA-cycle
- Central Control in Allocation of Resources and/or Self-Supporting Accounting
- Performance Indices and Central Management of Departments



# Mission of IR

---

- *Institutional research is research conducted within an institution of higher education to provide information which supports institutional planning, policy formation and decision making*

*Saupe J. L.(1990) The Function of Institutional Research 2<sup>nd</sup> Edition  
Association for Institutional Research  
<http://www.airweb.org/page.asp?page=85>*

# University Governance...Organizational Chart



Central Administration

President, VPs, Provost, etc.  
Univ Leadership

Budget & Planning

Finance & Facilities

General Counsel

Human Resources

Registrar & Admission

Development

Research

Student Affairs

International Affairs

Administration Bureau

Dept A

Dept B

Dept X

Where does IR fit in?



---

## 2. Comparing Japan and US: Difference in IR and university management

- ✓ Function of IR
- ✓ Reporting Line
- ✓ Service of IR offices

# Function of IR...US

---

- Planning support
- Decision making support
- Policy formation support
- Assessment support
- Conducting research studies
- Data Management
- Data analysis
- External reporting
- Internal reporting

*S. W. Thorpe, "The Mission of Institutional Research,"*

*26th Conference of the North East Association for Institutional Research, pp. 211-218, 1999*

# Function of IR

## ...Japanese National Universities...Case Study(1)

	Nagoya U	Ehime U	Kyushu U
Planning support	✓	✓	
Decision making support			
Policy formation support			
Assessment support	✓	✓	✓
Conducting research studies		✓	
Data Management	✓	✓	✓
Data Analysis	✓	✓	✓
External reporting			✓
Internal reporting	✓	✓	✓

Decision making and policy formation support completely missing!

But shouldn't be this fundamental to IR mission?!



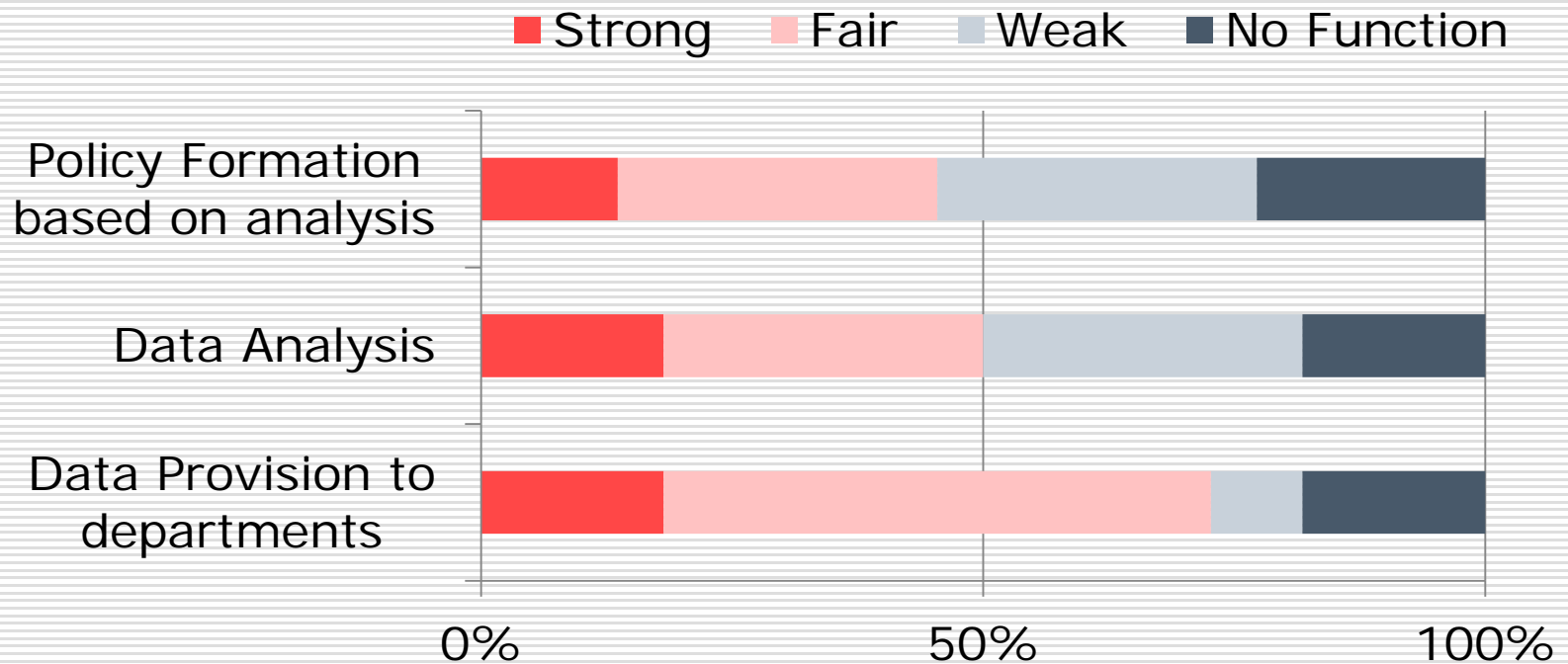
T. Kominato and T. Nakai, "Institutional Research at National University Corporations: The Cases of Nagoya University, Ehime University, and Kyushu University," *Research on Academic Degrees and University Evaluation*, No. 5, pp. 19-34, 2007

([http://www.niad.ac.jp/n\\_shuppan/gakujutsushi/mgzn5/\\_icsFiles/afieldfile/2007/04/24/no9\\_16\\_kominato\\_no5\\_02.pdf](http://www.niad.ac.jp/n_shuppan/gakujutsushi/mgzn5/_icsFiles/afieldfile/2007/04/24/no9_16_kominato_no5_02.pdf))

# Function of IR

## ...Japanese Private Universities...Case Study(2)

---



*S. Okada and K. Oki, "Flash report: Survey on Gathering and Analyzing Information within University for Function Improvement Purpose," unpublished, March 2009 (<http://www.f.waseda.jp/okikiyo/ir/090303.pdf>)*

# Function of IR...Japanese Universities

---

- ❑ Policy making or decision making support, which should be core function of IR is not major function of IR offices at Japanese universities.

Usually the mission of IR offices at...

- ❑ National universities are:
  - ✓ Preparing self-evaluation reports for accreditation and accountability towards funding agency purpose
  - ✓ Little emphasis on using IR work for university improvement or reform
- ❑ Private universities are:
  - ✓ Emphasis on improving learning of students, or more managerial issues at governing board level.

# Reporting Line...US

---

**Figure 1.4. IR Location in Organizational Structure**

Academic Affairs/Provost	38%
President/Chancellor	26%
Business Affairs/Services	8%
Development/Alumni	5%
Student Affairs/Services	4%
Other	18%

Source: Sarah Lindquist, "A Profile of Institutional Researchers from AIR National Membership Surveys" from J. F. Volkwein (ed.), *New Directions for Institutional Research*, #104, Winter 1999.

*J. F. Volkwein, "The Foundations and Evolution of Institutional Research," New Directions for Institutional Research, No. 141, pp. 5-20, Spring 2008 (<http://onlinelibrary.wiley.com/doi/10.1002/he.289/pdf>)*



# Reporting Line...Japanese Universities

---

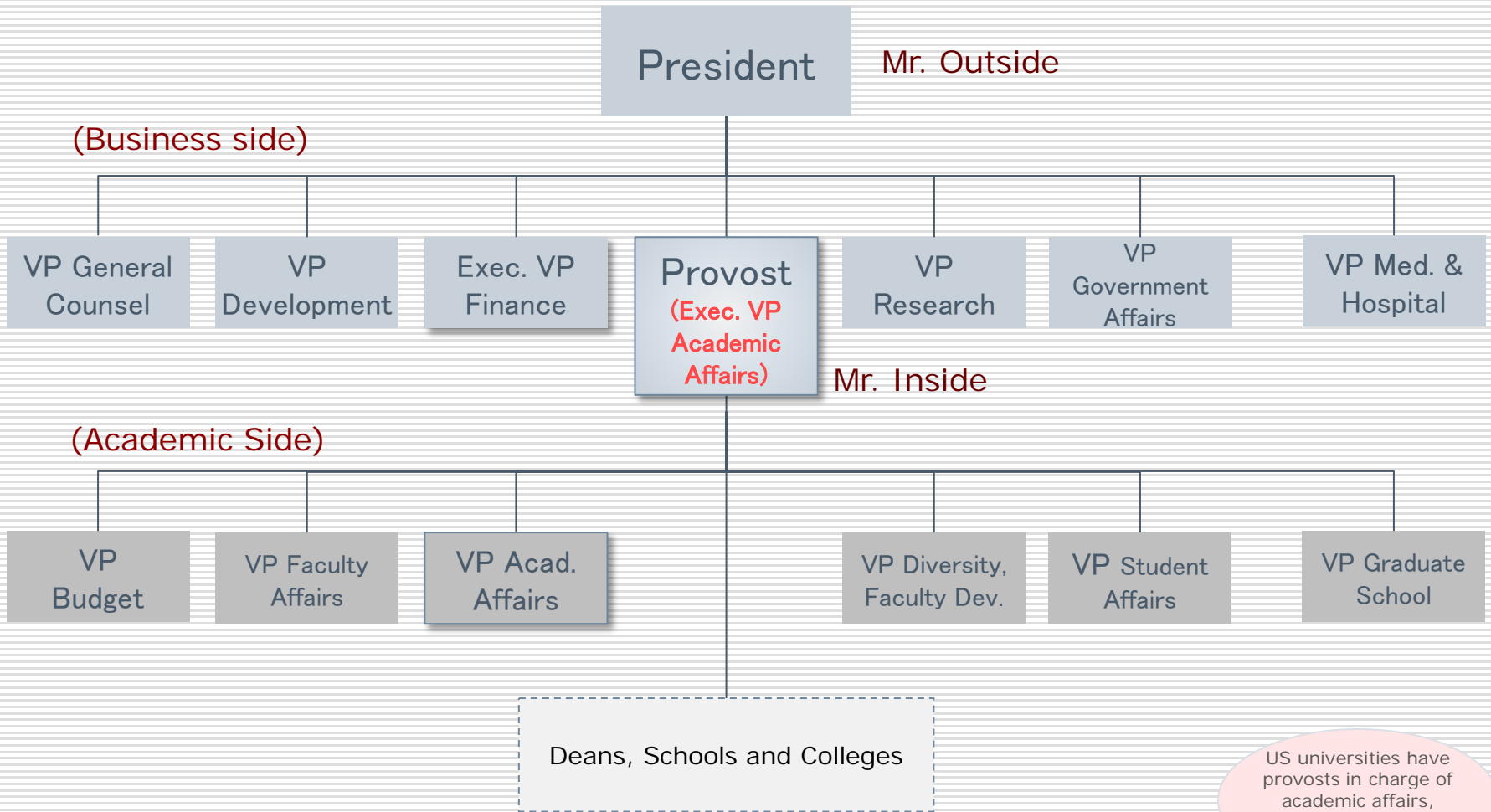
- Fairly uncommon to report directly to the president or provost, decision makers of highest rank.

Usually IR offices at...

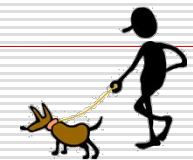
- National universities reports to:
  - ✓ Discussion and reviews within the IR office and administration bureau only
  - ✓ Only formal approval by the university
- Private universities reports to:
  - ✓ In case of Center for Teaching and Learning, just indirectly connected to the administration
  - ✓ In case of support to governing board, more direct connection

# US Universities' leadership

## ...Organizational Chart



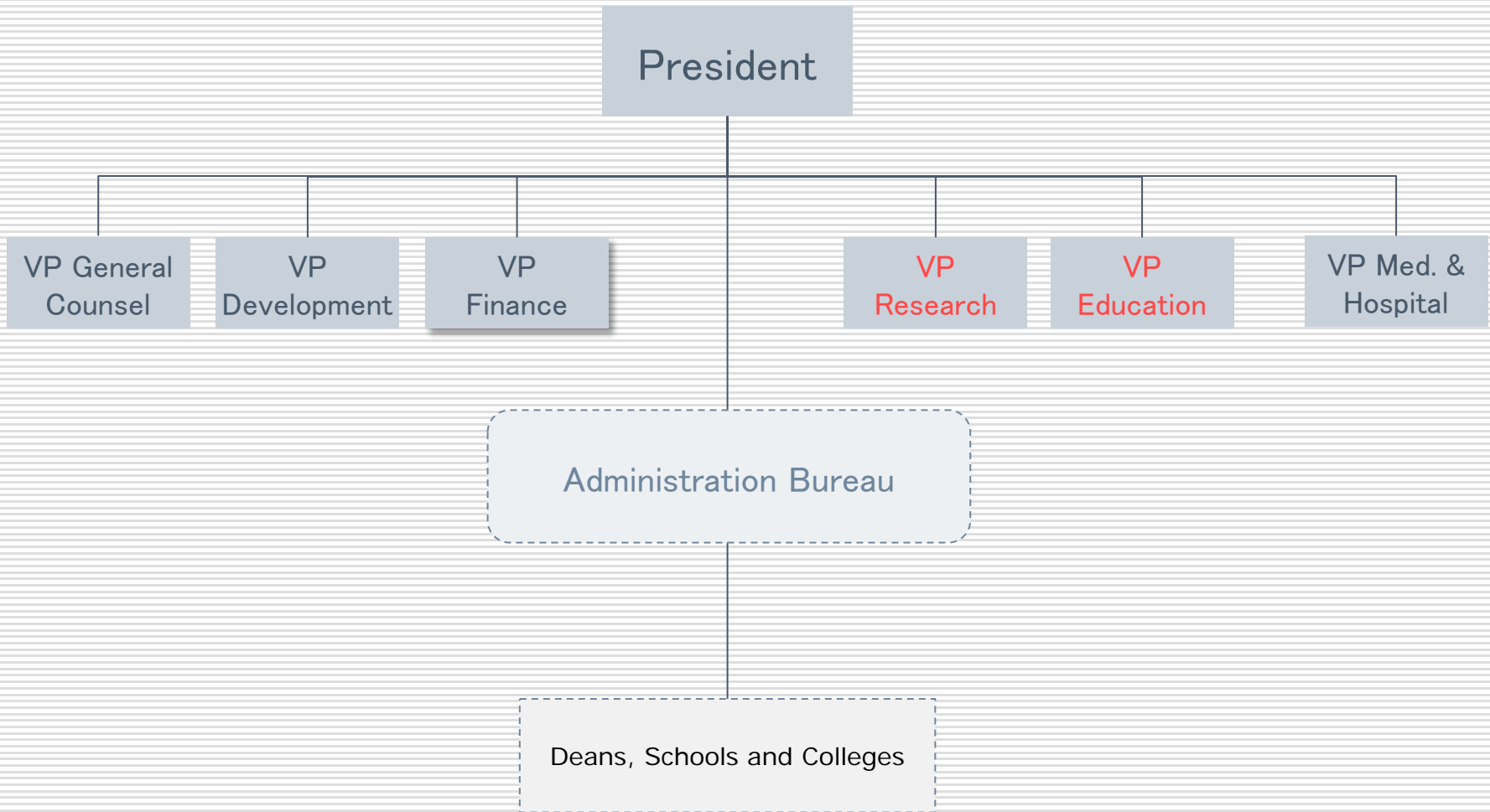
US universities have provosts in charge of academic affairs, backed up by several vice-provosts.



# Japanese Universities' leadership

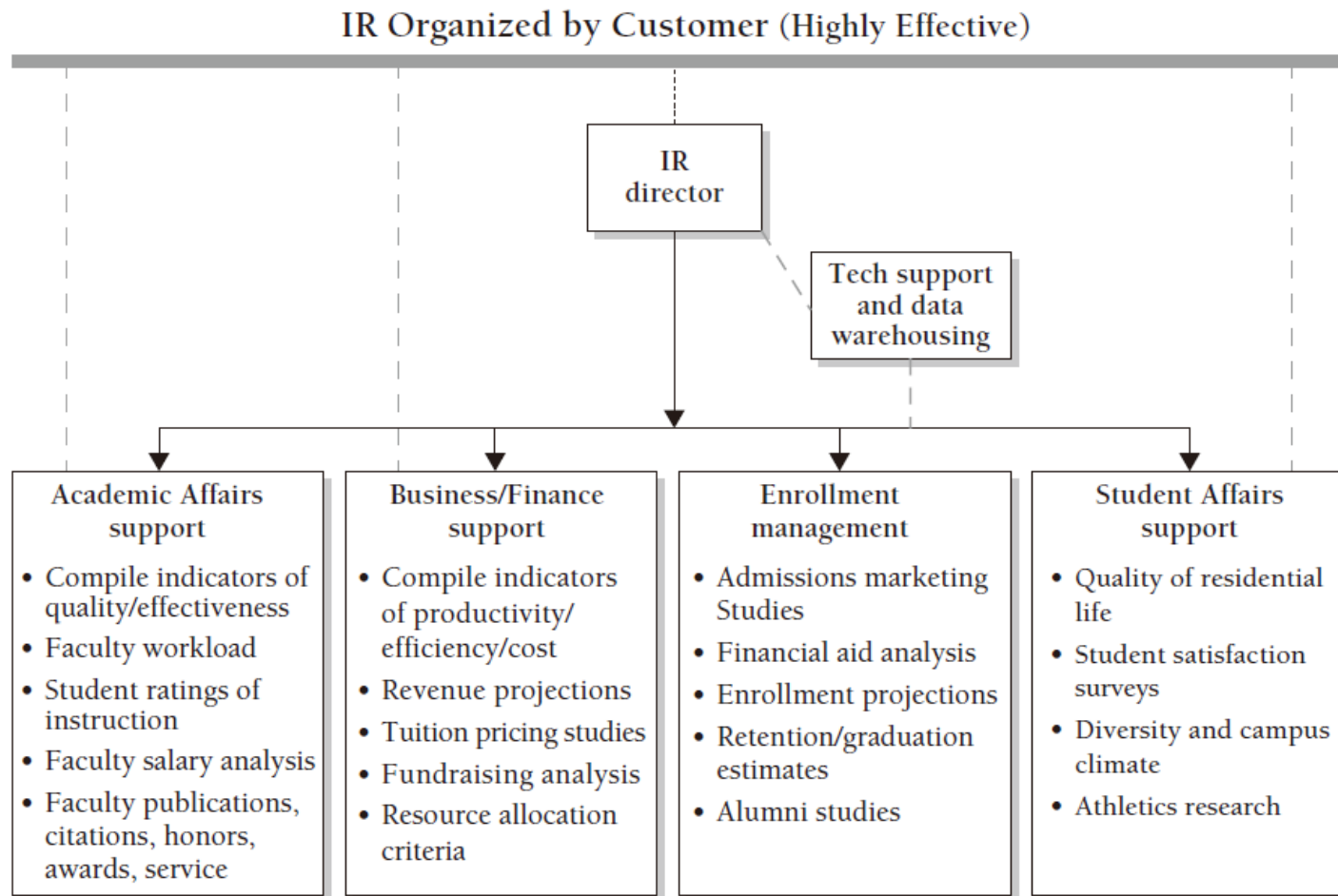
## ...Organizational Chart

---



# Service of IR offices...US

**Figure 1.9. IR Organized by Customer (Highly Effective)**



# Service of IR offices...Japan



If you don't have any provosts it's no wonder that IR do not cover academic affairs support

Services of IR offices	National Univ.	Private Univ.
Academic Affairs Support	N/A	N/A
Business/Finance Support	N/A	"Gakko-Housin" (governing body)
Enrollment Management	(Admissions Office)	Admissions Office
Student Affairs Support	(Student Affairs Section, Center for Teaching and Learning)	

- a. Names in the table denote the offices in charge of the respective institutional research function.
- b. Brackets denote services not necessarily linked to university decision making but rather performed as routine procedural work.

---

### 3. Discussion:

- Primary Cause of Malfunction of IR in Japan
  - Next Step of Japanese IR Offices

# Primary Cause of Malfunction of IR in Japan (1)

---

- Why does IR not function in Japanese national universities?
  - i.e. Why does Japanese IR not supports institutional planning, policy formation and decision making, effectively?
  - ✓ **Not expected** to support policy formation and decision making
    - Primary mission: Preparing self-evaluation reports for accreditation and accountability purpose
  - ✓ **No provosts** or vice-presidents for academic affairs to whom IR office can report to
  - ✓ **No administration on academic affairs** (such as faculty affairs) and only little administration in business/finance affairs

## Primary Cause of Malfunction of IR in Japan (2)

---

- Who or what is to blame for the malfunction of IR office?
  - ✓ The IR office isn't to blame!
    - The IR offices are not expected to support policy formation and decision making.
    - It is also not their fault that there is no provosts, or administration on academic affairs.
  - ✓ Rather, we have to face the fact that there is **no regular institutional management installed, especially at Japanese national universities**
- **Regular Institutional Management** expected in ordinary university management:
  - academic management, business/financial management, enrollment management, etc.



## Primary Cause of Malfunction of IR in Japan (3)

---

- Why is no regular institutional management installed, especially in Japanese national universities?
  - ✓ Autonomy since 2004 and administration not used to managing and running universities
    - Even though almost 10 years have passed, it is very difficult to change the governance structure, especially if some other institutional body is going to be deprived of power and resources.
  - ✓ Strict national regulation, and less freedom to make change in faculty and student number, tuition fees, academic organization, etc.
  - ✓ Historically, decision making based at department-level
  - ✓ Central administrative units also decentralized

## Primary Cause of Malfunction of IR in Japan (4)

---

- Should Japanese-style IR be established?  
i.e. decentralized IR function at department-level and at each administrative units

(pros)

- ✓ IR is there where decision making takes place
- ✓ Detailed data available

(cons)

- ✓ Difficult to make meaningful decision as a university of single entity
- ✓ University fails to be accountable to society as an autonomous and self-governing body

# Next Step of Japanese IR offices

---

## (Plan A)

- Try to install regular institutional management by producing data and KPIs necessary for decision making.
  - ✓ Because there is only little freedom to make change in university management because of strict regulations, it won't work either.

## (Plan B)

- Try to get involved in decision making by supporting strategic planning.
  - ✓ Only after IR offices have established connections and trust with the administrators, they can convince the administration to install regular institutional management
  - ✓ But we have to keep in mind that supporting in dynamic strategic issues is of highest advanced level for IR, as IR draws its recommendations from comparison between universities and projections from past to future.

## Main Goal

---

- ❑ Main goal is not to find some way in which IR offices could function.
- ❑ The main goal is, to find a way in which the university administration can function effectively, and manage and run the university as an autonomous, self-governing body.
- ❑ This is the most important issue for universities in the rapidly changing world, increased competition, and scarce resources.

---

Thanks for  
listening!



**Contact:**

Miho Funamori, Associate Professor  
Educational Planning Office, The University of Tokyo  
E-mail: [funamori.miho@mail.u-tokyo.ac.jp](mailto:funamori.miho@mail.u-tokyo.ac.jp)  
URL: <http://researchmap.jp/funamori/?lang=english>