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# University Accreditation Handbook

(April 2025 Edition)

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# 1. Objectives and Characteristics of University Accreditation, and Internal Quality Assurance

## 1-1. Objectives and Characteristics of University Accreditation

### **Objectives**

- ① To assure the public of the quality of the universities' educational and research activities through comprehensive evaluations of various aspects based on JUAA's University Standards.
- ② To continuously support the universities' improvement efforts through a series of processes that include presenting the University Accreditation Results and reviewing reports (Progress Report) on items requiring improvement ("Suggestions for Improvement" and "Recommendation") identified through evaluations, along with the review results.
- ③ To contribute to clarifying the universities' social significance through accreditation and assist them in fulfilling their social accountability.

### **Characteristics**

#### ① Evaluation focusing on the effectiveness of the internal quality assurance system

Universities are primarily responsible for assuring the quality of their education. University accreditation places importance on whether universities effectively operate their internal quality assurance systems, with a particular focus on their efforts for students to achieve the stated learning outcomes.

#### ② Evaluation emphasizing self-improvement capabilities

University accreditation is based on each university's self-assessment. For accreditation, JUAA requires the universities to conduct self-assessments to identify their notable strengths and issues based on the understanding and analysis of their current status in accordance with the University Standards, with importance attached to how universities develop measures to further enhance their strengths and undertake improvement initiatives to address the issues. In other words, JUAA's accreditation focuses on the universities' self-improvement capabilities.

#### ③ Evaluation emphasizing initiatives to realize the mission and purpose, and supporting improvement efforts

JUAA carries out evaluations not only to confirm the compliance of basic items required of universities, such as legal requirements, but also to facilitate the enhancement of each university's educational and research activities, namely, by placing importance on how the universities strive to realize their missions and purposes. JUAA also attaches ratings to the University Accreditation Results

as part of this process to clarify each university's progress toward its mission and purpose.

④ Evaluation supporting continuous improvement efforts

Universities must submit a Progress Report for the items requiring improvement (Suggestions for Improvement and Recommendation) identified through the university accreditation process. Based on this report, JUAA reviews the progress of improvements following accreditation and informs the universities of the Progress Report Review Results, which are also made public. JUAA continuously supports the universities' improvement activities through the accreditation process.

⑤ Evaluation for quality assurance to the public

JUAA makes decisions on whether universities meet the University Standards (accredited) or not (unaccredited) based on a comprehensive evaluation of various aspects. The University Accreditation Results, which clearly state, are released to the public to appropriately ensure the quality of the universities' educational and research activities.

⑥ Evaluation contributing to universities fulfilling their social accountability

The University Accreditation Results include not only the accreditation decisions and comments on notable strengths and issues to be addressed, but also descriptions of the evaluations based on each of the ten criteria under the University Standards. By producing and publishing these accreditation results, JUAA aims to contribute to universities fulfilling their social accountability.

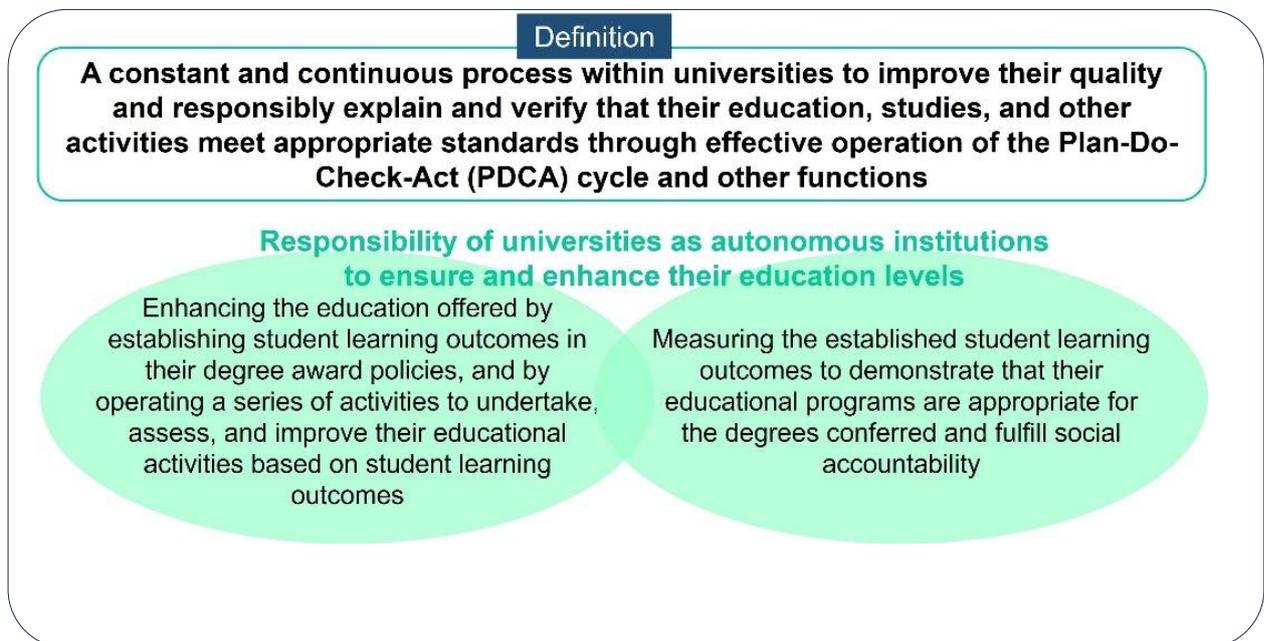
⑦ Evaluation using peer reviews

JUAA appoints faculty and staff members from its full-member universities and others well-versed in university education and research as evaluators to focus on evaluations based on their experience and understanding of the universities' educational and research activities.

## 1-2. Accreditation Focusing on Internal Quality Assurance

### 1-2-1. Background of Focusing on Internal Quality Assurance

Universities have the authority to determine their own educational content and to confer degrees to students who meet certain academic requirements. Their education and research, as well as the human resources they produce, have a significant influence on society, and their authority to design curricula and confer degrees involves a high level of public responsibility. These inherent aspects make the universities primarily responsible for maintaining and improving the quality of their activities. The university enrollment rate in Japan has risen over the years and exceeded 50 percent in the 2000s, marking the era of so-called “universal access.” During the period when universities accepted only a small number of elite students, the content, formats, and quality of their education and research may have been first-rate, but this is no longer the case with universities becoming universally accessible to students with diverse backgrounds. Given that university graduates make up a large portion of the country’s population and play a major role in society, it is increasingly necessary for universities to be aware of the quality of their activities and strive to maintain and improve this quality through internal quality assurance.



### 1-2-2. Internal Quality Assurance Based on Student Learning Outcomes

University graduates dominate major positions and play decisive roles in society, with the abilities acquired by individual students becoming critically important. In recent years, more attention has been paid to student learning outcomes, also referred to as “learner-centered” education, with this trend indicated in a policy document articulating learning outcomes as an element of educational quality to

be assured. <sup>[1]</sup> Global perspectives are also an important aspect. Student learning outcomes are drawing interest not only in Japan but also around the world with a constant focus on the quality of academic degrees in connection to the core of quality assurance. The quality assurance of degrees is a fundamental challenge to which Japan should renew its attention. In light of this context, JUAA attaches great importance to internal quality assurance based on student learning outcomes.

#### Internal quality assurance activities starting with educational planning and design

Internal quality assurance activities based on student learning outcomes may be narrowly viewed as visualizing the outcomes obtained from learning, and are often considered as self-assessment and improvement efforts based on the results. These activities are naturally important to ensure student learning outcomes, but in light of the learning outcomes achieved as a result of continuous educational activities, other key elements of these activities also include the process leading to the outcomes, specifically, clarifying the expected learning outcomes to students, and designing and implementing curricula connected to the achievements, thereby ensuring student learning activities. Internal quality assurance activities should therefore be viewed in terms of the entire process starting with educational planning and design.

#### Quality assurance/self-assessment at the undergraduate/graduate school and lesson subject levels

Quality assurance at the undergraduate/graduate school level is important in connection with the above topics as undergraduate and graduate schools are directly responsible for providing education. Connecting this level to the lesson subject level is also important for quality assurance since educational programs are composed of individual lesson subjects. As part of internal quality assurance activities and the accreditation process, self-assessments must first be properly conducted at these levels, followed in principle by university-wide self-assessments based on this foundation.

Self-assessments at the undergraduate/graduate school level can be carried out in various ways, such as comprehensively reviewing the educational programs, teaching methods, and other elements, and combining this approach to check the current status and identify challenges at short intervals based on the relevant data and other information. In any case, it is necessary to conduct self-assessments based on the university-wide and faculty policies, and at times appropriate to the needs of these units,

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<sup>[1]</sup> “The important factors for determining the type of university regarded as a high-quality institution from the perspective of learners are: how clearly universities state what students can learn and acquire; how students grow through learning; whether the learning outcomes are achieved; and whether universities have diverse and attractive faculty organizations and curricula that demonstrate their uniqueness.” (Central Council for Education, *Grand Design for Higher Education toward 2040* (2018), p. 28)

as well as on the educational content.

The quality assurance of short-term and advanced courses is also important as they are part of the educational programs, and should be considered in the same way as explained here.

#### **Management at each level**

For the above efforts to be effective, it is essential to implement well-planned activities at the undergraduate/graduate school level described earlier, clarify the procedures and responsibilities, and coordinate university-wide policies with those of the faculties and other units. Although providing systematic university-wide coordination and support is important for these tasks, this does not mean that the internal quality assurance entity, defined in the University Standards, should be directly responsible for all activities ranging from educational planning and design to self-assessments. For example, specialized sections may play a direct role in providing faculties and other units with support for the process leading up to curriculum decisions. At the levels of faculties and other units, the status of faculties and the policy for formulating curricula should be clarified, with faculty members and other personnel playing important roles in advancing plans in coordination with university-wide policies. In these ways, internal quality assurance activities are expected to involve people in various positions from a management perspective. With these aspects in mind, universities as a whole should systematically design the roles and responsibilities of organizations and senior officials based on their status.

The above explanations refer to faculties and other programs, but to assure the internal quality of universities as a whole, advanced and short-term courses as well as other units should also be included.

### **1-2-3. University Standards, Internal Quality Assurance, and Student Learning Outcomes**

The University Standards (officially “University Standards and Rationale”) was formulated as a set of standards for university accreditation as well as a guideline for universities to maintain appropriate standards and strive for improvement. The document is described from the perspective of respecting each university’s mission and purpose, and utilizing its autonomy and independence.

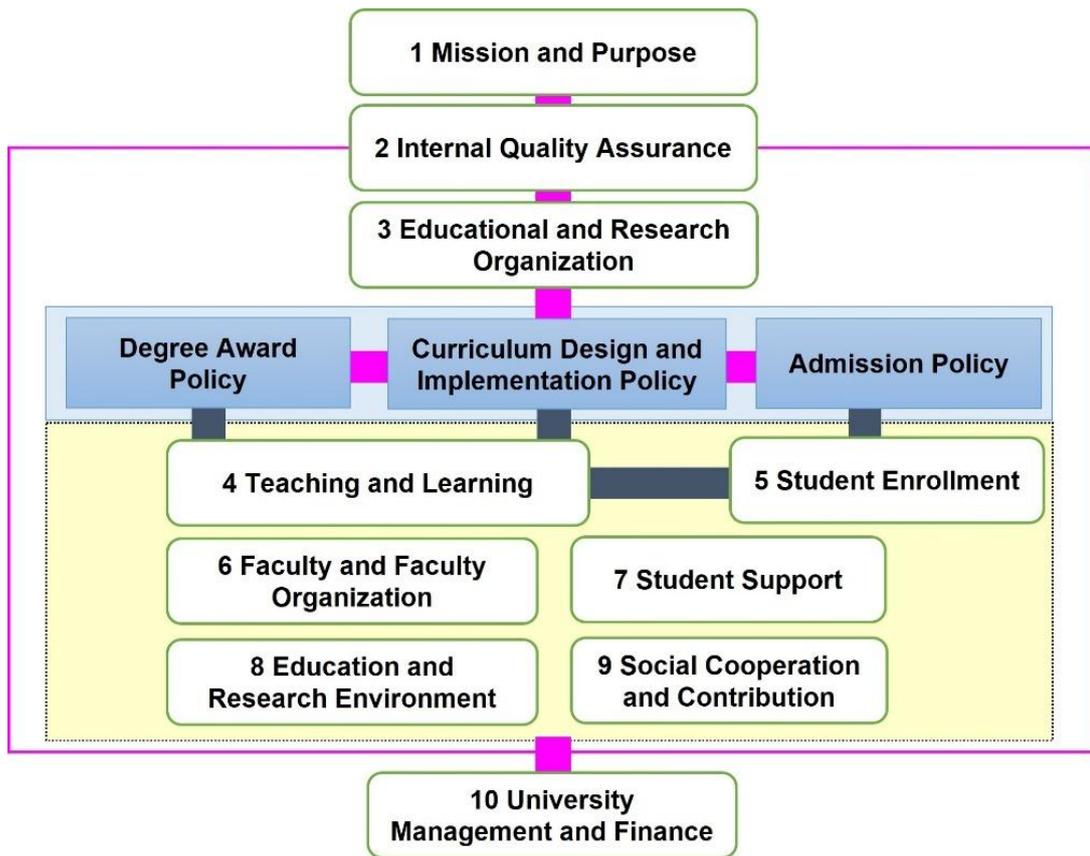
#### **Standards, evaluation items, and evaluation perspectives**

First, evaluation items and evaluation perspectives are established as supplementary tools for the University Standards to facilitate university accreditation and self-assessments.

Type	Description	Other
Evaluation items	Established to serve as a framework for self-assessments and evaluations by evaluators in line with the University Standards. Each item represents a basic category for self-assessments and university accreditation.	All required
Evaluation perspectives	Complement the evaluation items to clarify specific assessment points in self-assessments and evaluations by evaluators.	All required. In addition to the perspectives presented by JUAA beforehand, universities are allowed to establish their own self-assessment perspectives.

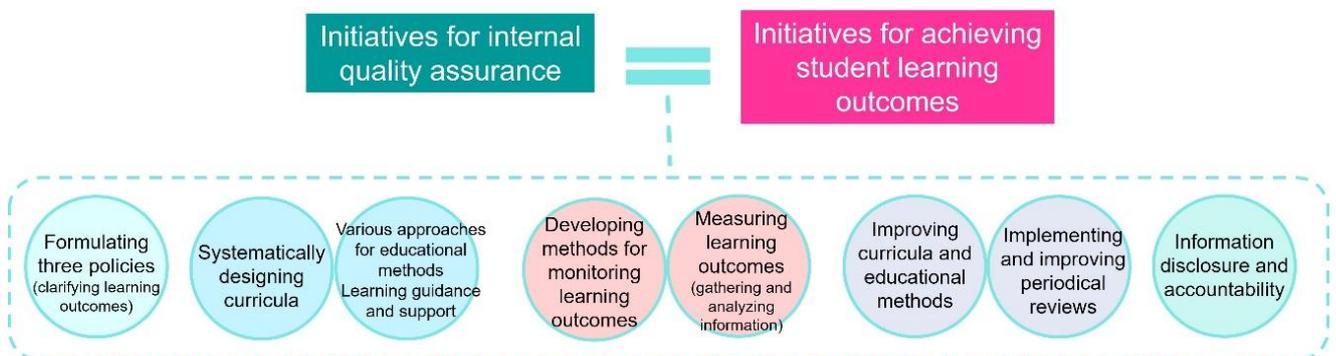
#### **Standard structure and connection**

The University Standards consists of ten standards ranging from “1. Mission and Purpose” to “10. University Management and Finance,” with the sequence of the ten standards representing the structure of the University Standards. Self-assessments and university accreditation begin with the mission and purpose, and examine the overall internal quality assurance system (Standard 2), followed by educational and research organization and other specific items (Standards 3 to 9), before concluding with the assessment of university management and finance (Standard 10) that supports a university’s educational, research, and other activities.



Structure of the University Standards

The above diagram clarifies the interconnection among the standards. In terms of section 1-2-2 “Internal Quality Assurance Based on Student Learning Outcomes,” the diagram below exemplifies the connection between Standard 2 “Internal Quality Assurance” and Standard 4 “Teaching and Learning,” with educational initiatives closely linked to internal quality assurance from the perspective of learning outcomes.



Internal quality assurance, educational activities, and learning outcomes

Ensuring the learning outcomes acquired through educational programs is important to assure the quality of academic degrees. To this end, it is necessary not only to visualize the final outcomes as mentioned earlier but also to specify the learning outcomes students are expected to achieve, provide suitable education, and ensure adequate learning. It is also necessary to examine the learning outcomes achieved by students, constantly improve the curricula and educational methods, and conduct regular self-assessments for further improvement. These tasks lie within Standard 4 in terms of a series of educational processes, but can also apply to Standard 2 because they involve such aspects as self-assessments and university-wide and divisional management. Management refers to the examples listed below. With universities adopting different management approaches, it is useful to employ methods and means aligned with the characteristics of each university. As far as university accreditation is concerned, applicant universities should properly explain their management practices in their self-assessment reports, and it is important for evaluators to assess whether the universities operate a management system suitable for their organizations, rather than focusing solely on top-down approaches or specific models.

- ① Clarifying student learning outcomes and making university-wide adjustments to formulate the three policies: degree award, curriculum design and implementation, and admission
- ② Management by the deans of faculties and graduate schools in educational programs, student guidance and support, and administration of faculties, graduate schools, and other organizations, as well as university-wide support and management such as providing information required by the deans.
- ③ Clarifying the university-wide concepts in regard to the purpose of monitoring and measuring learning outcomes, persons in charge, monitoring and measurement items and methods, and use of the results, along with systematic implementation.
- ④ University-wide decision-making on self-assessment items and methods, and summarizing the faculties and graduate schools' self-assessment results by internal quality assurance entity.
- ⑤ Supporting faculties and graduate schools by analyzing and providing objective information related to education and learning.
- ⑥ Releasing information, including educational and learning outcomes.

## 2. Overview of University Accreditation

### 2-1. University Accreditation Results

JUAA produces the University Accreditation Results based on the findings up to the time of site visits as a general rule. The results consist of “Decision,” “University Overview,” and “Accreditation Overview (summary of the overall evaluation),” as well as “Ratings,” “General Remarks,” and “Comments” on each evaluation criterion.

#### Decision

University accreditation decides on whether universities are “accredited” or “unaccredited” based on a comprehensive evaluation of their status. The decision criteria are defined in the table below. Please refer to the Decision Criteria and Their Operational Guidelines for details.

Decision criteria

Accredited	The universities meet the University Standards based on their appropriate standards as a university and initiatives undertaken to realize their missions and purposes.
Unaccredited	The universities fail to meet the University Standards with problems in key items* that make their standards inappropriate as a university as well as their failure to make efforts to realize their missions and purposes.

\*Problems in key items:

- Problems that prevent students from receiving education suitable for their degrees
- Problems that make it difficult for universities to conduct educational and research activities in stable and sustainable ways
- Matters that cause other serious problems significantly affecting the universities’ educational quality and management

#### Comments

Types of comments

Outstanding Initiatives	Among the notable strengths, items that have produced positive outcomes and exhibit original, pioneering qualities, or have elements that can serve as useful references for other universities.
Notable Strengths	Initiatives that aim to realize the universities’ missions and purposes, represent their characteristics, and are recognized for their well-organized approaches, sustainability, and potential development.
Suggestions for Improvement	① Items calling on the universities to consider improvements to realize their missions and purposes by initiating activities in line with their policies.

	② Problems in ensuring appropriate standards as a university, such as minor deficiencies in the basic requirements, with improvements required regardless of ①.
Recommendation	① Items requiring universities with serious problems in realizing their missions and purposes to make substantial improvements by initiating activities in line with their policies. ② Serious problems in ensuring appropriate standards as a university, such as major deficiencies in the basic requirements, with improvements required regardless of ①.

Suggestions for Improvement and Recommendation require the submission of a Progress Report after university accreditation (see 3-3-2). These comments are presented in relation to the universities' missions, purposes, and policies, and are not solely intended to identify issues pertaining to the basic requirements for legal and other matters.

### Ratings

The University Accreditation Results are made public with ratings attached to each criterion of the University Standards. These ratings concisely represent whether the universities are making steady efforts to realize their missions and purposes, and are intended as a future reference for universities by comparing their self-assessment ratings.

#### Rating criteria

S	Remarkably favorable in light of the University Standards, with outstanding initiatives for realizing the mission and purpose.
A	Favorable in light of the University Standards, with generally appropriate initiatives for realizing the mission and purpose.
B	Certain issues identified in light of the University Standards, with further efforts required to realize the mission and purpose.
C	Serious issues identified in light of the University Standards, with substantial improvements required to realize the mission and purpose.

As is clear from the criteria, these ratings represent the status of the universities' efforts based on their missions and purposes. Note that the same ratings may present different content for each university, and that different ratings do not indicate superiority or inferiority.

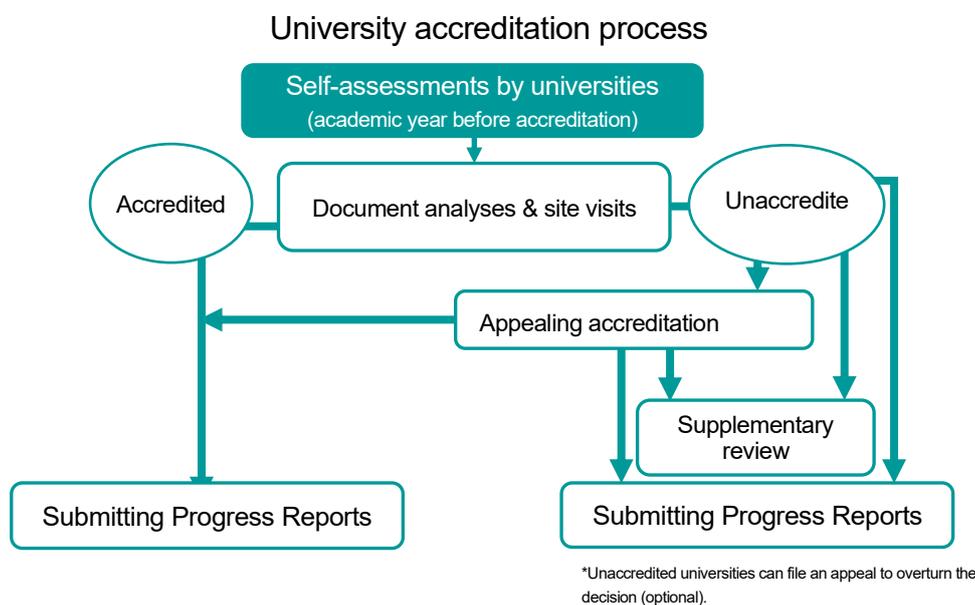
## 2-2. Accreditation Certificate and Accreditation Mark

Accreditation certificates and accreditation marks are issued to those universities certified as conforming to the University Standards. The universities can display these marks on their websites and in publications to widely publicize the quality of their educational and research activities assured by JUAA. <sup>[2]</sup>



### 2-3. University Accreditation Process and Principles

University accreditation is usually implemented on a seven-year cycle with the entire process illustrated below. The details are described in Chapter 3 of this handbook. For preparing the Self-Assessment Report, please refer to Chapter 4.



Please note that the following points are important principles in the process of university accreditation.

- Self-assessments are of utmost importance as a prerequisite, since JUAA’s accreditation focuses on universities’ self-improvement capabilities. Self-assessments must be carried out appropriately before preparing reports.

<sup>[2]</sup> Universities are required to submit a notification after using the accreditation marks. JUAA provides separate guidelines regarding their use.

- University accreditation is conducted based on the findings up to the time of site visits as a general rule.
- After university accreditation, JUAA continues to engage with the universities to provide support for quality assurance and improvement through such means as reviewing the Progress Reports submitted by the universities.

#### 2-4. University Accreditation Implementation Structure

**University Accreditation Committee** (20 members including chair and vice chair; two-year term)

The University Accreditation Committee plays a core role in university accreditation, such as deciding on each academic year's accreditation structure, compiling evaluation results, instructing evaluation methods, training evaluators, and discussing explanations and other guidance for universities preparing for application. The committee consists of 20 members, including ten people selected by the Board of Trustees from candidates recommended by JUAA's full-member universities, five members nominated by the Board of Trustees, and five external experts also named by the Board of Trustees, with a chair and vice-chair chosen by the members. At the committee's discretion, a secretary and special university evaluator may be assigned to assist the chair.

**University Review Subcommittee** (one chief and four members; one-year term)

The University Review Subcommittee comprehensively evaluates the universities' educational and research activities through document analyses and site visits. A subcommittee is set up for each university and consists of five evaluators, in principle, with one evaluator serving as the chief. The evaluators include faculty members well-versed in overall educational and research activities or with equivalent experience (four people including the chief) and an administrative staff member overseeing the entire administrative office or department. All members are selected in principle by the University Accreditation Committee from candidates recommended by JUAA's full-member universities. To evaluate professional and vocational universities, evaluators may include faculty and staff members from these institutions and officials in professional and vocational fields.

The names of the evaluators are notified to the universities after the accreditation process begins. External experts, secretaries, and special university evaluators of the University Accreditation Committee may participate in the University Review Subcommittee's evaluations. (Their names will be notified likewise.)

**Financial Affairs Review Subcommittee** (one chief; number of members decided by the University

Accreditation Committee; one-year term)

The Financial Affairs Review Subcommittee evaluates the financial items under the University Standards, and is made up of members that include university financial experts (financial officers in the university executive board, administrative staff in charge of financial affairs, etc.) recommended by JUAA's full-member universities and certified public accountants well-versed in school accounting. Under the subcommittee, panels are formed based on the types of universities and the categories of and other units they have. (Members of the subcommittee serve as panel chiefs, in principle.)

The subcommittee assesses whether the universities have established a solid financial base to carry out their educational and research activities based on the Self-Assessment Report, Basic Institutional Data (financial items), and other financial documents submitted by the universities. In some cases, the subcommittee participates in the University Review Subcommittee's site visits to conduct interviews with university officials and other surveys regarding the universities' financial planning, implementation, and other conditions.

**Progress Report Review Subcommittee** (one chief; number of members decided by the University Accreditation Committee; one-year term)

The Progress Report Review Subcommittee reviews the progress status of items requiring improvement based on the Progress Reports submitted by the universities following the accreditation results. The chief and members of the subcommittee are selected in principle by the University Accreditation Committee from candidates recommended by JUAA's full-member universities. The subcommittee reviews all Progress Reports submitted each academic year as a general rule, with the size of the subcommittee determined by the University Accreditation Committee based on the number of universities submitting the reports.

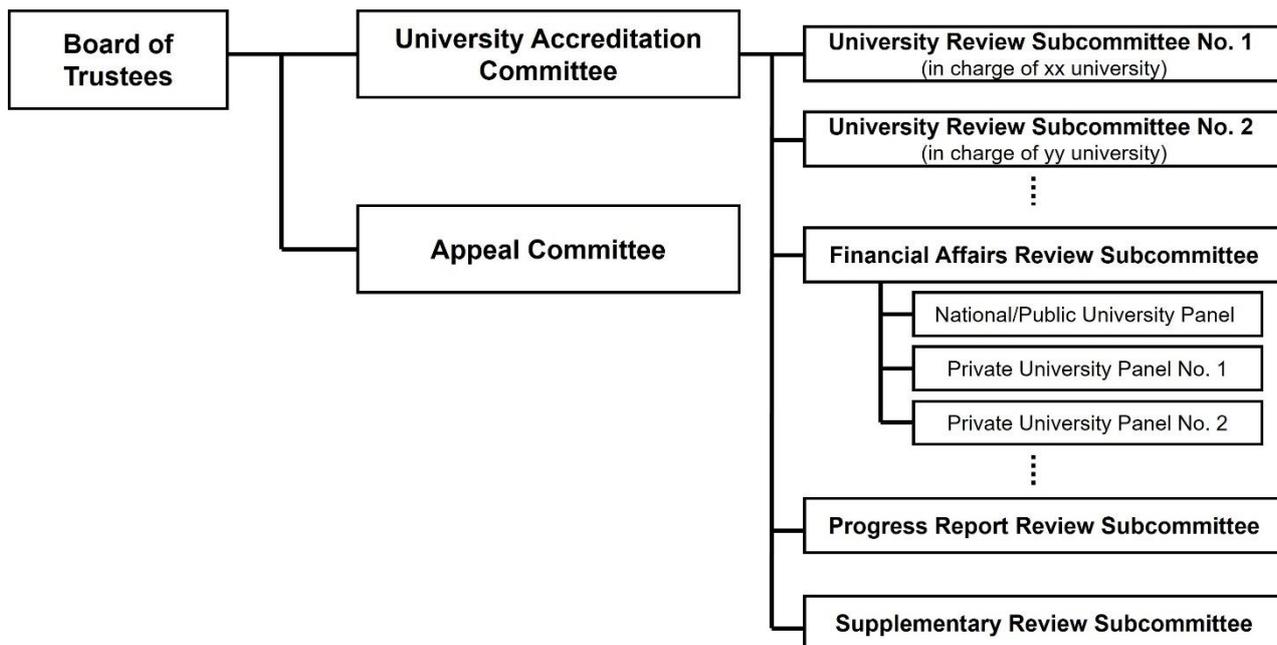
**Supplementary Review Subcommittee** (one chief; number of members decided by the University Accreditation Committee; one-year term; \*Set up only when conducting a supplementary review.)

The Supplementary Review Subcommittee conducts supplementary reviews based on the Progress Report for Supplementary Review submitted by the universities determined as "unaccredited" in the accreditation results.

**Appeal Committee** (one chief and four members; two-year term)

The Appeal Committee examines appeals filed by the universities determined as "unaccredited" in the accreditation or supplementary review results. Two university officials and three external experts are selected as the committee chief and members by the JUAA Board of Trustees and appointed by

the president. The committee established under the Board of Trustees is independent of the University Accreditation Committee; the heads and members of JUAA’s Board of Trustees, Auditors, Board of Councilors, and various evaluation committees, subcommittees, and panels are not permitted to participate in the Appeal Committee to ensure the appropriateness of the review system and procedures.



### 3. Preparation by Universities

#### 3-1. Preparation before Submitting Evaluation Materials

##### 3-1-1. Application

###### Requirements

- ▶ Four-year universities and graduate schools

At least one year has passed since the first enrolled students have completed their programs as of April in the academic year when the institutions undergo university accreditation.

- ▶ Six-year universities

The first enrolled students have completed their programs as of April in the academic year when the institutions undergo university accreditation.

###### Methods

Submit the following documents.

- University Accreditation Application Form (including the attached Faculties, Graduate Schools, and Accreditation Fee Information and the Accreditation Application Checklist (Form 1)
- Full Membership Application Form (for new full membership) (Form 2)

###### Period

By the end of November in the academic year before universities undergo university accreditation.

\*The submission period and deadline are set based on JUAA's business days, excluding Saturday, Sunday, national holidays, and other non-business days; the same applies hereafter. (E.g.: If November 1 falls on a Sunday and November 30 on a Saturday, the submission period is between November 2 and 29.)

\*The documents must be received by the due date; the same applies hereafter.

###### Procedures after application

JUAA sends a notice of application acceptance and documents pertaining to the subsequent procedures to the universities by the end of January. The universities wishing to withdraw their application after submission due to unavoidable circumstances should submit the University Accreditation Application Withdrawal Request (Form 3) by the end of February in the academic year before undergoing university accreditation.

##### 3-1-2. Submission of Evaluation Materials

###### Materials to be submitted

Self-Assessment Report, Basic Institutional Data, List of Submitted Materials, materials presented in the List of Basic Information, other supporting evidence (see Chapter 4)

###### Deadline

April 1 in the academic year when universities undergo university accreditation.

### 3-1-3. Fee Payment

#### Procedures and calculation methods

After receiving the evaluation materials, JUAA sends an invoice for the accreditation fees. Transfer the fees to the designated account indicated in the invoice by the specified date (around the end of May). Contact JUAA as early as possible if meeting the payment deadline is difficult.

The accreditation fees for JUAA's full-member universities are the total of ① and ② below, while the fees for JUAA's associate-member or non-member universities are the total of ①, ②, and ③. Consumption tax is added to ①, ②, and ③.

- ① Base amount: 2 million yen + consumption tax
- ② An additional amount based on the number of faculties and graduate schools:<sup>(\*1)(\*2)(\*3)</sup>.  
350,000 yen per faculty or graduate school + consumption tax
- ③ Amount equivalent to 5 times the full membership fee (annual)<sup>(\*4)</sup> + consumption tax

#### Full membership fee (annual)

Admission capacity of less than 1,000	200,000 yen	Less than 10,000	800,000 yen
Less than 2,000	350,000 yen	Less than 15,000	900,000 yen
Less than 3,000	500,000 yen	Less than 20,000	1 million yen
Less than 5,000	600,000 yen	Less than 30,000	1.1 million yen
Less than 8,000	700,000 yen	30,000 or more	1.2 million yen

- \*1 Fees are calculated based on the number of faculties and graduate schools in the academic year before the universities undergo university accreditation (not counting the faculties and graduate schools that suspended admissions in that year). Short-term and advanced courses are also not counted.
- \*2 As part of the universities' graduate school programs, professional graduate schools are included in the accreditation fee calculation, regardless of their accreditation status for Certified Evaluation and Accreditation for Professional Graduate Schools.
- \*3 Evening or distance learning programs offered alongside daytime programs in the faculties' same fields are not included in the accreditation fee calculation. (The same applies to graduate schools.)
- \*4 The universities accepted as JUAA's full members through university accreditation are exempt from full-membership fees for five years from the academic year after undergoing accreditation.

### Examples of accreditation fee calculations

Faculty/graduate school	Admission capacity
1 Faculty of Literature	480
2 Faculty of Law	810
3 Graduate School of Literature Humanities Major (master's and doctoral programs)	35
4 Graduate School of Law Law Major (doctoral programs) Public Policy Major (professional degree programs)	80
5 Law School Practical Law Major (professional degree programs)	170
Total	1,575

1) Full members

- ① Base amount: 2,000,000 yen × 1.10 (consumption tax) = 2.2 million yen
  - ② Amount added based on the number of faculties and graduate schools:  
350,000 yen × 5 faculties and graduate schools × 1.10 (consumption tax)  
= 1.925 million yen
- Total: 4.125 million yen

2) Non-full members

- ① + ② = 4.125 million yen
  - ③ Amount equivalent to 5 times the full membership fee (annual):  
350,000 yen (annual full membership fee with an admission capacity of less than 2,000) × 5 × 1.10 (consumption tax)  
= 1.925 million yen
- Total: 6.05 million yen

## 3-2. Evaluation Period

### 3-2-1. Document Analysis Period

Evaluators perform assessments based on the evaluation materials submitted by the universities. During this period, JUAA may contact the universities regarding questions from the evaluators and requests for additional materials. The universities are also asked to respond to the following items.

#### Decision on site visit dates

The site visit dates will be decided (in May) with the schedules of the universities and evaluators

coordinated through the JUAA office.

### **Gathering opinions from students**

Opportunities are provided to gather student opinions in addition to student interviews during the site visits to make the evaluations more transparent as well as promote a deeper understanding of the universities based on the students' perspectives of the educational and learning environments. Opinion gathering uses an online form set up by JUAA to encourage many students to express their views. Student opinions do not directly affect the accreditation results, but are used as a reference for evaluators to understand the universities' status, and to identify and organize the items to be confirmed during the interviews conducted as part of the site visits. These opinions are not disclosed to the universities.

#### **○ Methods**

- Opinions are solicited from all students (including graduate students and distance learning students, excluding first-year undergraduates) anonymously.
- JUAA creates an online form that includes questions for a student survey, with the universities asked to make an announcement using portal sites and other means. Students send their responses directly to JUAA using this online form.

#### **○ Content**

- Unlike student surveys conducted by universities, question items include basic information such as students' faculties and graduate schools, learning status, and their universities' student support (see Material 9).

#### **○ Period**

- JUAA submits a request to the universities in early May with the deadline for student responses in late May.

\*For details, refer to the information notified after the application is accepted.

### **Selecting external stakeholders for interviews during site visits**

Interviews with external stakeholders (in person or online) are conducted as part of the information gathering efforts to make the university evaluations more transparent and deepen the evaluators' understanding of the universities' status, thereby ensuring the accuracy and validity of university accreditation.

#### **○ Interviewee selection period and methods**

- The universities are responsible for selecting the interviewees based on their missions, purposes, current key initiatives (described in the Self-Assessment Report), and other factors. The questions

focus on how the interviewees understand the universities' activities. The following are the categories of people considered potential interviewees.

(Example)

• Graduates	• Company officials in charge of recruiting graduates	• External evaluation committee members
• Advisory board members	• Corporate evaluation committee members (public university corporations)	• High school officials

\*Persons involved in university management, such as external members of a management council, board of trustees, and board of councilors, are not eligible.

- There is no limit to the number of interviewees. The universities should determine an appropriate number based on their selected themes. Note that it may be difficult to interview a large number of people given the allotted interview time (see 3-2-2 for estimates).
- The above examples are not limited to any particular category, such as graduates and high school officials. The universities are free to select multiple stakeholders from each category.
- Please inform JUAA of the names of the selected individuals, with a simple explanation of the reasons (themes) for the selection (in any format by the first week of July, in principle).

#### Tips on interviewee selection

Interviewees can be selected, for example, under one or more themes based on the universities' key initiatives.

Examples:

- Initiatives related to highly specialized human resource development as a university with advanced research capabilities and industry-academia collaboration activities
  - Graduates, industry-academia partners, etc.
- Initiatives for developing human resources in response to local needs and regional cooperation activities
  - Graduates, representatives of companies and organizations employing graduates, officials of local municipalities and organizations involved in regional cooperation activities, and local high school officials
- Initiatives for developing professional human resources
  - Graduates and representatives of companies and organizations employing graduates

### 3-2-2. Site Visits

#### Purpose

To collect the necessary information to ensure the accuracy and validity of the evaluations by directly checking the universities' efforts for education, research, and quality assurance through the exchange of opinions and other forms of communication with people on campus (president, faculty,

staff, and students) and engaging in meaningful dialogue to support further development.

### Period and sites

Two consecutive days between September and October on the main campus, in principle.

### Programs

Site visits are scheduled in coordination with each university and consist of the following programs.

#### ○ General meetings and opinion exchanges

All evaluators meet with the university president and other officials to learn about the universities' status, including the following:

##### <Presentation by the president>

Time for the university president's presentation is allocated at the beginning of the first general meeting (approx. 30 minutes). The president should explain the university's internal quality assurance system and efforts, distinctive features and challenges identified in the self-assessment results, improvement plans, and other aspects, along with the president's views as the university's head. The president should also describe the university's key initiatives in relation to the selected external stakeholders.

##### <Opinion exchanges>

The last general meeting on the second day proceeds with hearings, followed by an opinion exchange on further development of the university, with no discussions about the evaluation results.

#### ○ Individual interviews (senior officials, faculty, staff, and external stakeholders)

The evaluators meet individually with senior officials, faculty, and staff requested for interviews to discuss specific items.

Interviews with external stakeholders are also carried out as part of the process in order to deepen the understanding of the university's current status and ensure the accuracy and validity of the evaluations. The interviews may be conducted online due to the interviewees' circumstances or other reasons.

#### ○ Student interviews

Students are interviewed as part of information gathering to better understand the university's current status and ensure the accuracy and validity of the evaluations.

#### ○ Facility tours and classroom observations

Campus tours are conducted to inspect the university's facilities and equipment if deemed necessary by the subcommittees. Lessons may also be observed.

### Program examples

#### Example 1

Day 1		Day 2	
9:30~12:00	Evaluator meeting	9:30~10:00	Evaluator meeting
12:00~13:00	Break	10:00~10:45	Individual interviews
13:00~14:30	General meeting	10:55~11:55	Student interviews
14:40~16:10	General meeting	12:55~13:40	Individual interviews

16:20~17:05	Individual interviews
17:05~17:30	Evaluator meeting

13:40~14:25	Evaluator meeting
14:25~15:55	General meeting, opinion exchanges
15:55~17:30	Evaluator meeting

### Example 2

Day 1	
9:30-10:30	Evaluator meeting
10:30-11:00	President interview
11:00-11:30	Facility tour, classroom observations
11:30-12:00	Evaluator meeting
12:00-12:30	Individual interviews
12:30-13:00	Individual interviews
13:00-14:30	Break/evaluator meeting
14:30-15:30	Student interviews
15:30-16:00	Evaluator meeting
16:00-17:00	General meeting
17:00-17:30	Evaluator meeting

Day 2		
9:30-10:30	Evaluator meeting	
10:30-11:00	Individual interviews	Individual interviews
11:00-11:30	Individual interviews	
11:30-12:30	Break	
12:30-13:00	Individual interviews	
13:00-13:30	Student interviews	
13:30-14:00	Evaluator meeting	
14:00-16:00	General meeting, opinion exchanges	
16:00-17:30	Evaluator meeting	

### Example 3

Day 1	
13:00-13:30	Evaluator meeting
13:45-14:15	Individual interviews
14:15-14:45	Facility tour, classroom observations
14:45-15:15	Student interviews
15:15-15:45	Evaluator meeting
15:45-17:00	General meeting
17:00-17:30	Evaluator meeting

Day 2		
9:30-10:00	Evaluator meeting	
10:00-11:30	Student interviews	Student interviews
11:30-12:00	Individual interviews	Individual interviews
12:00-13:30	Break/evaluator meeting	
13:30-14:00	Student interviews	
14:00-14:45	Individual interviews	
14:45-15:30	Evaluator meeting	
15:30-16:30	General meeting, opinion exchanges	
16:30-17:30	Evaluator meeting	

## Preparations for site visits

The following preparations are required before the site visits. JUAA provides the site details, such as equipment and other items, before the visits.

Period	Preparations
5 weeks before a site visit	<p><b>JUAA</b>: Sends the following materials to the university.</p> <ul style="list-style-type: none"> <li>• University Accreditation Results (Subcommittee's Draft)</li> <li>• Lists of questions, faculty and staff and students requesting for interviews, and facilities to be toured</li> <li>• Site visit schedule (draft)</li> </ul>

10 days before a site visit	<p><b>University:</b> Prepares and submits the following materials to JUAA.</p> <ul style="list-style-type: none"> <li>• Responses to questions and comments on the University Accreditation Results (Subcommittee’s Draft)</li> <li>• Supporting evidence</li> <li>• List of Submitted Materials (Form 7-2)</li> <li>• Site visit schedule and participant list (Form 8) <ul style="list-style-type: none"> <li>*Provides a seating chart for the meeting rooms on the site visit day</li> </ul> </li> <li>• List of facilities to be toured</li> <li>• Directions to the meeting place</li> </ul>
Up to the day of a site visit	<p><b>University:</b> Prepares the following arrangements at the venue.</p> <ul style="list-style-type: none"> <li>• Rooms for meetings and interviews</li> <li>• Waiting rooms for evaluators</li> <li>*Provides online access (wireless LAN, etc.)</li> </ul>

**Site visit expenses**

JUAA bears the travel and lunch expenses for its officials participating in the site visits. (It would be appreciated if the university could arrange for lunch. Details will be provided when sending the University Accreditation Results (Subcommittee’s Draft) five weeks before the site visit.)

**3-2-3. Opinion Statements**

**Outline**

JUAA compiles the University Accreditation Results (Committee’s Draft) after the site visits. The universities are allowed to submit opinion statements if the draft results contain factual errors or expressions that could be misleading to the public. It should be noted that no opinions can be lodged over the accreditation results, and that opinion statements are limited to the findings up to the time of site visits as a general rule.

**Methods and period**

Period	Methods
Around mid- or late January	<b>JUAA:</b> Sends the University Accreditation Results (Committee’s Draft) to the universities.
Date specified by JUAA in January-February	<b>University:</b> Submits to JUAA the Opinions on the University Accreditation Results (Committee’s Draft) (Form 10) and the List of Materials to Be Submitted (Form 7-3) as supporting evidence.

**3-3. Finalization of Accreditation Results and Subsequent Procedures**

The Accreditation Results (Final Draft) prepared by the University Accreditation Committee

through the opinion process are finalized as the University Accreditation Results after deliberations by the Board of Trustees. JUAA notifies the universities of the final results, which are also reported to the Minister of Education, Culture, Sports, Science and Technology and made public on the JUAA website (in March). The results are released along with the Self-Assessment Report submitted by each university in April in light of providing referential descriptions in the List of Basic Information included in the Self-Assessment Report and increasing the transparency of the materials used for accreditation.\* Accreditation certificates and accreditation marks are issued to universities certified as conforming to the JUAA University Standards. The universities should follow the procedures below upon receiving the accreditation results.

\*For typographical or other errors requiring correction after the Self-Assessment Report is submitted, an errata sheet will be attached to the report instead of releasing a corrected version. (The Self-Assessment Report will not be replaced.) The universities should prepare and submit an errata sheet to JUAA for addition to the end of the report.

### 3-3-1. Release of Information Related to Accreditation

#### **Outline**

Please post the following documents on the university website.

- University Accreditation Results
- Self-Assessment Report (submitted for university accreditation\*)

\*For corrections, JUAA will add an errata sheet to the Self-Assessment Report submitted in April as mentioned above; it is up to each university to announce the revised report, with no need to notify JUAA.

#### **Deadline**

May 1

### 3-3-2. “Accredited” Decision

#### **Submitting the Progress Report**

##### Outline

Universities receiving the University Accreditation Results with the comments of Recommendation or Suggestions for Improvement should compile the improvement status into the Progress Report (Form 13) for submission with supporting evidence.

##### Deadline

By the end of July, three years after receiving the University Accreditation Results.



\*The universities can submit Progress Reports before the three-year period for such reasons as completing their improvement activities for Recommendation and Suggestions for Improvement. In this case, they should contact JUAA by the end of January of the academic year before submitting the reports.

### ○ Procedures after submission

JUAA's Progress Report Review Subcommittee reviews the universities' improvement status based on the submitted materials, and the University Accreditation Committee compiles the Progress Report Review Results (Committee's Draft) to check with the universities for factual or other errors. The Progress Report Review Results are finalized through deliberations by the University Accreditation Committee and the Board of Trustees. JUAA notifies the universities of the results, which are also made public on its website. The universities should post the Progress Report Review Results and Progress Reports submitted to JUAA on their websites.

### 3-3-3. "Unaccredited" Decision

#### Appealing the accreditation results

#### ○ Outline

The universities denied accreditation in the University Accreditation Results can file an appeal to overturn the decision.

#### ○ Methods and period

The universities should submit the Brief on Appealing the Accreditation Results (Form 11) and the Reasons for Appealing the University Accreditation Results (Form 12) within two weeks after receiving the accreditation results.

#### ○ Procedures after appeal

When an appeal is lodged, the Appeal Committee, independent of the University Accreditation Committee, examines whether there are factual errors affecting the underlying decision of the University Accreditation Results. Based on the examination results, the Board of Trustees determines the accreditation results. The universities are notified of the review results, which are also reported to the Minister of Education, Culture, Sports, Science and Technology, and made public on the JUAA website.

If the Appeal Committee conducts interviews or on-site inspections during the review process, these expenses will be charged as review fees.

**Applying for a supplementary review**

○ Outline

Unaccredited universities can apply for a supplementary review to request another evaluation to determine whether they meet the University Standards. The review requires a Progress Report on addressing all items requiring improvement (Recommendation and Suggestions for improvement) identified in the University Accreditation Results. The decision is made based on the universities’ status of improvement for the items judged inadequate for accreditation.

The application is accepted between the academic year after accreditation and the academic year before the next accreditation. (Universities are allowed to file only one application during this period.)

○ Application procedures

To apply for a supplementary review, the universities must submit the Supplementary Application Form (Form 14) by the specified date. Upon receiving the application, JUAA will send the universities an acceptance notification and documents regarding future procedures. The review procedures may be partially simplified in some cases when focusing on the check items involving accreditation, for example, the shortage of full-time and core faculty members as the sole factor for denial of accreditation. (Applicable items are specified by the University Accreditation Committee beforehand.) For details, please follow the guidance provided by JUAA.

Supplementary review application period

Undergoing a supplementary review in the academic year following accreditation	Undergoing a supplementary review in the academic year after next or later following accreditation
<u>Between June 1 and 30</u> in the academic year when the supplementary review is conducted.	<u>Between November 1 and 30</u> in the academic year before the supplementary review is conducted.

The universities should compile their improvement status on addressing Recommendation and Suggestions for Improvement in the University Accreditation Results into the Supplementary Review Report (Form 15) with supporting evidence attached and submitted by the specified date.

### Deadline for the Supplementary Review Report

Undergoing a supplementary review in the academic year following accreditation	Undergoing a supplementary review in the academic year after next or later following accreditation
<u>By the end of July</u> in the academic year when the supplementary review is conducted	<u>By April 1</u> in the academic year when the supplementary review is conducted

#### ○ Review methods and fees

A document analysis is conducted, along with site visits as necessary (see 5-7). The basic fee is 700,000 yen (excluding consumption tax) and an additional fee up to 300,000 yen (excluding consumption tax) may be applied depending on the content of the review. An invoice for the basic fee is sent in April, with an additional fee charged when expenses arise.\*

\*E.g.: The fee for conducting site visits is charged in the same or following month.

#### ○ Responses after the review

After the supplementary review results are finalized, the universities should post the Supplementary Review Report submitted to JUAA on their websites.

The universities denied accreditation in the supplementary review results can file an appeal to overturn the decision if there are factual errors affecting the underlying decision. (The procedures follow the appeal process of the University Accreditation Results.)

#### Submitting the Progress Report

Instead of applying for a supplementary review to reevaluate the accreditation results, the universities can submit a Progress Report addressing the items identified as Recommendation and Suggestions for Improvement and request a review from the University Accreditation Committee. The submission period and procedures are the same as those described in 3-3-2 (“Accredited” Decision).

### 3-4. For Fair Accreditation

Universities are expected to cooperate in ensuring the fairness and credibility of the accreditation process, for example, by preparing evaluation materials, including the Self-Assessment Report, with no false information contained. The universities must not approach the evaluators to offer favors for their advantage or have contact suspected of such an approach. Recording and filming are prohibited to ensure free and open discussions during site visits. Should any actions be found to undermine the fairness of the evaluation process, JUAA will take appropriate measures in accordance with the

relevant regulations. The universities should look through JUAA's rules and regulations (Regulations on the Fair Implementation of Third-Party Evaluations by the Japan University Accreditation Association and Guidelines for Maintaining Ethical Standards (for Applicant Universities and Junior Colleges) and cooperate to ensure a smooth evaluation process in line with the Accreditation Application Checklist (Attachment Form 1) required for submission with the application as well as the instructions listed in various documents sent by JUAA during the accreditation period.

## 4. Preparing the Self-Assessment Report

### 4-1. Self-Assessment Report

The Self-Assessment Report is a summary of a university's self-assessment of its status. JUAA conducts university accreditation based on this report.

### 4-2. Importance of Self-Assessment

As autonomous institutions entrusted by society, universities are increasingly expected to assume responsibility for maintaining and improving the quality of their educational, research, and other activities, as well as for explaining the status of these activities to the public. With self-assessments playing an essential role in fulfilling these responsibilities, universities need to conduct self-assessments to understand their current conditions, challenges, and other aspects, and to externally clarify the results.

As mentioned repeatedly in this handbook, JUAA carries out accreditation based on the universities' self-assessment results, in light of respect for their independence and autonomy. Universities are therefore expected to ensure the credibility and transparency of their self-assessments.

### 4-3. Basics of Self-Assessment

For accreditation, the universities must conduct self-assessments in accordance with the University Standards and describe the details in the Self-Assessment Report (Form 4). The self-assessments should be carried out from a university-wide perspective based on the self-assessment results of their faculties and other programs.

### 4-4. Volume and Structure

The report should be about 100 to 150 pages long and written horizontally with 40 Japanese characters per line and 40 lines per page (excluding the cover, table of contents, and List of Basic Information). The structure is shown below. Based on trust in the universities' autonomous quality assurance activities, flexible measures may be adopted for preparing the Self-Assessment Reports to help universities advance their distinctive features through creative approaches, thereby realizing their missions and purposes. Shown below are the different parts of the report format when flexible measures are applied. Please refer to Material 10 for other details.

Introduction
--------------

Describe an overview of the university and outline the activities undertaken for improvement
--

following the previous accreditation.

#### Overview of the university

Describe an overview representing basic information about the university in the specified format.

#### Main body

Organize the chapters according to the ten standards under JUAA's University Standards. For Chapter 10 "University Management and Finance," provide separate descriptions for "(1) University Management" and "(2) Finance."

Chapters can be added to describe self-assessments conducted based on the university's own themes.

#### Conclusion

The overall summary should provide a comprehensive overview based on the main body and future outlooks.

## 4-5. Chapter Structure of the Main Body

The chapter structure is as follows, and the format is posted on the JUAA website.

### List of Basic Information

The List of Basic Information includes legal and other fundamental items that do not require written explanation in the current status analysis (below), in principle. (Explanations are required when adding supplementary information to the list.) The materials listed can be used as supporting evidence for the main text of the Self-Assessment Report (see 4-8).

### Current status analysis

This segment looks at assessments (understanding the current conditions and evaluating appropriateness and effectiveness) carried out in light of the evaluation criteria, and describes the results in accordance with the evaluation items,\* with evaluation perspectives taken into account.

\*The format changes when flexible measures are applied, and the analysis is described by chapter instead of evaluation items. Refer to Material 10 for details.

### Notable strengths and issues based on the analysis

This segment explains the notable strengths and issues the university should address as the key items based on the current status analysis. Descriptions should be provided in each chapter from 1 to 9, and Chapter 10 requires separate explanations for sections (1) and (2).

### Improvement measures and overall summary

This segment describes the future development and improvement measures regarding the items listed in "notable strengths and distinctive features" and "issues." (The status of progress is also included when these measures are already underway.) Descriptions should be provided in each chapter from 1 to 9, and Chapter 10 requires separate explanations for sections (1) and (2).

### Ratings

The status of fulfillment should be rated in light of the evaluation standards with ratings

indicated at the beginning of each chapter. Be sure there are no discrepancies between the ratings and the “improvement measures and overall summary” segment.

#### Rating criteria

S	Remarkably favorable in light of the University Standards, with outstanding initiatives for realizing the mission and purpose.
A	Favorable in light of the University Standards, with generally appropriate initiatives for realizing the mission and purpose.
B	Minor issues are identified in light of the University Standards, with further efforts required to realize the mission and purpose.
C	Serious issues are identified in light of the University Standards, with substantial improvements required to realize the mission and purpose.

\*When applying the above rating criteria to Standard 1 “Mission and Purpose,” the parts referring to “for realizing the mission and purpose” (or “to realize the mission and purpose”) should be disregarded.

#### 4-6. Points to Note for the Main Body (from Current Status Analysis to Improvement Measures and Overall Summary)

##### 4-6-1. Basic Approaches

Through the preparation of the Self-Assessment Report, it is important for the universities to present the following:

- Pursuing their direction in line with policies, and various plans and goals to realize their missions and purposes.
- Reviewing their activities, recognizing the results and achievements as a university, and undertaking improvement initiatives based on these outcomes (demonstrating their self-improvement capabilities).
- Fulfilling their social accountability.

The universities must describe in the report the efforts undertaken, but this alone is insufficient to confirm the above points. The universities should assess and explain what activities they have undertaken, along with their current status, and whether they have achieved their goals (assessing appropriateness and validity), before providing plans in as much detail as possible based on their assessments.

##### 4-6-2. Approaches to Assessing Appropriateness and Effectiveness

It is important for universities to persuasively present the analyses of their status in the Self-Assessment Report. For example, when explaining the appropriateness of their educational activities in the assessment results, the universities cannot simply describe the characteristics of their curricula,

but should elaborate on the process of how the conclusions were reached by presenting the analytical results of various materials gathered to examine the actual conditions, including the positive effects and challenges of their educational activities. Various analytical methods include illustrating year-to-year changes in the examination results of specific items and describing the results of a comparison analysis of multiple materials and data. These materials and information used for clarifying the outcomes are not limited to numerical representations.

E.g.: Assessing the actual status of learning content and guidance

In addition to reflecting on various initiatives, universities can examine their current status using various time-series data on out-of-class studying hours, student surveys, changes in student learning identified in each faculty's self-assessment results, and other factors before describing the findings.

Above all, appropriateness and validity should be assessed in light of a university's mission and purpose as well as various policies, plans, and goals. For example, a university that sets forth the mission of becoming a community-based institution must begin the assessment by understanding what should be clarified and the types of materials to be gathered to explain the current conditions in relation to its mission. Consideration should also be given to the mission and purpose when interpreting the current status from the collected materials.

#### **4-6-3. Self-Assessment Report as a Specific Representation of Internal Quality Assurance**

The Self-Assessment Report consists of ten chapters based on ten standards under the University Standards (with additional chapters for original themes also allowed), with a particular focus on the interconnections among these chapters (see 1-2-3). With appropriateness and validity examined in light of the missions, purposes, and other aspects, the entire report is connected to Chapter 1 (Mission and Purpose). The universities must therefore prepare the reports through assessments with a constant awareness of this connection.

Since the chapters are not independent of each other but interconnected, simply combining the separately written chapters will be inadequate. The Self-Assessment Report must be properly organized to provide a comprehensive overview of the university from the perspective of its interconnectedness. These efforts constitute part of the internal quality assurance process, and also confirm that the university is appropriately assuring its internal quality.

#### **4-6-4. Self-Assessment Conducted from a University-Wide Perspective**

As part of the internal quality assurance efforts, self-assessments are expected to be conducted

based on assessments carried out by each faculty and graduate school (see 1-2-2). However, this does not simply mean compiling the self-assessments at the faculty and graduate school levels, but summarizing the university-wide status based on these assessments, organizing strengths and challenges, and determining future measures.

#### 4-6-5. Citing Examples

Section 4-6-4 notes that universities should not simply compile the faculty/graduate school-level self-assessments. To convincingly explain the educational and other conditions when summarizing their status from a university-wide perspective, the universities must present the specific activities undertaken by their faculties, graduate schools, and other programs. Basically, the universities can provide appropriate examples to support the explanations in the Self-Assessment Reports, but as described earlier, with the reports serving as part of the universities' roles in fulfilling their accountability, clear explanations should be provided on the current status of their faculties, graduate schools, and other programs that received numerous comments calling for improvement in the previous university accreditation results, or underwent major reorganization following university accreditation. To highlight their distinctive features, the universities should actively introduce their key initiatives and unique activities, including those carried out by specific faculties.

#### 4-6-6. Other Points to Note for the Main Body

##### Teacher training courses

All universities offering teacher training courses are required by law (Order for Enforcement of the School Teacher's License Act) to develop a university-wide organizational structure as well as conduct self-assessments and publish the results. The universities should describe the status of these activities in the relevant sections below.

a. Status of implementing assessments related to teacher training courses

→ Chapter 2: Evaluation Item ①

b. Status of publishing the assessment results related to teacher training courses

→ Chapter 2: Evaluation Item ②

c. Status of the organization providing university-wide teacher training programs

→ Chapter 3: Evaluation Item ①

##### Issues raised in the previous certified accreditation and other evaluations

In the following cases, the universities should explain how they have addressed the issues in

Evaluation Item ③ of Chapter 2 “Internal Quality Assurance.”

- a. Universities that underwent JUAA’s previous university accreditation were requested by JUAA to resubmit the report on the items explaining the status of improvement in the Progress Report following the accreditation results.
- b. Universities that underwent JUAA’s previous university accreditation received Recommendation in the supplementary review results.
- c. Universities that underwent the previous institutional certified evaluation and accreditation by an organization other than JUAA received comments equivalent to JUAA’s Recommendation.
- d. Universities that received the remarks of “warning,” “opinions for corrections,” “opinions for improvement,” or “points to note” in the Survey on the Implementation of University Establishment Plans conducted by the Ministry of Education, Culture, Sports, Science and Technology (MEXT).

#### **Program accreditation**

The universities underwent program accreditation can use the results as supporting evidence in Evaluation Item (2) of Chapter 2 and Evaluation Item (6) of Chapter 4 (see Material 8).

#### **Faculties or other units subject to exceptions**

The universities with faculties and other units subject to exceptions for pioneering initiatives involving curricula and relevant items requiring improvement (Standards for Establishment of Universities) should note the following points.

- Describe the status of faculties and other units subject to exceptions in Chapter 4.
- Universities requested by MEXT to submit a special report or take corrective actions should describe the details and their responses in the Self-Assessment Report (in the applicable chapters and evaluation items, for example, Chapter 8 for faculties).

#### **4-7. Notes on University Overview and the List of Basic Information**

The year of establishment in the university’s overview refers to the year when the institution was established as a university, not the establishment year of its predecessor school.

Example ①: Established as a university in 1930 under the former University Order.  
→ Write 1930.

Example ②: Opened as XX School in 1910, became YY Junior College in 1975, and converted to a four-year university in 1999.  
→ Write 1999.

The main points to note in the List of Basic Information are as follows.

- Items marked with an asterisk (\*) in the table are connected to the evaluation guidelines for basic requirements (Material 4).
- Some tables are not required when universities are evaluated as having made improvements in the Progress Report or did not receive comments calling for improvement in the university accreditation results and have not made any changes. These notes are clearly stated in the applicable tables (Form 4). The universities whose newly established faculties, graduate schools, and other programs are not subject to evaluations should prepare only for the applicable faculties, graduate schools, and other programs. (Indicate this in the note as well.)

#### 4-8. Supporting Evidence

##### Outline

Supporting evidence helps verify the assessment results. The universities should select materials based on the Self-Assessment Report to supplement the objective information that cannot be fully covered in the report alone. Be sure that materials are not collected or created independently as self-serving activities.

Reference: Examples of information requiring clarification based on supporting evidence

The following are examples of the types of information that should be clarified based on supporting evidence regarding core faculty members and teaching assistants newly introduced following the 2022 revision of the Standards for Establishment of Universities, as well as distinctive cases involving professional and vocational graduate schools and departments. Please use them as references when preparing the Self-Assessment Report and selecting the supporting evidence.

(\*Please note that the materials listed below do not fully cover the materials necessary for Chapter 6 “Faculty and Faculty Organization” and professional and vocational graduate schools.)

<Core faculty member system>

- Faculty members’ responsibilities and involvement in the management of faculties and other units
- Lesson subjects assigned to core faculty members, credits, and the university’s system for checking these courses
- Working status of core faculty members in charge of multiple faculties and other units
- Working status of external faculty members assigned through cross-appointments and other means

<Teaching assistants>

- Qualification requirements for teaching assistants and the eligibility procedures
  - Responsibilities and roles of course instructors and teaching assistants
  - Instruction plans
  - Training for teaching assistants
- <Professional and vocational graduate schools and departments>
- Materials showing the standards and actual numbers of students per lesson subject
  - Materials showing plans, agreements, and responsibility systems related to on-site and collaborative practical training
  - Materials showing the credit approval criteria for students who acquired practical skills

### Basic Institutional Data

This form is designed to provide the minimum quantitative information necessary for university accreditation. Unless otherwise specified, the universities should prepare the form as of May 1 of the academic year before undergoing accreditation, with an awareness of the points to note listed in the introduction of the Basic Institutional Data (Form 5) and in each table.

The universities can substitute the tables for their released information when meeting the specified conditions. See each table of the Basic Institutional Data for details. National and public universities can create Table 1 and Table 2 of the Basic Institutional Data using their portrait systems.

\*Notes for universities shifting to the core faculty system

Please note that the prepared materials change depending on the transition year as indicated below.

System		Type of Basic Institutional Data
Academic year before undergoing accreditation	Academic year when undergoing accreditation	
Core	Core	Create tables related to faculty organization based on the <u>core faculty system</u> .
Full-time	Core	Create tables related to faculty organization based on the <u>full-time faculty system</u> . <u>Table 1 (only in the section related to faculty members of the Educational and Research Activity Organization ( )) and Table 4 should be created based on the status after shifting to the core faculty system, as of May 1 of the academic year when undergoing accreditation, and be submitted as additional materials (deadline: roughly by the end of May).</u>

### University brochures

Submit the latest version.

### **Financial documents**

#### **[For all universities]**

Submit the following materials covering the six fiscal years up to the year before undergoing university accreditation. (Also refer to the List of Basic Information.)

- Audit report by auditor
- Audit report by an auditing firm or certified public accountant\*<sup>1</sup>
- Financial documents (balance sheets)\*<sup>2</sup>
- Financial report (public universities)

\*<sup>1</sup> No seal is required for fiscal 2021 onward (reference: Japanese Institute of Certified Public Accountants, *Audit Procedures and Sample Audit Reports Based on the Act on Subsidies for Private Schools* (revised in September 2021)).

\*<sup>2</sup> Financial documents refer to cash flow statements (including breakdowns), income and expenditure statements for operating activities (including breakdowns), and balance sheets (including notes, invoices, and accounting statements). Some universities post excerpted versions on their websites, but be sure to submit a complete set of financial statements (those submitted to the Ministry of Education, Culture, Sports, Science and Technology).

#### **[Private universities]**

Prepare the Five-Year Financial Statements (Form 6-1). Universities that create materials for their medium- to long-term financial plans (for the school corporation and university) or conduct financial simulations should submit the relevant materials as supporting evidence for the Self-Assessment Report.

#### **[National universities / public universities (incorporated)]**

Submit materials showing each fiscal year's financial plans (figures) under the six-year plan presented in the medium-term plan (gross amount) as supporting evidence for the Self-Assessment Report.

#### **[Public universities (unincorporated)]**

Since there are no financial statements as a university, unincorporated public universities should prepare and submit the Public University Income and Expenditure Data (Form 6-2) as an alternative. (For the preparation methods, refer to the supplementary materials in the same format.) In addition, the universities should use the data to describe their current financial status in Chapter 10 (2) "Finance" of the Self-Assessment Report.

Based on the submitted financial documents or financial statements (six fiscal years) and the Basic

Institutional Data, private universities, national universities, and incorporated public universities should prepare the Comparison List of Financial Ratios to Averages (private universities, Material 5), Checklist of the Ratio of Financial Assets to the Required Reserve Fund (private universities, Material 6), or Checklist of Financial Trends and Ratios of National and Public University Corporations (national and public universities established by school corporations (Material 7) for use by JUAA as part of its financial evaluations.

**Supporting evidence used in the main text**

**[Numbering]**

Assign numbers to the materials used in the main text in the following way.

First reference: chapter number - materials number (serial numbers within the same chapter)  
E.g.: Materials used in Chapter 1: Supporting evidence 1-5

- \*Numbers do not need to be reassigned to the same materials used multiple times.
- \*Renumbering is not necessary when materials are added to the supporting evidence during the assessment process.
- \*Numbering is not necessary for materials presented in the List of Basic Information and the Basic Institutional Data.

**[Numbering in the Self-Assessment Report]**

Place the material numbers at the end of the relevant sentences.

**Image**

○○○○○○○○○○○○○○○○○○○○(Supporting evidence 1-27)○○○○○○○  
○○○○○(Supporting evidence 1-6 [website], Basic Institutional Data 3)

When citing a website

**[Listing submitted materials]**

Write the materials used in the main text of the Self-Assessment Report in the List of Submitted Materials (Form 7-1).

## Submission format

Submit as follows: Save electronic data in dedicated cloud storage and send printed documents to JUAA. Details will be provided after the accreditation application is accepted.

Type of materials	Format	
	Electronic data	Printed documents <sup>*6</sup>
Self-Assessment Report (Form 4)	PDF & Word	14 copies (filed in the same folder)
List of Submitted Materials (Form 7-1)	Excel	
Basic Institutional Data (Form 5)	Excel	14 copies
University brochures	(Web pages) <sup>*1</sup>	14 copies
Financial documents for six fiscal years required for submission <sup>*2</sup>	PDF	5 copies
Five-Year Financial Statements (private universities) (Form 6-1)	Excel	-
Public University Income and Expenditure Data (unincorporated public universities) (Form 6-2)	Excel	-
Materials and other supporting evidence presented in the List of Basic Information <sup>*3, *4, *5</sup>	-	-
	Items to be submitted in PDF	-
	Items that cannot be digitized	9 copies

\*1 Digital brochures may be submitted instead of printed versions. Please include the URL in the List of Submitted Materials.

\*2 Submit the financial documents (financial statements) and audit report for the fiscal year before university accreditation after the audit is completed.

\*3 Materials difficult to submit in April due to their large volume or other reasons can be used for site visits. (Please contact the JUAA office in advance.)

\*4 Submit the set of regulations required for submission in the List of Basic Information in one of the following ways.

- Upload PDF data of the regulations in cloud storage.
- Provide IDs and passwords (if necessary) to access the items posted on the website as supporting evidence.
- Submit nine copies of the printed items if they cannot be digitized.

\*5 When using web pages as supporting evidence, provide the names and URLs in the List of Submitted Materials; no need to be submitted in PDF.

\*6 The filing methods are specified for some materials among the printed items (see the diagram below).



List of Submitted Materials  
Self-Assessment Report



Basic Institutional Data



Financial Documents (financial statements)  
Financial Report  
Audit Report (by an auditor/auditing firm or certified public accountant)  
\*Filing the reports for all fiscal years in a folder



University Brochures

\*Submit the brochures in a separate folder. File the other materials classified and sequenced as shown in the diagram.

## 5. Evaluations by Evaluators

### 5-1. Basic Principles

Evaluators should conduct their evaluations in accordance with the following basic principles:

- Conduct university accreditation based on each university's mission, purpose, and policies, and evaluate while fully considering such characteristics as the background of establishment, size, and disciplinary composition of the university.
- Focus on the function of the internal quality assurance system. The purpose of the standards is to ensure that the internal quality assurance system constitutes a series of activities beginning with the planning and design stages of education, and not merely self-assessment and improvement and enhancement activities based on the self-assessment results. Evaluators should understand this purpose and conduct their evaluations accordingly.
- Judge the appropriateness by fully grasping the university's perspectives. While the University Standards serve as the foundation for judgments of appropriateness (see 5-3), what specifically constitutes appropriateness in accordance with the purpose of the University Standards depends on each university's mission, purpose, and circumstances. Therefore, when the university's perspectives are not sufficiently clear, evaluators should seek to draw them out through questioning and other means.
- Conduct evaluations from a university-wide perspective. Even for matters concerning specific units such as faculties and graduate schools, evaluate by asking how the university as a whole views these matters, what kind of university-wide support is provided for the strengths that should be enhanced and the matters that require improvement, and how these efforts can lead to improvement and enhancement.
- Focus not only on issues requiring improvement but also on the university's strengths, such as areas where significant results have been achieved.

### 5-2. Evaluator Ethics

Evaluators should take note of the following in order to conduct evaluations in a fair and sincere manner.

- Careful handling of evaluation materials

The evaluation materials submitted by the university must not be used for any purpose other than university accreditation and must not be divulged to outside parties. After conducting the

evaluation, be sure to return the evaluation materials to JUAA.

- Attention to relationships with the university

Take care to avoid raising doubts among the public as to the relationship between the evaluator and the university. Also, do not impose the opinions of the evaluator on the university at the time of the site visit.

Please refer to JUAA's related regulations, including those concerning the fair implementation of third-party evaluations, confidentiality obligations, and personal information protection. Evaluators should also thoroughly understand the "Guidelines on Ethical Conduct and Confidentiality."

### 5-3. Evaluation Tools

#### Standards and Other Tools

The foundation for evaluation is the University Standards. Evaluation items and evaluation perspectives have been established to complement these standards, and evaluators should conduct their evaluations based on each evaluation item. For the positioning of the standards, evaluation items, and evaluation perspectives, please refer to the explanation in 1-2-3.

Even when evaluators conduct evaluations using the evaluation items as a framework, the fundamental basis for judgment remains the University Standards. Evaluators must always base their evaluations on the University Standards.

#### Self-Assessment Report

The Self-Assessment Report compiles the results of the university's self-assessment of its own situation (see 4). While the Self-Assessment Report serves as the primary reference material for evaluations, the following points require careful attention.

1. Universities conduct self-assessments from a university-wide perspective encompassing the entire institution. Evaluators should also evaluate these institutions from a university-wide perspective, paying particular attention to what efforts are being made to appropriately conduct educational and research activities, not only by faculties and graduate schools but by the entire university; what organizational initiatives are being undertaken to improve problematic areas and enhance strengths; and how the university summarizes the results of its efforts and initiatives and seeks to build upon them for the future.
2. As mentioned above, the Self-Assessment Report not only describes the presence or absence of systems and facts about initiatives that have been undertaken, but also the university's judgments

on the appropriateness and effectiveness of the results of its initiatives and future strategies. All of these elements should be read and comprehensively understood.

3. The principle of evaluating from a university-wide perspective also applies when the evaluation content differs among faculties and graduate schools (the relevant standards are Standard 1 “Mission and Purpose,” Standard 4 “Teaching and Learning,” Standard 5 “Student Enrollment,” and Standard 6 “Faculty and Faculty Organization”). Except for universities with only one or two faculties, evaluators should conduct selective evaluations from the following perspectives, as the Self-Assessment Report presents only some faculties and graduate schools as examples.

A) Cross-Cutting Perspective: For specific matters, obtain information not only from selected faculties and graduate schools but from all faculties and graduate schools for evaluation. Determine the focus points, such as concerns observed in certain faculties, during the subcommittee meetings, and confirm these points through document reviews, interviews, and other methods during site visits.

(Examples: setting indicators for learning outcomes, measures to enhance student learning)

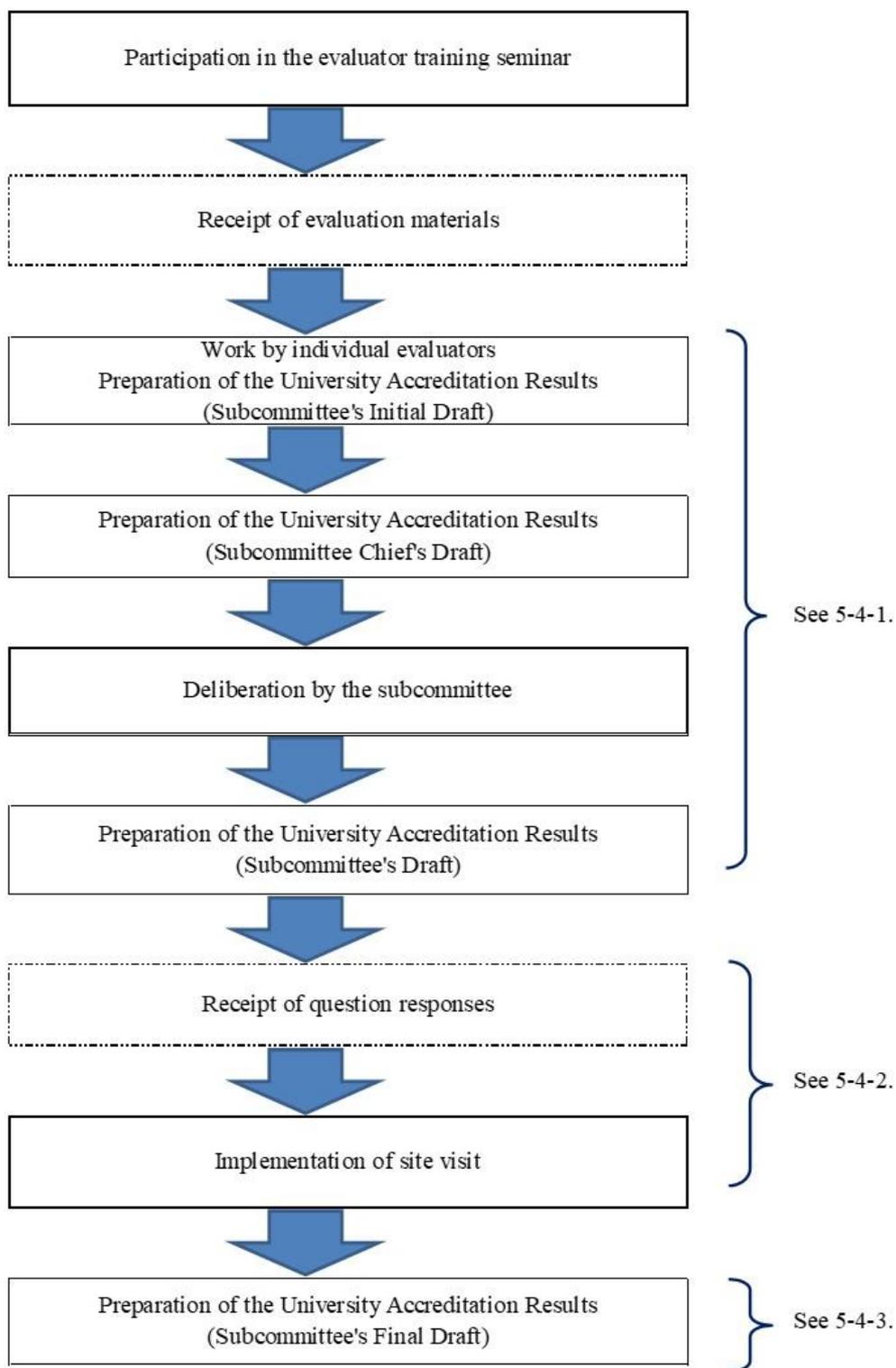
B) In-Depth Perspective: Select particular faculties and graduate schools and examine each evaluation item in detail. Decide on which ones to examine during the subcommittee meetings, and confirm the information lacking in the Self-Assessment Report through document reviews, interviews, and other methods during site visits.

(Example: a faculty whose curriculum was recently revised but not directly mentioned in the Self-Assessment Report)

#### **Supporting Evidence**

Basic Institutional Data and other materials are submitted by the university as supporting evidence for the Self-Assessment Report. Most materials are in electronic format, though some may be physical materials such as booklets (see the table in 4-7). All materials used during the document analysis stage, including the Self-Assessment Report, are sent to each evaluator after completion of the evaluator training seminar conducted by JUAA.

#### **5-4. Tasks by the University Review Subcommittee**



#### 5-4-1. Document Analyses

Work by Individual Evaluators

The first stage of document analysis begins with each evaluator working on the assigned portions of the ten criteria under the University Standards (excluding Standard 10 “(2) Finance”). The results are compiled as the University Accreditation Results (Subcommittee’s Initial Draft). For their assigned standards, evaluators make special note of any items they consider to fall under “Comments” (Outstanding Initiatives, Notable Strengths, Suggestions for Improvement, Recommendations). In the General Remarks section, they describe an overview of the evaluation for each evaluation item\* and assign ratings (S, A, B, C) based on the level of achievement. The evaluation results will be published together with the Self-Assessment Report submitted by the university (see page 23 of this handbook). General remarks are written for each evaluation item.\*

Striving for clarity and conciseness is strongly encouraged. One approach involves directing the readers to references in the university’s Self-Assessment Report or the List of Basic Information as appropriate, keeping concise information about current conditions, and placing emphasis on judgments of appropriateness and their underlying rationale. Use the character counts indicated in the format as a guide.

\*For universities applying for evaluation using a Self-Assessment Report prepared with flexible measures and thus not required to organize the descriptions by evaluation item in their Self-Assessment Report, evaluators do not write general remarks for each evaluation item in the evaluation results. Please prepare the evaluation results using the format specifically provided during evaluator training.

#### Reference to Opinions Collected from Students

At the stage of work by individual evaluators, the JUAA office consolidates the opinions collected from students at the university under evaluation. These opinions help evaluators understand the university’s situation from a student perspective, but are not intended to directly impact the evaluation results; they serve only as reference material for identifying and organizing matters requiring confirmation when the subcommittee deliberates and conducts a site visit. After consolidating the student opinions, the JUAA office notifies each evaluator so they can refer to the opinions as needed.

#### Preparation of the University Accreditation Results (Subcommittee Chief’s Draft) and Subcommittee Meetings

All subcommittee evaluators meet and deliberate to summarize the evaluation at the document analysis stage and organize the discussion points for a site visit. Prior to this, the subcommittee chief

prepares the University Accreditation Results (Subcommittee Chief's Draft) to clarify the points for deliberation.

The Subcommittee Chief's Draft is based on the University Accreditation Results (Subcommittee's Initial Draft) prepared through work divided among the individual evaluators. The subcommittee chief should make the necessary revisions and prepare the University Accreditation Results (Subcommittee Chief's Draft).

#### Preparation of the University Accreditation Results (Subcommittee's Draft)

Based on the subcommittee's deliberations, the subcommittee members revise the University Accreditation Results (Subcommittee Chief's Draft) and prepare the University Accreditation Results (Subcommittee's Draft). After preparation, the JUAA office sends the document to the university together with the University Accreditation Results (Subcommittee's Draft) (financial affairs review section) prepared by the Financial Affairs Review Subcommittee. The process up to this point is called document analysis.

#### 5-4-2. Site Visits

Based on the results of the document analysis, site visits are conducted for the following purposes.

- To collect information necessary to ensure the accuracy and validity of the evaluation by actually confirming the university's commitment to education, research, and quality assurance through opinion exchanges and other interactions with university personnel (i.e., president, faculty and staff, and students), and by clarifying matters unclear during the document analysis stage.
- To give evaluators an opportunity to discuss and finalize the subcommittee's evaluation among themselves.
- To conduct beneficial opinion exchanges with the university to support its further development.

#### Participants

All evaluators in the University Review Subcommittee take part in a site visit, and evaluators from the Financial Affairs Review Subcommittee may also participate. In addition, JUAA staff will accompany the evaluators.

#### Campus and Schedule

Site visits are, in principle, conducted at the campus with the university headquarters over two

consecutive days between September and October.

## Implementation Method

### ○ Program

#### General meetings and opinion exchanges

All evaluators meet with the president and other university officials to learn about the university's situation. This process includes the following.

##### Presentation by the president:

The university president gives a presentation (approx. 30 min.) at the beginning of the first general meeting, covering the university's internal quality assurance system, past internal quality assurance initiatives, characteristics and issues identified through self-assessment, and plans for improvement and enhancement, among other topics. As for the interviews with external stakeholders to be conducted during the site visit, the presentation should explain the perspectives from which the university selected these individuals in relation to its priority initiatives and other efforts. Please use this presentation as a reference to grasp the overall picture of the university's quality assurance efforts and to help clarify the points for discussion and other matters for the interviews with external stakeholders.

##### Opinion exchanges:

In the final general meeting on the second day, opinions are exchanged on the university's further development after the Q&A session on the evaluation. These opinion exchanges are not directly related to the evaluation. Please engage in open discussion as fellow academics, focusing on the challenges facing the university and other topics.

#### Individual interviews (senior officials, faculty and staff, and external stakeholders)

Specific matters can be addressed in these interviews.

Interviews with external stakeholders are also conducted (may be conducted online) as part of the individual interviews. Please conduct these interviews from the following perspectives to deepen the understanding of the university's current situation and to obtain the information necessary to ensure the accuracy and validity of the evaluation.

- ◇ Does the university actively communicate its various activities, including education and research, to external parties to gain their understanding? Are the university's activities and goals (such as what kind of students the university aims to produce) effectively communicated to external stakeholders?
- ◇ From an external perspective, what are the perceived strengths of the university? What are the expectations for this university?
- ◇ Regarding other specific matters, what are the views of external stakeholders?

#### Student interviews

Please obtain information as seen from the students' perspective to deepen the understanding of the university's current situation and ensure the accuracy and validity of the evaluation. Information gathered should be handled in the same manner as student opinions referenced during the document analysis stage (see 5-4-1).

Facility tours and class observations

Please visit and inspect the facilities and equipment determined by the subcommittee, and observe the classes as necessary.

Note: The schedule and time allocation of the above program are determined in coordination with each university (see 3-2-2).

**5-4-3. Final Tasks by Subcommittees**

Based on the results of the site visit, the members revise the University Accreditation Results (Subcommittee's Draft) and prepare the University Accreditation Results (Subcommittee's Final Draft). The subcommittee chief makes the accreditation decision and writes the "overview" that gives an overall summary of the evaluation. In the University Accreditation Results (Subcommittee's Final Draft), "(2) Finance" of Standard 10 "University Management and Finance" is prepared by the Financial Affairs Review Subcommittee, but the accreditation decision and Overview should be prepared by the University Review Subcommittee Chief, with the financial affairs review section considered as well.

Upon completion, the University Accreditation Results (Subcommittee's Final Draft) is submitted to the University Accreditation Committee as a joint product of the University Review Subcommittee and the Financial Affairs Review Subcommittee. The subcommittee chief attends the University Accreditation Committee meeting to explain the final draft.

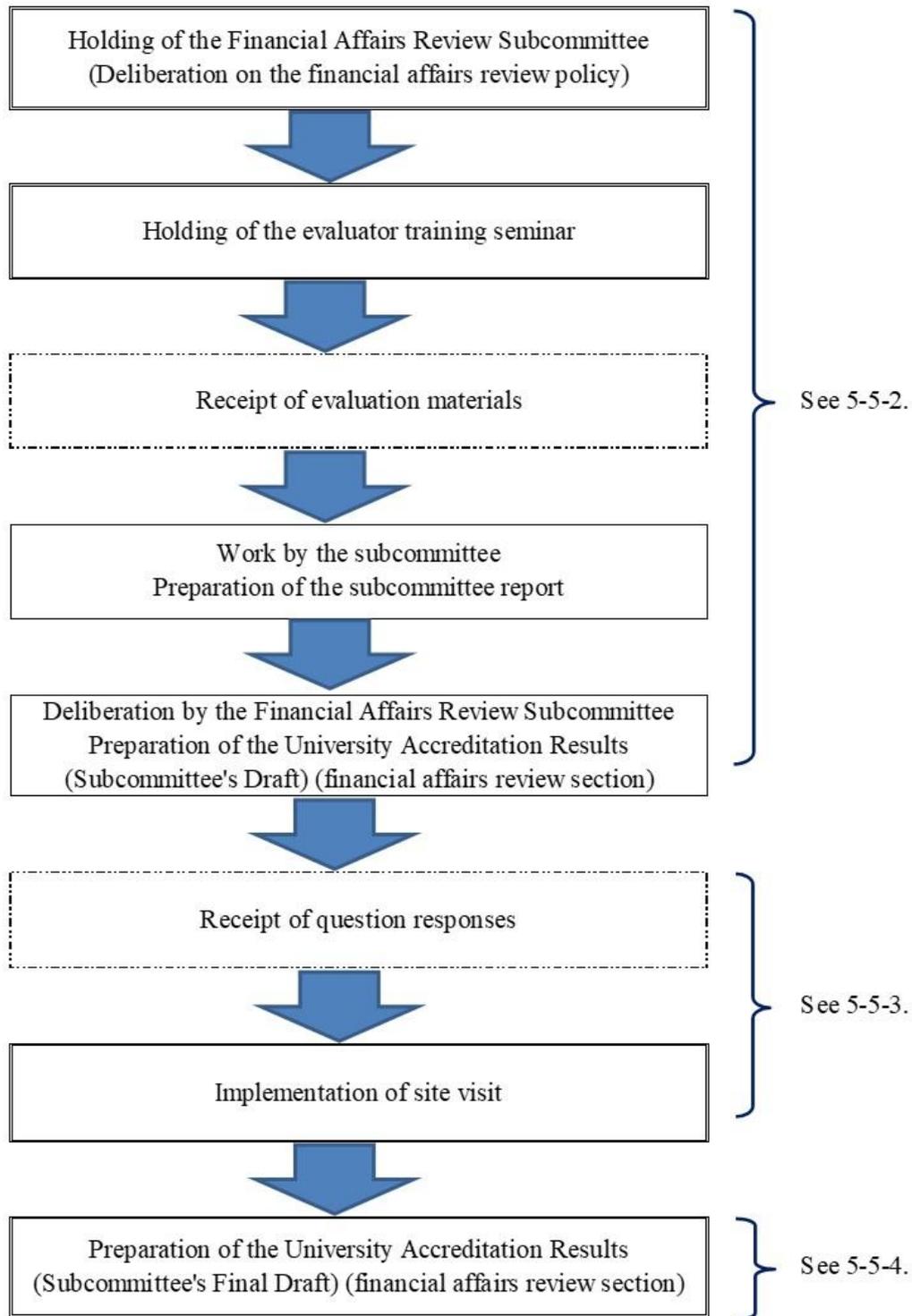
**5-4-4. Participation of External Panel Members and Other Experts**

The University Review Subcommittee may also include external experts and secretaries from the University Accreditation Committee as well as special university evaluators. The purposes of their participation and the nature of their activities are as follows.

<p>External Experts</p>	<ul style="list-style-type: none"> <li>• Committee members of the University Accreditation Committee who incorporate outside experts' opinions and help ensure transparency in the evaluation process. They may also participate in University Review Subcommittee activities for the purpose of reviewing the evaluation methods, systems, and other aspects from an external perspective and encouraging necessary improvements and other measures to the University Accreditation Committee.</li> </ul>
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	<ul style="list-style-type: none"> <li>• External experts participate as observers and report on issues and other matters related to the evaluation methods, systems, and other aspects to the University Accreditation Committee.</li> </ul>
Secretaries	<ul style="list-style-type: none"> <li>• A position established within the University Accreditation Committee to assist the committee chair. Secretaries may also participate in the University Review Subcommittee for the purpose of assisting the subcommittee chief.</li> <li>• Secretaries assist in compiling the evaluation results and other tasks.</li> </ul>
Special University Evaluators	<ul style="list-style-type: none"> <li>• Individuals who participate in University Accreditation Committee activities and help ensure the evaluations are conducted appropriately and smoothly. They may also participate in the University Review Subcommittee for the purpose of assisting with the evaluation work.</li> </ul>

#### 5-5. Tasks by the Financial Affairs Review Subcommittee



### 5-5-1. Overview of University Financial Affairs Reviews and Materials to be Submitted

This review assesses whether a university has the necessary and sufficient financial foundation to carry out its educational and research activities based on “(2) Finance” of Standard 10 “University

Management and Finance.” Establishing a solid financial foundation requires the university to develop an appropriate medium- to long-term financial plan and manage its finances accordingly. This review provides a comprehensive evaluation of these two matters.

#### Formulation of Medium- to Long-Term Financial Plans

School corporations are now legally required to develop medium-term plans, and national and public universities must formulate medium-term plans to achieve the medium-term goals set by the national government or their founding bodies. The Financial Affairs Review Subcommittee evaluates whether the financial plans for implementing such medium- to long-term plans include specific numerical targets (such as financial ratios to be achieved or target amounts) and whether the strategies for achieving these targets are clearly defined. For this evaluation, the subcommittee references the Self-Assessment Report as well as the following materials:

- Medium- to long-term financial plans (private universities: corporations and universities); medium-term plans (national and public universities)
- Financial simulations (submission is required when conducted)
- Other materials indicating numerical targets and strategies for achieving these targets

#### Establishment of a Necessary and Sufficient Financial Foundation for Conducting Educational and Research Activities

Private universities rely on student tuition and other fees as the primary source of income, which is allocated to maintaining and enhancing their educational and research activities. For private universities to operate sustainably, they must also maintain a certain level of reserve funds. Since universities determined to conform to the University Standards based on the evaluation are granted seven-year accreditation periods in principle, evaluators must examine not only single-year financial performance but also whether the universities maintain adequate reserve funds. The financial condition of school corporations, not just the universities themselves, is an important factor as well. Comprehensive evaluations should be conducted by confirming both the ratio of financial assets to the required reserve fund based on balance sheets from the past six years, including the year preceding the evaluation, and the operational revenue and expenditure status of the school corporation and the university, and by analyzing the financial ratios from various financial statements in comparison with the average values of similar universities. The income of national and public universities is derived from student fees as well as grants from the national government or founding bodies, and these revenues form the financial foundation supporting

university operations. While grant calculation rules vary by institution type, sufficient funds must be allocated to education and research in all cases. With these considerations in mind, please assess each university's situation through the Self-Assessment Report and supporting evidence, analyze year-over-year financial trends such as income and education and research expenditures from financial statements covering the past six years, and evaluate accordingly.

In addition to the above, working to secure external funding in order to diversify revenue sources is an important element for all types of universities. Please evaluate the universities' initiatives and measures toward securing external funding to enhance their research activities, as well as whether these efforts are effective and lead to higher application numbers, grants obtained, and funding amounts.

To evaluate the above points, the following materials should be referenced according to the type of institution.

#### National Universities, Public Universities (incorporated):

- Basic Institutional Data Table 12 \*Prepared and submitted by universities according to the prescribed format.
- Checklist of Financial Trends and Ratios of National and Public University Corporations (Material 7)

\*Prepared by the JUAA office based on six years of financial statements submitted by each university.

#### Public Universities (non-incorporated):

- Basic Institutional Data Table 12 (prepared only by national and public universities)  
\*Prepared and submitted by universities according to the prescribed format.
- Public University Income and Expenditure Data (Form 6-2)

\*Prepared by the JUAA office based on six years of financial statements submitted by each university.

#### Private Universities:

- Basic Institutional Data Tables 9-11 (private universities only)  
\*Prepared and submitted by universities according to the prescribed format.
- Comparison List of Financial Ratios to Averages (Material 5)

\*Prepared by the JUAA office according to the disciplinary categories of established faculties based on Basic Institutional Data Tables 9-11.

- Checklist of the Ratio of Financial Assets to the Required Reserve Fund (Material 6)

\*Prepared by the JUAA office based on the financial statements submitted by each university.

- Five-Year Financial Statements (Form 6-1)

\*Prepared and submitted by universities based on their financial statements, referring to the prescribed format.

## 5-5-2. Document Analyses

### Subcommittee Work

All subcommittee evaluators conduct their respective evaluations based on the evaluation materials received, and all subcommittee members deliberate on the results together. The subcommittee chief should prepare the results of the deliberations as the Subcommittee Report.

### Deliberations of the Financial Affairs Review Subcommittee and Preparation of the University Accreditation Results (Subcommittee's Draft) (Financial Affairs Review Section)

The Financial Affairs Review Subcommittee deliberates on the Subcommittee Report prepared by the subcommittee chief. Based on the deliberation results, the subcommittee chief prepares the University Accreditation Results (Subcommittee's Draft) (financial affairs review section). If requests related to site visits (such as questions or requests for interviews) arise from the deliberations, the JUAA office will convey these requests to the university in writing.

## 5-5-3. Site Visits

If the deliberations by the Financial Affairs Review Subcommittee determine that a site visit is necessary, the Financial Affairs Review Subcommittee members will also participate. For the details of site visits, please refer to 5-4-2.

## 5-5-4. Final Tasks by Subcommittees

Based on the university's responses to questions, views on the University Accreditation Results (Subcommittee's Draft), and the site visit results (if conducted), the University Accreditation Results (Subcommittee's Final Draft) (financial affairs review section) is prepared and deliberated on by the Financial Affairs Review Subcommittee. The University Accreditation Results (Subcommittee's Final Draft) (financial affairs review section) prepared based on these results is submitted to the University Accreditation Committee as the University Accreditation Results (Subcommittee's Final Draft) along with sections prepared by the University Review Subcommittee. At that time, the University Review Subcommittee Chief prepares the accreditation decision and overview of the accreditation results, taking into account the entirety that includes the financial affairs review.

## 5-6. Tasks by the Progress Report Review Subcommittee

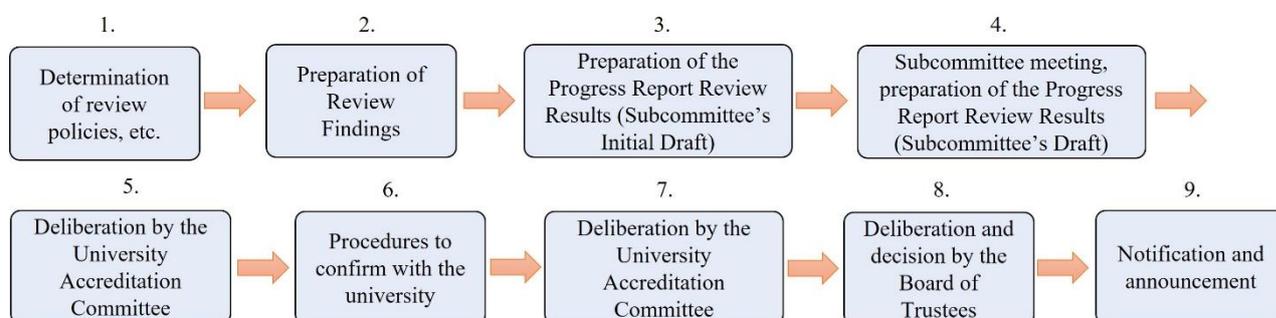
This evaluation involves reviewing the status of improvements for Recommendations and Suggestions for Improvement that were identified in the university accreditation process.

Type of Accreditation Decision	Scope
Accredited	All Recommendations and Suggestions for Improvement
Unaccredited (optional)	All Recommendations and Suggestions for Improvement

### Evaluation Materials

Type of Material	Content, etc.
Progress Report	Materials compiled by the university summarizing the improvement status of Recommendations and Suggestions for Improvement
Supporting Evidence	Materials that serve as evidence for the above

### 5-6-1. Details of the Tasks



#### 1. Determination of review policies, etc.

Training necessary for the practical work of examining the Progress Reports is conducted, while the Progress Report Review Subcommittee (first meeting of the academic year) deliberates and determines the review policies, role assignments of the evaluators, and other related matters. The subcommittee also deliberates on the necessity of conducting hearings with the university depending on the issues pointed out in the previous University Accreditation Results. After the subcommittee meeting concludes, the JUAA office sends the evaluation materials to the evaluators.

**2. Preparation of Review Findings;3. Preparation of the Progress Report Review Results (Subcommittee's Initial Draft)**

Based on the evaluation materials received, evaluators prepare the Review Findings for the universities for which they are responsible. From these review findings, the subcommittee chief prepares the Progress Report Review Results (Subcommittee's Initial Draft).

Note: For universities for which the first Progress Report Review Subcommittee meeting determines that hearings are necessary, hearings can be conducted during this period (online hearings are also possible, at the subcommittee's discretion).

**4. Subcommittee meeting, preparation of the Progress Report Review Results (Subcommittee's Draft)**

All evaluators convene the Progress Report Review Subcommittee (second meeting of the academic year) to deliberate on the Progress Report Review Results (Subcommittee's Initial Draft) and prepare the Progress Report Review Results (Subcommittee's Draft).

**5. Deliberation by the University Accreditation Committee**

The University Accreditation Committee deliberates on the Progress Report Review Results (Subcommittee's Draft) and prepares the Progress Report Review Results (Committee's Draft).

**6. Procedures to confirm with the university;7. Deliberation by the University Accreditation Committee**

The Progress Report Review Results (Committee's Draft) is sent to the university with a request to confirm whether there are factual or other errors. After this procedure, the University Accreditation Committee prepares the final draft, taking into account the university's confirmation results.

**8. Deliberation and decision by the Board of Trustees;9. Notification and announcement**

The Board of Trustees, having received the final draft from the University Accreditation Committee, deliberates and finalizes the Progress Report Review Results. The finalized Progress Report Review Results are notified to the university and announced on the JUAA website.

**5-7. Tasks by the Supplementary Review Subcommittee**

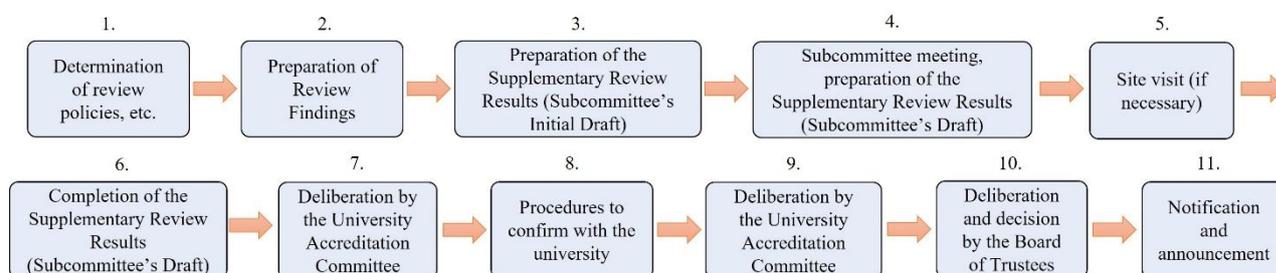
Universities judged unaccredited in the university accreditation process may voluntarily apply for a supplementary review. When applications are received, this process evaluates the improvement

status of Recommendations and Suggestions for Improvement.

### Evaluation Materials

Type of Material	Content, etc.
Progress Report for Supplementary Review	Materials compiled by the university summarizing the improvement status of Recommendations and Suggestions for Improvement
Supporting Evidence	Materials that serve as evidence for the above

#### 5-7-1. Details of the Tasks



#### 1. Determination of review policies, etc.

Training necessary for the practical work of supplementary review is conducted, while the Supplementary Review Subcommittee deliberates and determines the review policies, role assignments of the evaluators, and other related matters.

#### 2. Preparation of Review Findings; 3. Preparation of the Supplementary Review Results (Subcommittee's Initial Draft)

Based on the evaluation materials received, evaluators prepare the review findings for the universities for which they are responsible. From these Review Findings, the Supplementary Review Results (Subcommittee's Initial Draft) is compiled through a division of work among the evaluators.

#### 4. Subcommittee meeting, preparation of the Supplementary Review Results (Subcommittee's Draft)

All evaluators convene the subcommittee to deliberate on the Supplementary Review Results (Subcommittee's Initial Draft) and prepare the Supplementary Review Results (Subcommittee's Draft). The subcommittee also compiles questions (if necessary) and determines whether a site visit

is required. Questions are sent to the university before the site visit is conducted. If a site visit is conducted, the Supplementary Review Results (Subcommittee's Draft) will be finalized based on the site visit results.

#### 5. Site visit (if necessary)

A site visit is conducted over one day in principle. During the site visit, interviews are conducted with the university president and other relevant personnel, materials are reviewed, and facilities and equipment are inspected as necessary.

#### 6. Completion of the Supplementary Review Results (Subcommittee's Draft); 7. Deliberation by the University Accreditation Committee

The Supplementary Review Results (Subcommittee's Draft) prepared by the Supplementary Review Subcommittee is ultimately submitted to the University Accreditation Committee. The University Accreditation Committee examines its content and prepares the Supplementary Review Results (Committee's Draft).

#### 8. Procedures to confirm with the university; 9. Deliberation by the University Accreditation Committee

The Supplementary Review Results (Committee's Draft) is sent to the university with a request to confirm whether there are factual or other errors. Following this procedure, the University Accreditation Committee prepares the final draft, taking into account the university's confirmation results as well.

#### 10. Deliberation and decision by the Board of Trustees; 11. Notification and announcement

Upon receiving the final draft from the University Accreditation Committee, the Board of Trustees deliberates and finalizes the Supplementary Review Results. The finalized Supplementary Review Results are notified to the university, reported to the Minister of Education, Culture, Sports, Science and Technology, and announced on the JUAA website.

