III. Theme-specific Analysis

1. Organization and governance

(1) Trends and issues

A need has been pointed out for universities to systematically and strategically undertake a process of internationalization. Consideration is given here to the kind of organizational framework that will needed to accomplish this objective. In determining the degree to which organizational management is being applied to university internationalization, we use the matrix in Fig. III-1-1 (developed by J.L. Davies in 1995).

Quadrant A of the matrix shows a minimal state of preparedness in which foreign researchers are staffed at a university, as their host researchers are forced to do the related administrative tasks because a central point ("one-stop service") for conducting their processing and providing them with residency-support services has not been adequately established within the university. (Given the autonomous and decentralized nature of university education and research faculties, all universities may be said to fall into this quadrant to one degree or another.)

A core objective in the internationalization strategy of universities must be how to attract a large number of excellent foreign researchers by improving the campus environment for receiving them. Making these improvements will require that universities standardize and optimize the efficiency of their administrative and operational processes and procedures. Accomplishing this would help to move a university toward a quadrant D status.

More concretely, the following will need to be done to elevate a university from a quadrant A to D status. To promote campus-wide staffing of excellent foreign researchers, goals should first be set as to the quality and number of researchers desired, and an action plan devised that includes both personnel and financial provisions. Of course, a one-stop service point for foreign researchers must be established, an accommodating international environment created on campus, and a full-fledged support system put in place for their accompanying family members.

The above is an example of measures to be taken for a university to make the transition from a quadrant A to D status. In establishing a system for achieving this transition, a key element will be the organization and governance that the university applies in its internationalization strategy.

A survey taken by Yokota et al (2006) shows the state of organization and governance in efforts to internationalize Japanese universities. Some 37.2% of universities attached great importance to the establishment of a university-wide organization (headquarters) to strategically promote international education and research exchange. However, only 13.3% of universities actually had such headquarters. In particular, national universities had a very strong awareness of this issue, with 75.8% attaching great importance to the establishment of such an organization, but those actually having an organization accounted for only 40.6%. Among public and private universities, the proportions having a university-wide organization were only 8.3% and 7.3%, respectively.[2] As described above, universities in Japan have not yet developed organizations sufficient to enable effective promotion of internationalization. With the exception of certain progressive cases, most universities that have set up a university-wide organization such as an international strategy headquarters have done so only as a result of the SIH Project.

Figure III-1-1 Organizational management for university internationalization
Source: Prepared by JSPS, based on Davies, J. L. (1995)
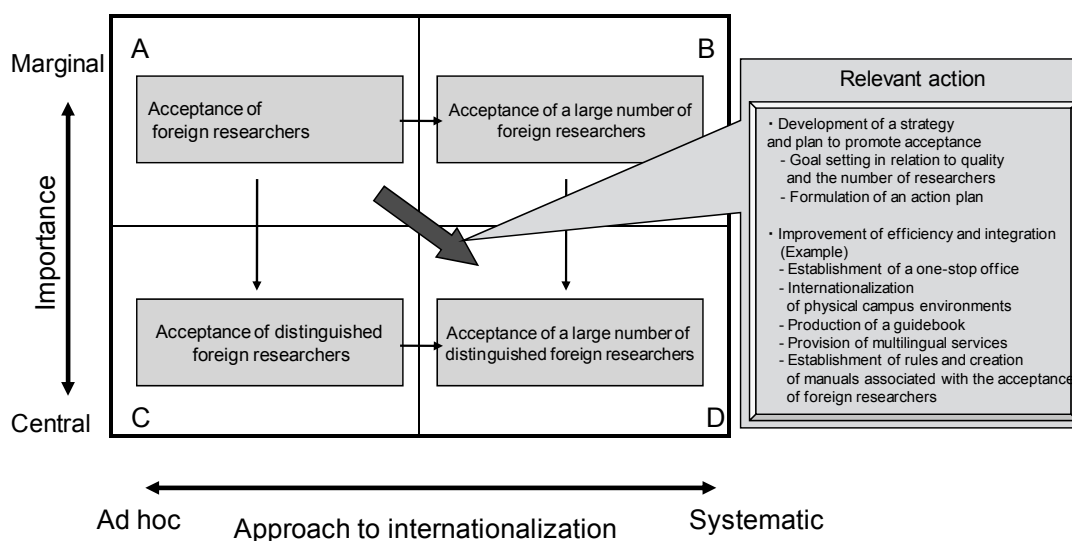
The twenty institutions selected for the SIH Project began to establish international strategy headquarters, tailored to their own distinctive institutional characteristics, in FY 2005 (the first year of the project).

As would be expected, the schemes adopted by each headquarters vary considerably, but in many institutions, headquarters are headed by the President or Vice President and are composed of faculty and administrative staff from related departments.

In many cases the headquarters undertake planning functions, such as the development of an international strategy, but they also operate to oversee operations in divisions and departments engaged in international activity. There is a characteristic distinction between institutions that have established a new permanent organization to support the planning function of the headquarters, and those that utilize an existing organization for this purpose.

Most institutions attach importance to the following three points in the establishment of an organization.

    A. Smooth cooperation between departments responsible for planning and those engaged in implementation;

    B. Appropriate assignment of tasks and cooperation between the headquarters and departments;

    C. Integration of the efforts of faculty and administrative staff (faculty-staff collaboration).

Notable activities conducted at some of the selected 20 institutions are outlined below.

(2) Notable Efforts

Keio University: Flexible approach to international activity under Presidential leadership

Traditionally, the International Center was responsible for international exchange operations at Keio University. In 2005, however, Keio established the Organization for Global Initiatives (OGI) together with the OGI Office, responsible for OGI-related operations. A cooperative structure has been developed whereby the OGI Office engages in planning of international activity from a strategic perspective, while the International Center implements these plans.

The OGI Office reviewed the university's passive attitude toward concluding agreements, shifting policy to enable more active pursuit of interaction with prospective partner universities, while giving consideration to the issue of balance among nations, regions, and fields. As of December 2006, 52 more agreements had been concluded than in the previous fiscal year. The OGI Office is working to build faculty-level initiatives into full-scale university projects, through efforts such as developing exchange activities originating in individual faculties or graduate schools into university-wide agreements.

The OGI convenes a meeting every other month attended by the President, heads of university faculties and divisions, and other executives. This meeting is designed for the smooth exchange of information rather than decision-making. It functions as a venue for each division to introduce cases of good practice in international activity, providing further stimulus to internationalization across the university.

To facilitate prompt and effective promotional activities overseas, Keio University also established the Office of Communications and Public Relations, an independent body responsible for promoting the university internationally.

Tokyo Institute of Technology: Development of a progressive action plan through cooperation between faculty and administrative staff

This initiative at Tokyo Institute of Technology was initiated prior to the launch of the SIH project. In 2003, the Institute established the International Office (led by the Vice President) to supervise the planning of international activities. Importance was placed on establishing a system to allow the both faculty members and administrative staff to engage in discussion together, with the President taking strong leadership in efforts to raise awareness among faculty and staff. In preparing a policy paper on internationalization, the institute organized theme-based groups comprised of faculty and staff members, had each group draft a policy along the theme allocated to it, and prioritized the policies drafted.

Waseda University: Coordination of functions between the International Affairs Division and the Research Promotion Division

On June 1, 2005, the International Affairs Division and the Research Promotion Division jointly established the Office of International Research Promotion, realizing a system for cooperation between the two divisions. The Office is chiefly responsible for (1) the establishment of an international network with a focus on specific research projects such as the 21st Century COE Program, the Super COE Program and the Organization for Asian Studies, as well as the collection and dissemination of information and (2) environmental improvements such as the creation of an international exchange database and translation of university documents into English.

Osaka University: Informal meetings between involving the headquarters and departments

In June 2006, Osaka University began to hold separate meetings for exchange of opinions between personnel from the International Affairs Board and heads of individual university divisions and departments. The meetings were aimed at (1) comprehending conditions in each division and identifying their needs, (2) sharing information on the current state of

international exchange, (3) exchanging opinions on the activities of the International Affairs Board, and (4) requesting cooperation with surveys and new projects. By March 2007, the university headquarters had held meetings with 12 principal divisions out of a total of 41. The meetings yielded the following results related to international activities at the university:

A. Development of key individuals at departmental level and reinforcement of on-campus networks
B. Communication of requests to headquarters (the International Affairs Board) and promotion of efforts to resolve problems
  Example: Development of headquarters' policy on the organizational improvement of overseas offices, improvement of accommodation conditions, provision of lectures taught in English
C. Information sharing, internal and external PR
D. Dissemination of information on the functions of overseas offices.

(3) Analysis and proposals

The need for university-wide consensus

Decision-making in universities is essentially a bottom-up process. The issue therefore is how to introduce an international strategy with a top down aspect, and how to build university-wide consensus for it.

Types and functions of "international strategy headquarters"

Institutions may adopt different organizational types and governance styles depending on their specific circumstances. Organization and governance should be reviewed as required to reflect the development of each institution's internationalization goals.

The 20 pilot institutions for SIH each display different characteristics in the activities of their "international strategy headquarters". However, it is possible to categorize them roughly into four different types based on what kinds of functions they emphasize, as follows.

Table III-1-1: Types of international strategy headquarters

Type	Function emphasized
I. Specific projects type	Direct support for international activities of a specific division or department
II. Headquarters initiative type	Strategic international initiatives are formulated swiftly under the leadership of the headquarters
III. Central control type	Centralized planning and progress management for the institution as a whole
IV. Departmental support type	Backup for international activities in each division or department

In the case of "specific project type" international strategy headquarters, the university selects certain departments and educational and research fields for priority support, which is provided directly by the headquarters. The efforts of this type of university will be described later in "5. Expansion of international activities based on specific transnational research projects".

The "headquarters initiative type" is located organizationally close to the President. This type of headquarters emphasizes functions such the provision of appropriate advice for internationalization and the planning of strategic initiatives. It enables prompt responses based on presidential intention.

"Central control type" headquarters develop a plan founded on an overview and comprehension of university-wide issues and problems. This type of headquarters seems to be very effective for promoting university internationalization in a steady, organized manner.

"Departmental support type" headquarters provide logistic support for the internationalization of different arms of the organization while respecting their autonomy. This type of headquarters is often seen in relatively large-scale national universities.

Functional coordination between international strategy headquarters and departments

Both the "central control type" and "departmental support type" place importance on promoting self-motivated change in individual departments while preserving their autonomy. Headquarters provides departments with opportunities for exchanging information on good practice with other departments on best practice, thus enhancing overall levels of performance. This method is likely to be particularly effective in large-scale universities. (Example: Keio University)

Promotion of internationalization through cooperation between faculty and staff

In order to promote integration of faculty and administrative staff, it is necessary to develop an environment enabling collaborative participation in planning activities, as well as to nd raise their awareness of issues related to international strategy. (Example: Tokyo Institute of Technology)

Cooperation and integration of multiple departments

It is now common for the full range of university activities to encompass international elements. It is thus important, for example, to consider how to organize divisions responsible for research promotion and international affairs, and how to promote cooperation between them. Particularly notable here is the example of how a large-scale university's headquarters can integrate functions of both research and international affairs. (Example: Waseda University)

References:

1) Davies, J. L. (1995) "University strategies for internationalisation in different institutional and cultural settings: a conceptual framework" in P. Blok (ed.) *Policy and policy implementation in internationalisation of higher education.* EAIE Occasional Paper 8, European Association for International Education (EAIE), pp. 3-18.

2) Yokota Masahiro, Tsuboi Tsuyoshi, Shiratsuchi Satomi, Ota Hiroshi, and Kudo Kazuhiro (2006) *Kiro ni tatsu nihon no daigaku – zen yonensei daigaku no kokusaika to ryûgaku kôryû ni kansuru chôsa hôkoku [Japanese Universities at a Crossroads: Research Report on the Internationalization and International Education Exchange of Japanese Universities].* Centre for Student Exchange, Hitotsubashi University.