

文部科学省 URA 委託調査シンポジウム
@東京工業大学 2016年3月6日

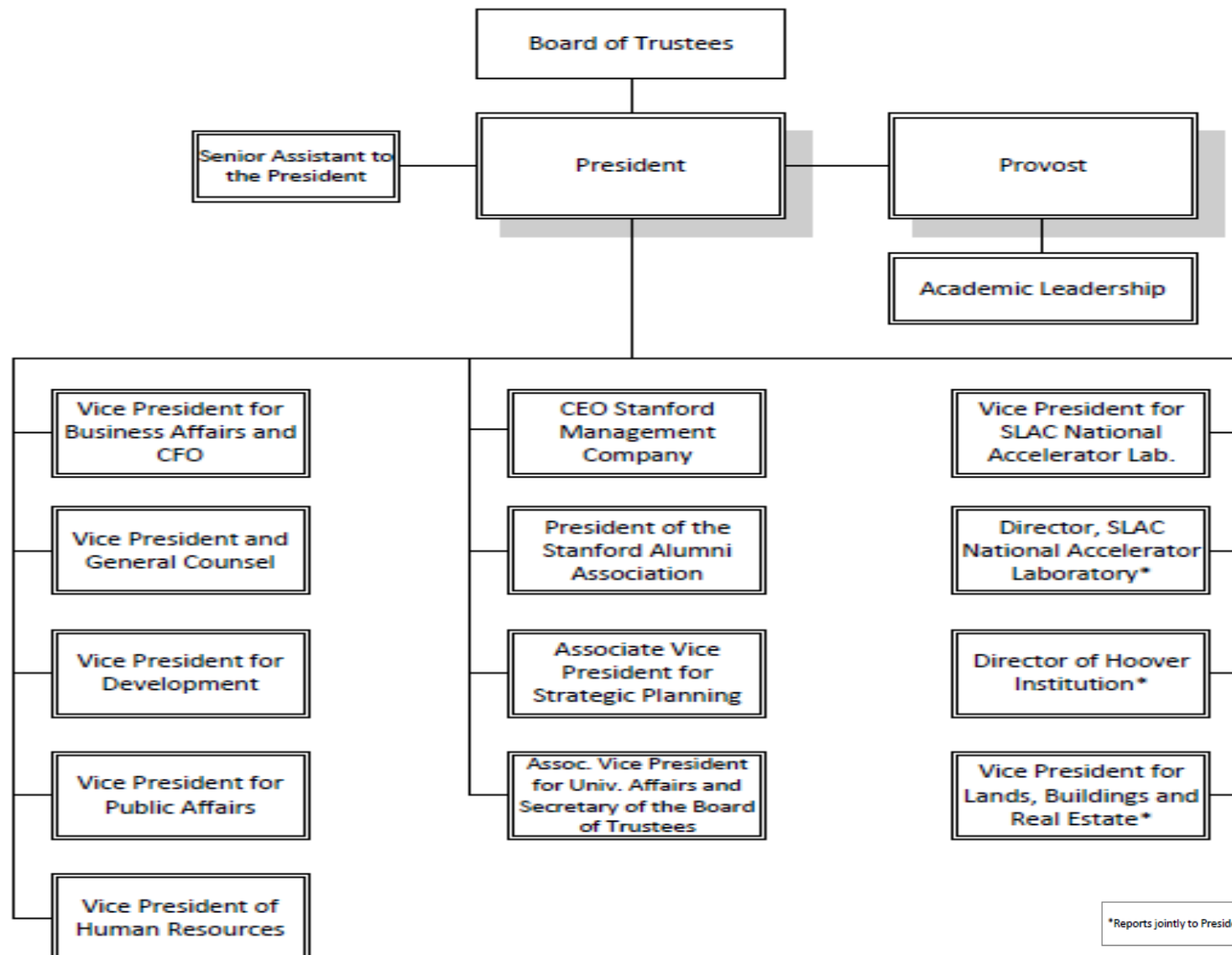
マネジメントとガバナンス： アカデミアにおける輸入概念と輸入人材

政策研究大学院大学
教授 上山隆大

STANFORD におけるガバナンスとマネジメント

- President と Provost の明確な役割分担
- President Office
 - 財務の責任、法務、寄付、人事、大学戦略
 - ファンドレイジングの司令塔
- Provost Office
 - 各スクールとの調整、研究方針、バジェット、教育(学部と大学院)、ファカルティ・デベロップメント
- それぞれの事務体制に professional な人材の存在
 - 事務部門とマネジメント部門の接合性
- マネジメント事務部門における financial な部分の大きさ

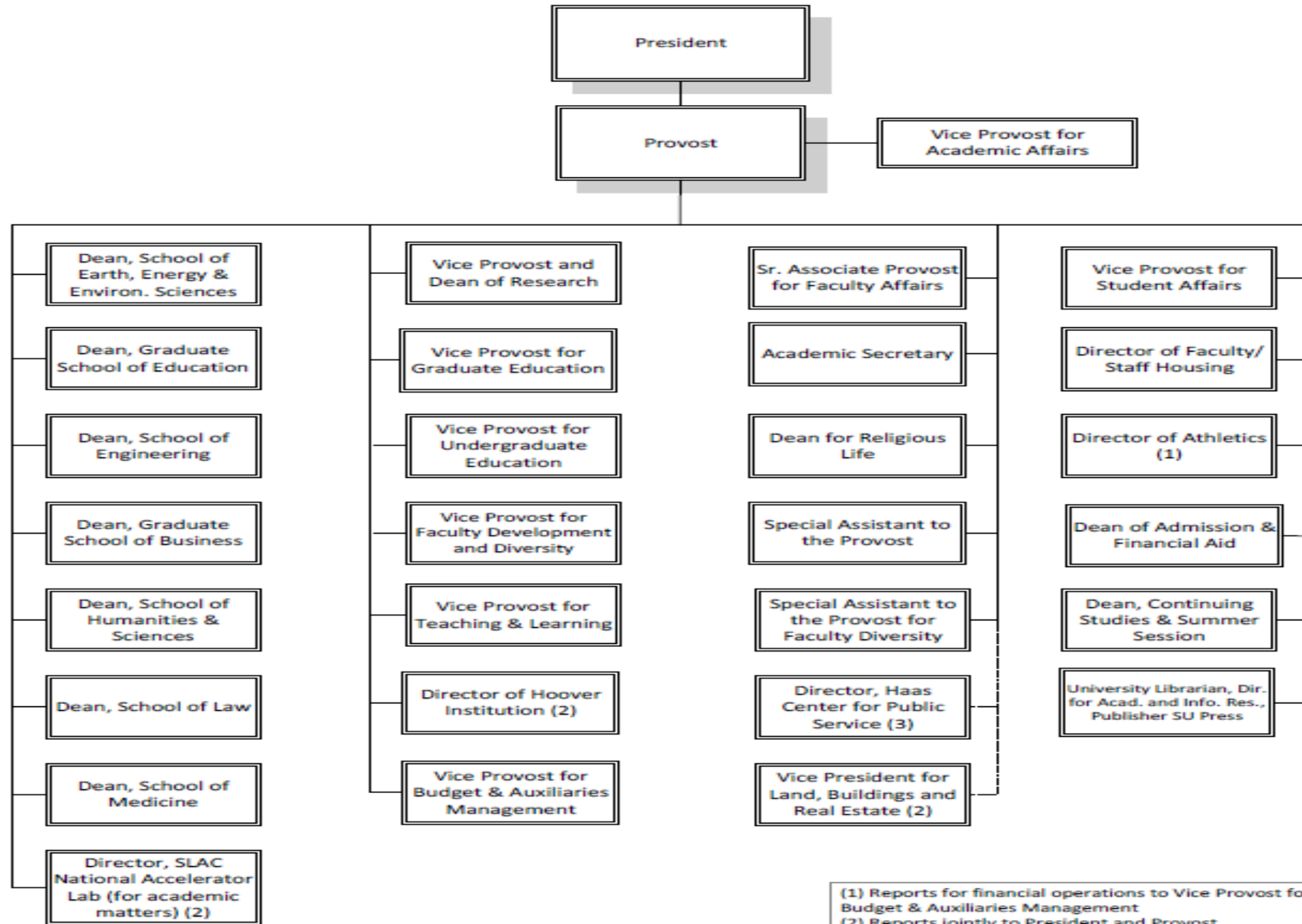
スタンフォードのガバナンス構造 (PRESIDENT OFFICE)



*Reports jointly to President and Provost

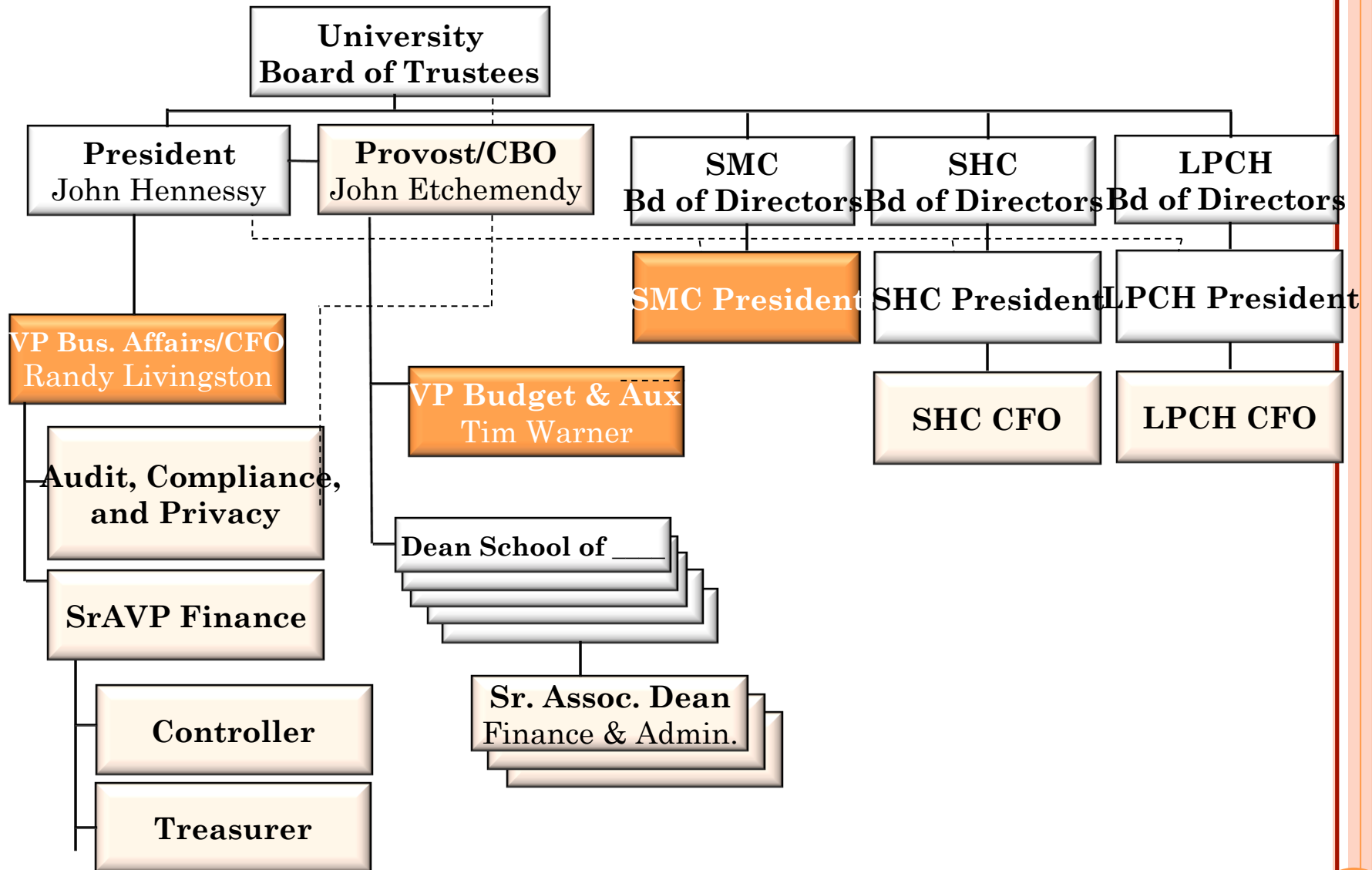
スタンフォードのガバナンス構造 (PROVOST OFFICE)

Organization Chart: Provost



(1) Reports for financial operations to Vice Provost for Budget & Auxiliaries Management
 (2) Reports jointly to President and Provost
 (3) Reports jointly to the Provost and the Vice Provost for Student Affairs

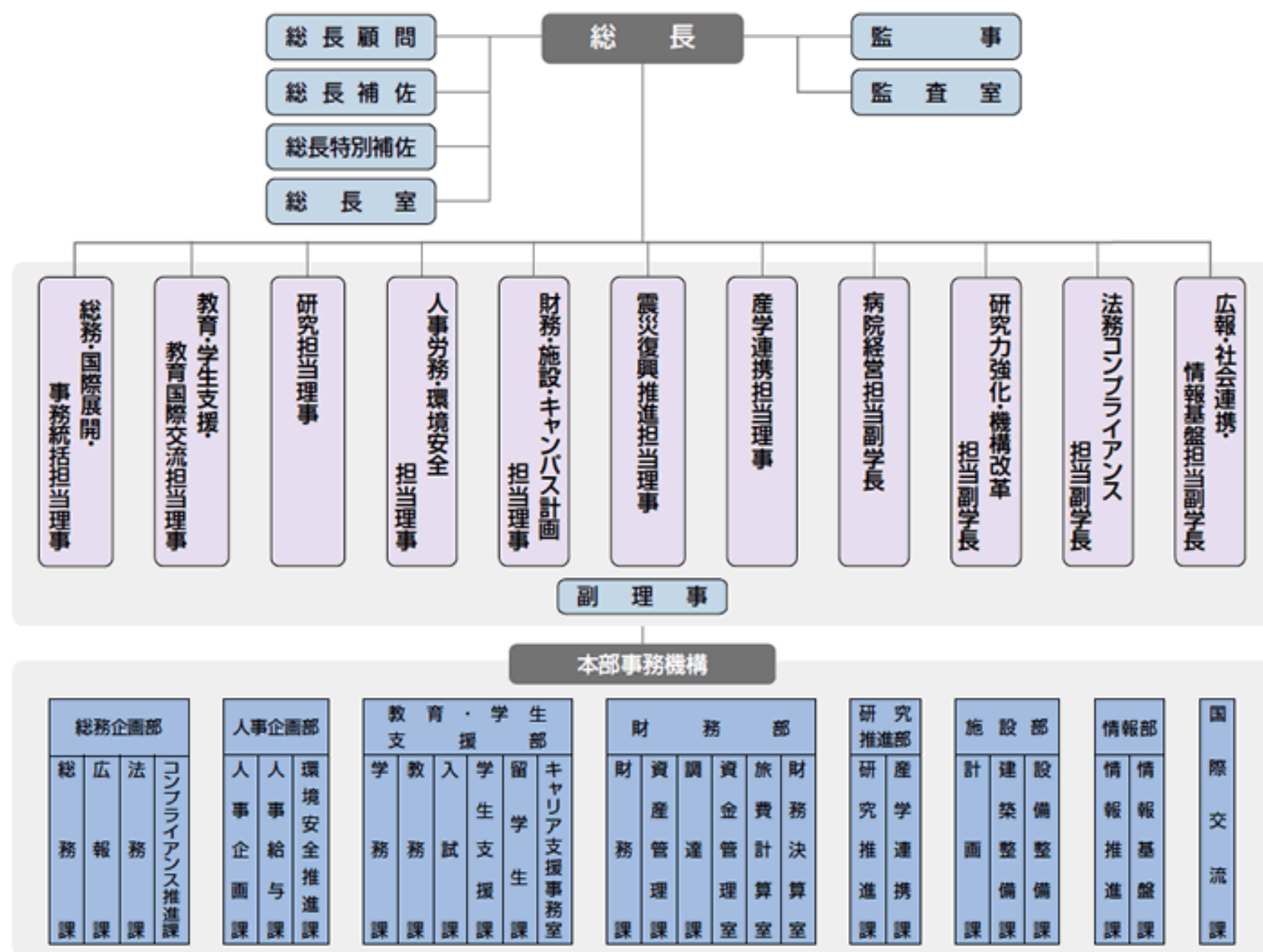
スタンフォードの財務構造: さまざまな部門に分散



日本の国立大学におけるガバナンスとマネジメント

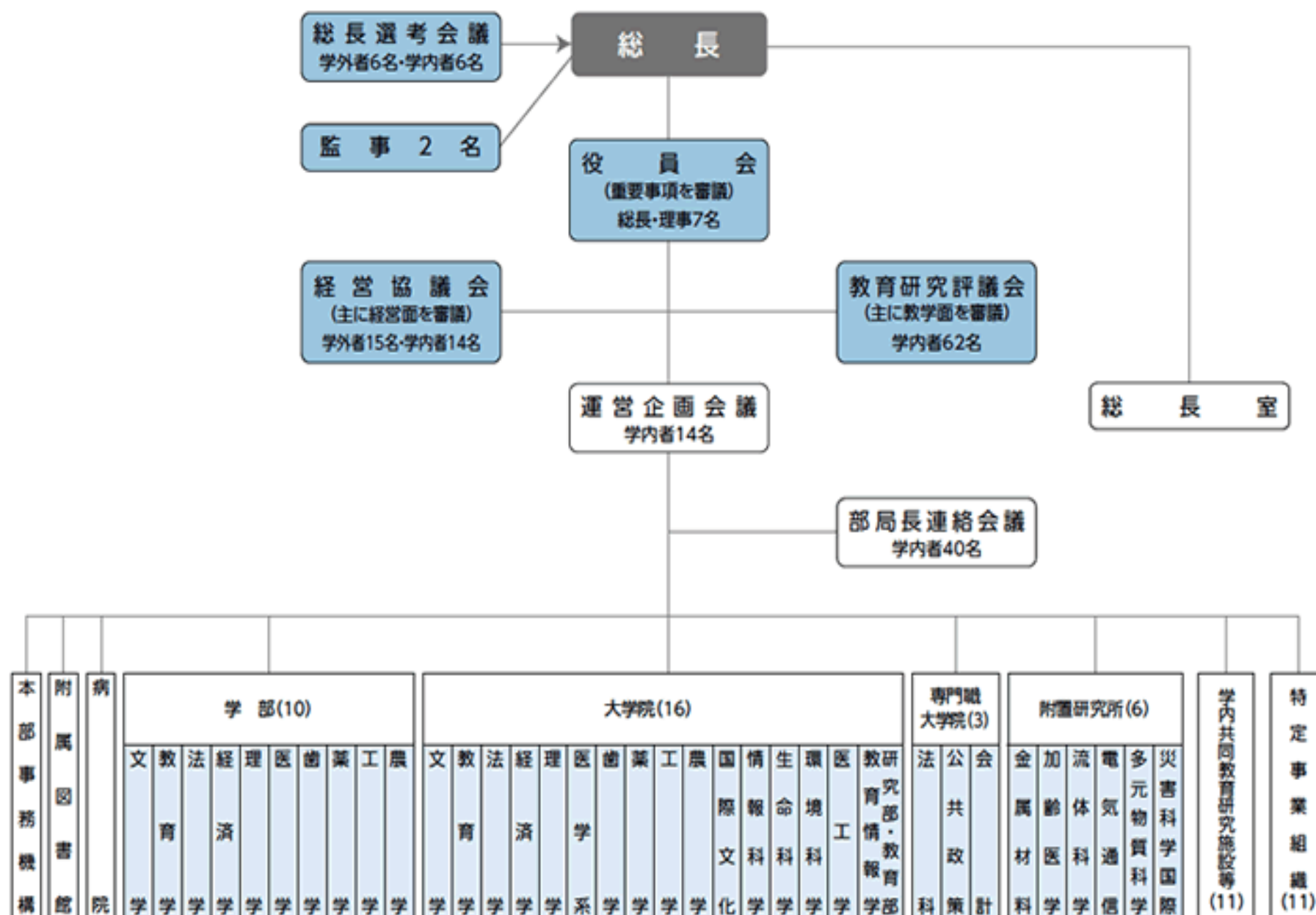
- 学長(総長)へのガバナンス構造の集中
- すべての組織が president office の下に集中
- 運営と教育は別機構:それが総長に集約する形
- 総長がすべてを統括しているということでもあり、何も出来ないという意味でもある。
- 大学の資金(収入と支出)に特化する部局の力が弱い
- 財務は会計情報を集約するだけ。それをどこに配分し、経営戦略を立てる部門が弱い
- 大学マネジメント機構と事務機構が分断されている

東北大学組織図：運営部門



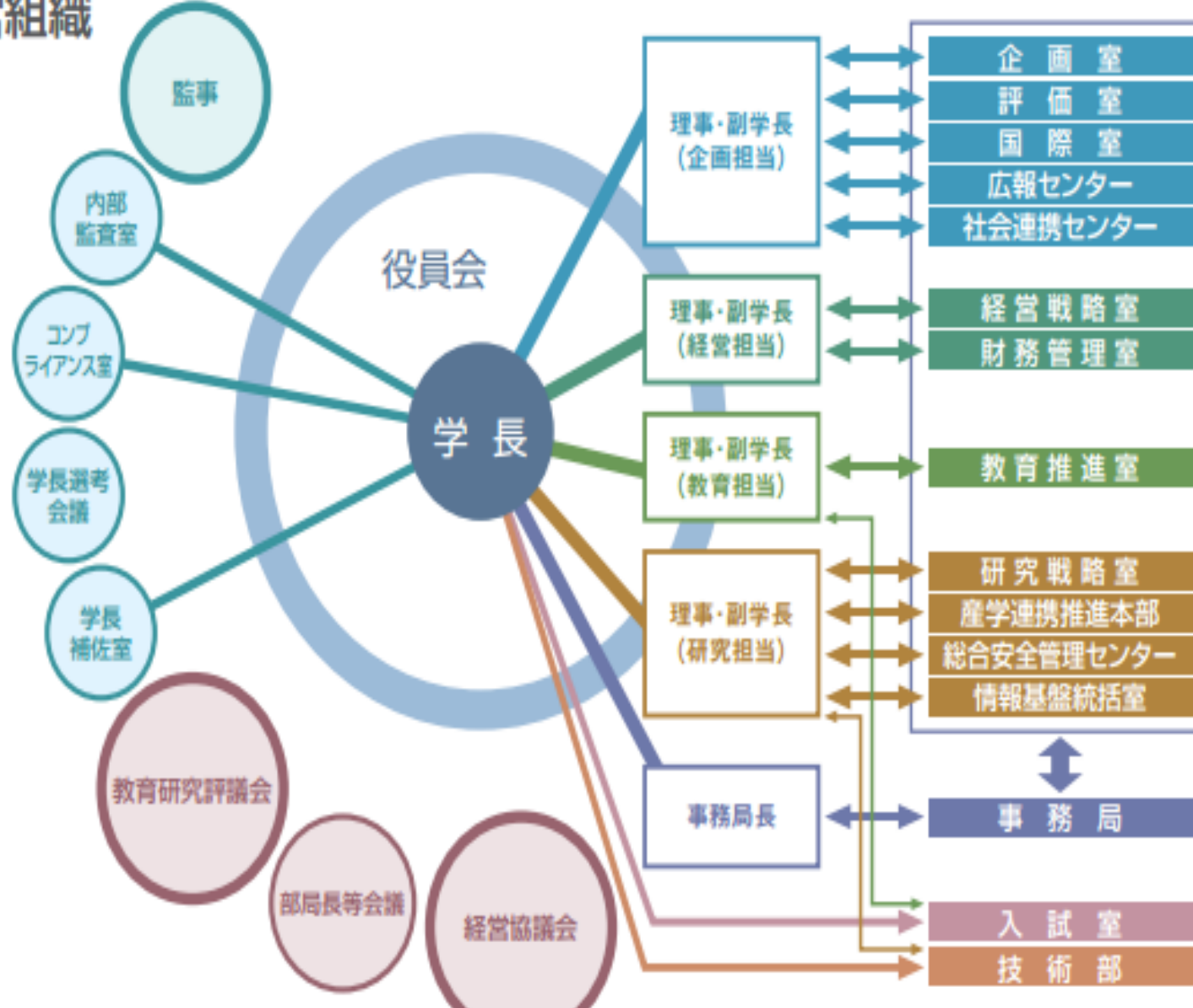
東北大学組織図:教育部門

運 営 組 織



東京工業大学組織図

運営組織

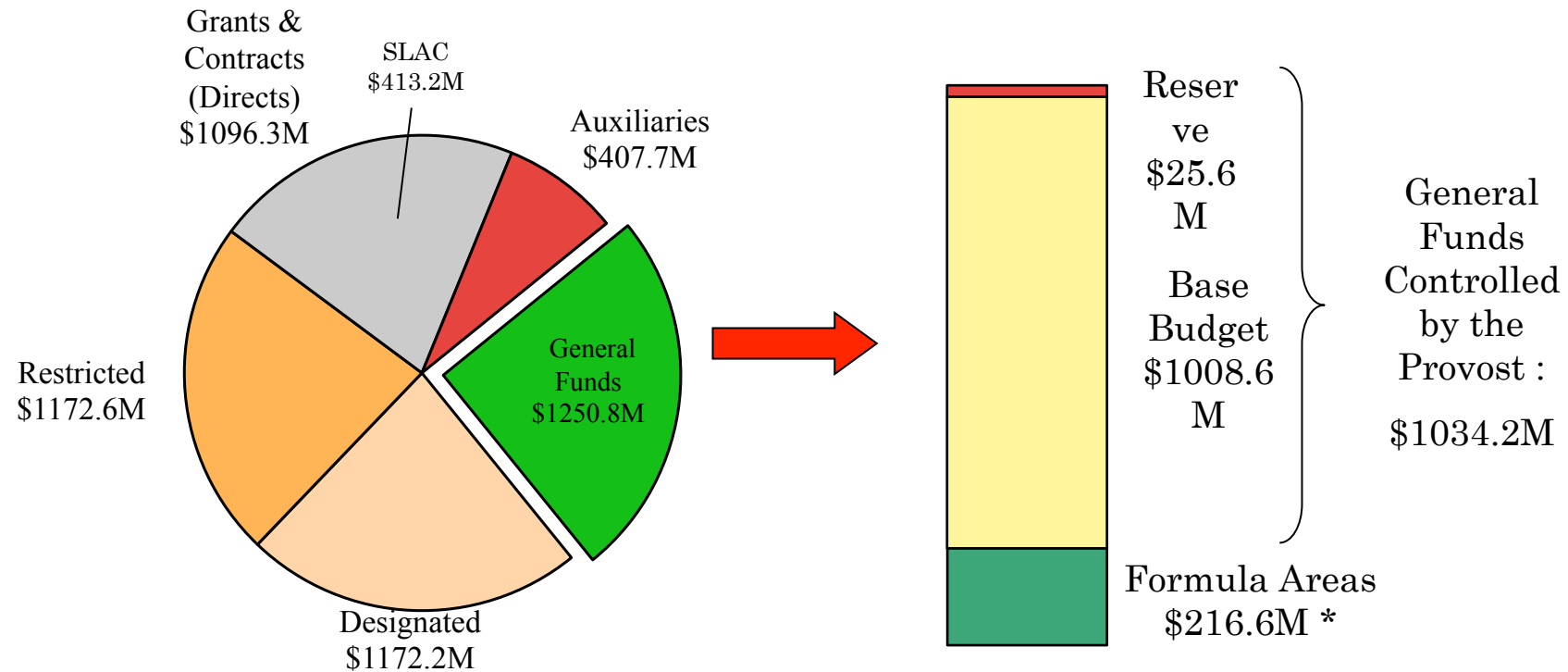


大学における資金配分への戦略的マネジメント

- 資金の配分に大学の戦略が反映されていることが重要
 - 大学のビジョンと戦略策定
 - バジエットの配分と人事(リクルーティング)
 - マネジメント事務部門の専門的関わり
- Unrestricted funds:
 - 「当該組織全体の目標に沿い、それを支えるあらゆる目的のために使用することのできる学内資金 (Goldstein, 2012)」
- Designated funds:
 - 「理事会または経営管理者によって特定の目的のために保持された使途制限のない資金 (Goldstein, 2012)」
- Restricted funds:
 - 「資金提供者によって規定された条項に従って保持され、投資または支出されなければならない外部から提供された資金 (Goldstein, 2012)」

GENERAL FUND UNDER THE CONTROL OF PROVOST

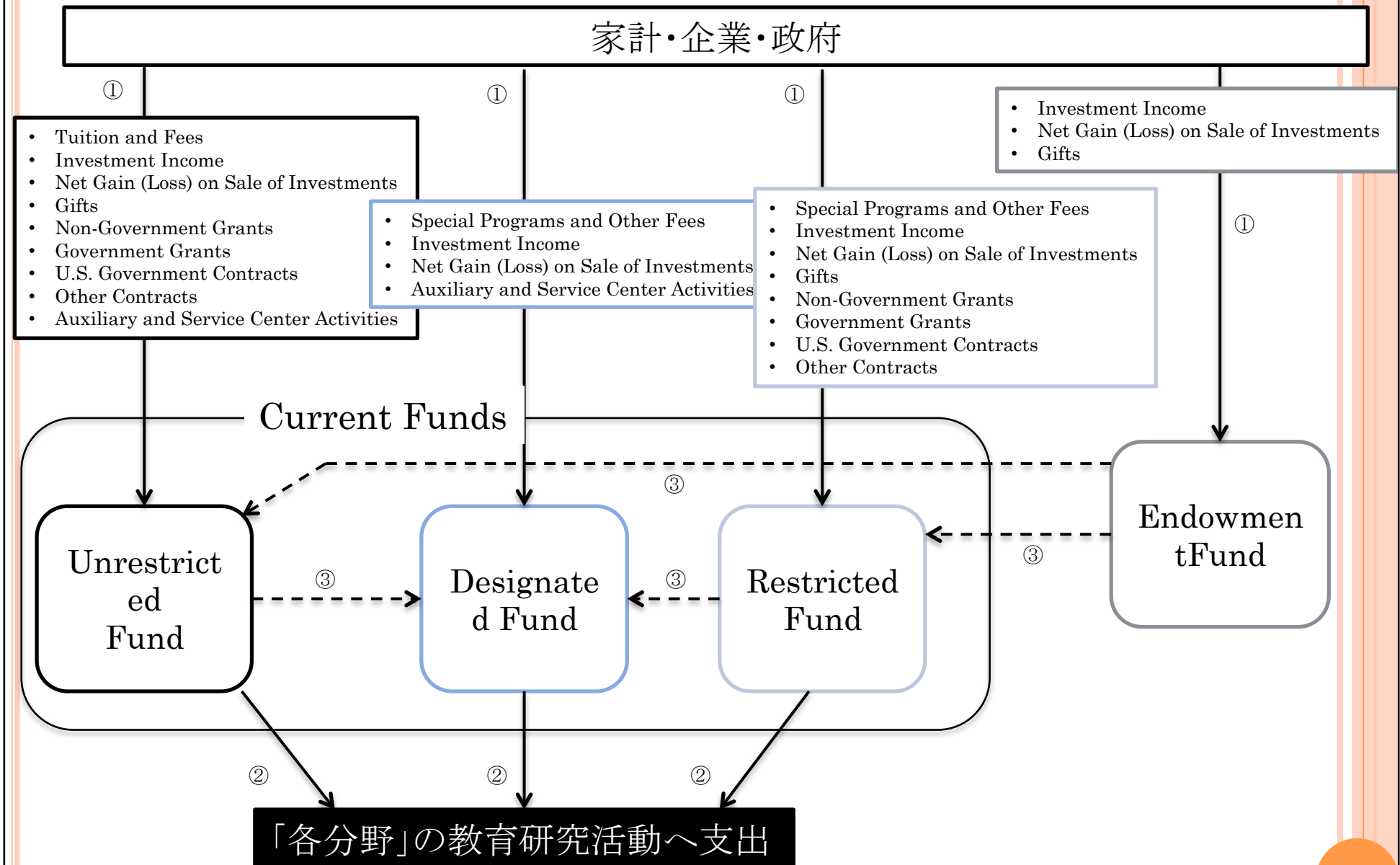
Projected Consolidated Revenues, 2014/15



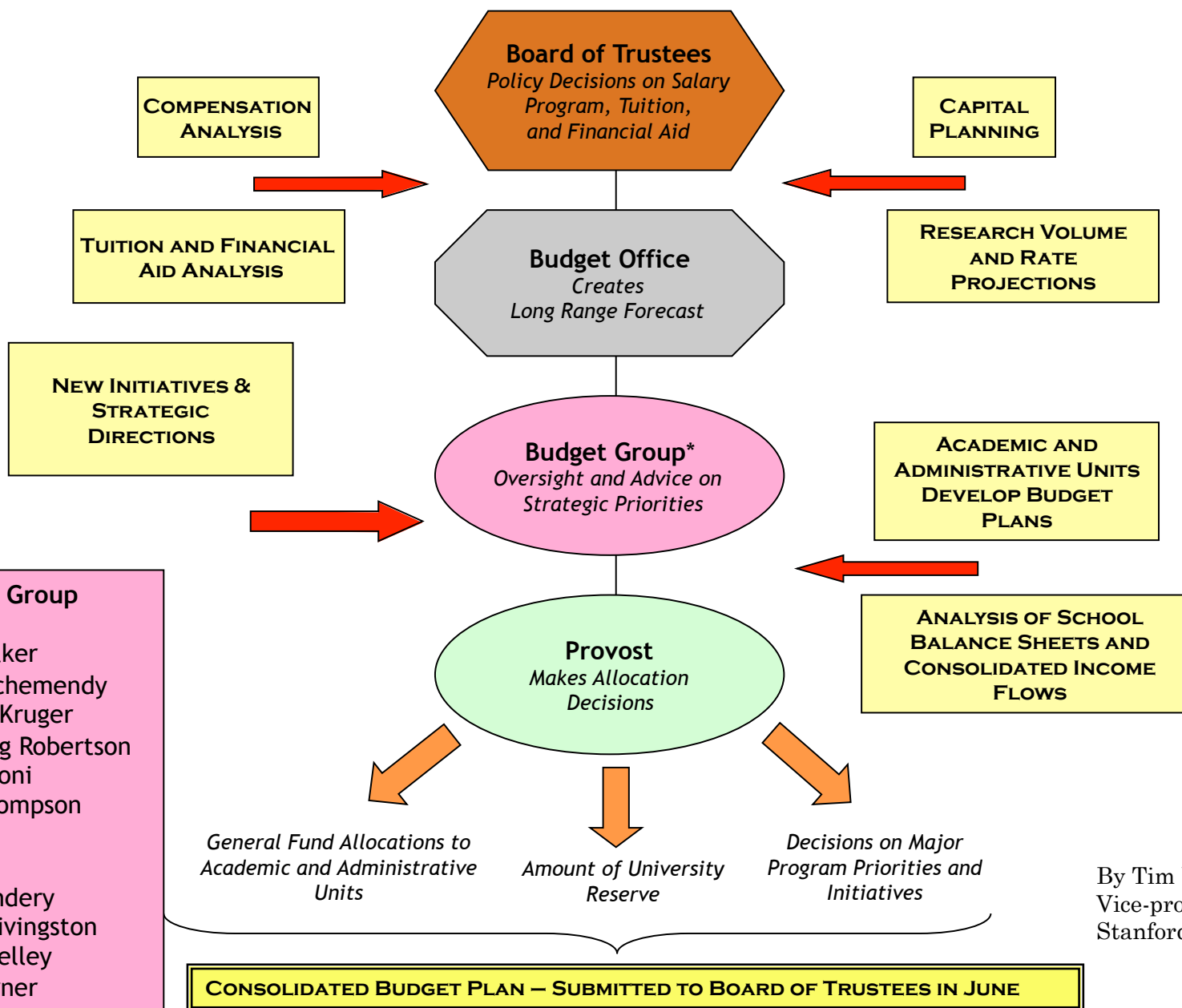
* Formula Areas General Funds are pre-determined by Provost and unit, and generally is tied to tuition and indirect cost recovery generated by unit. Principal formula areas include the Graduate School of Business, the School of Medicine, and the Hoover Institution.

Sources: Stanford Budget Plan 2014/2015

米国の大学の学内資金の流れ(スタンフォード大学)¹²

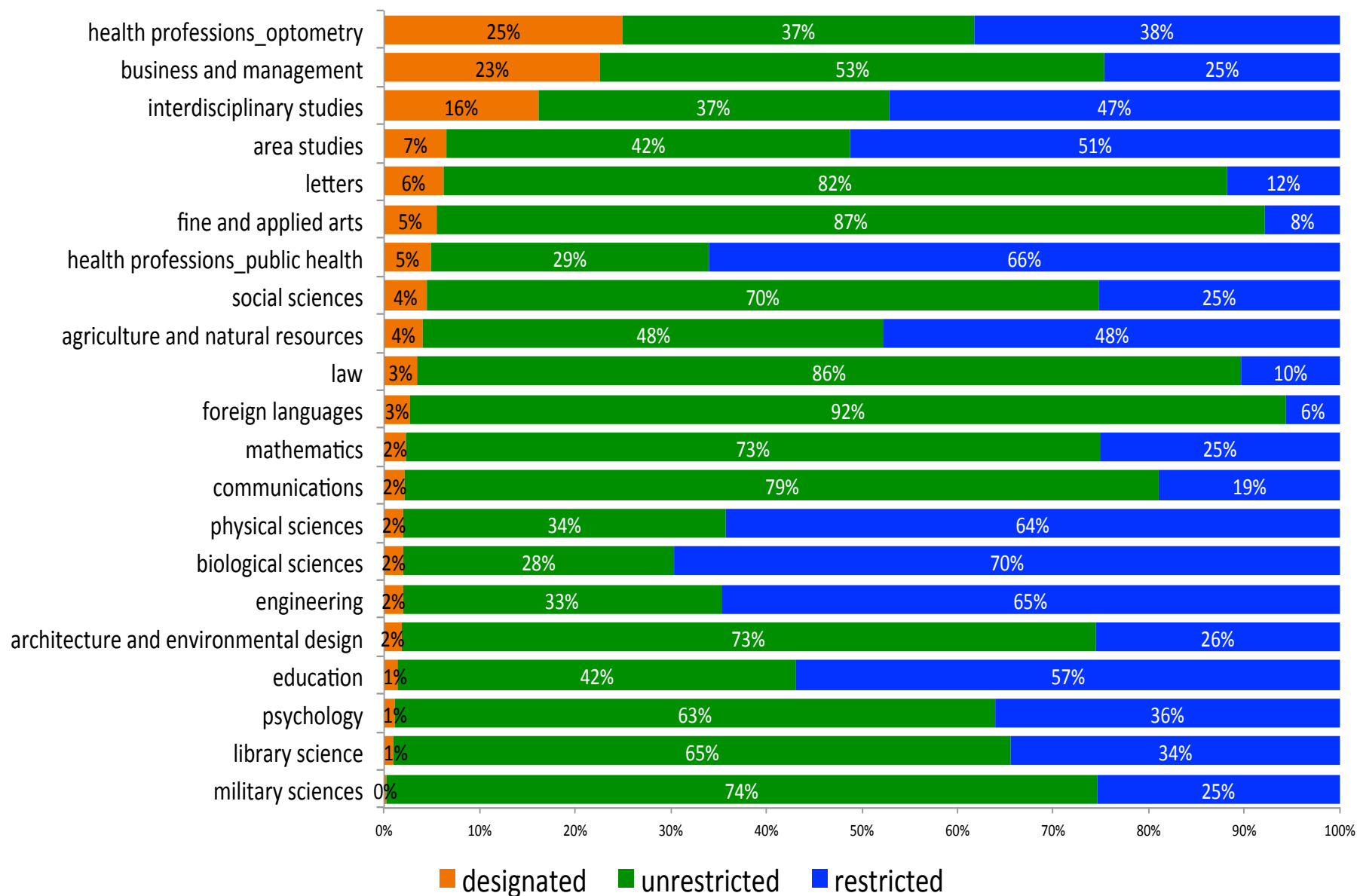


OVERVIEW OF THE CENTRAL BUDGETING PROCESS (STANFORD)



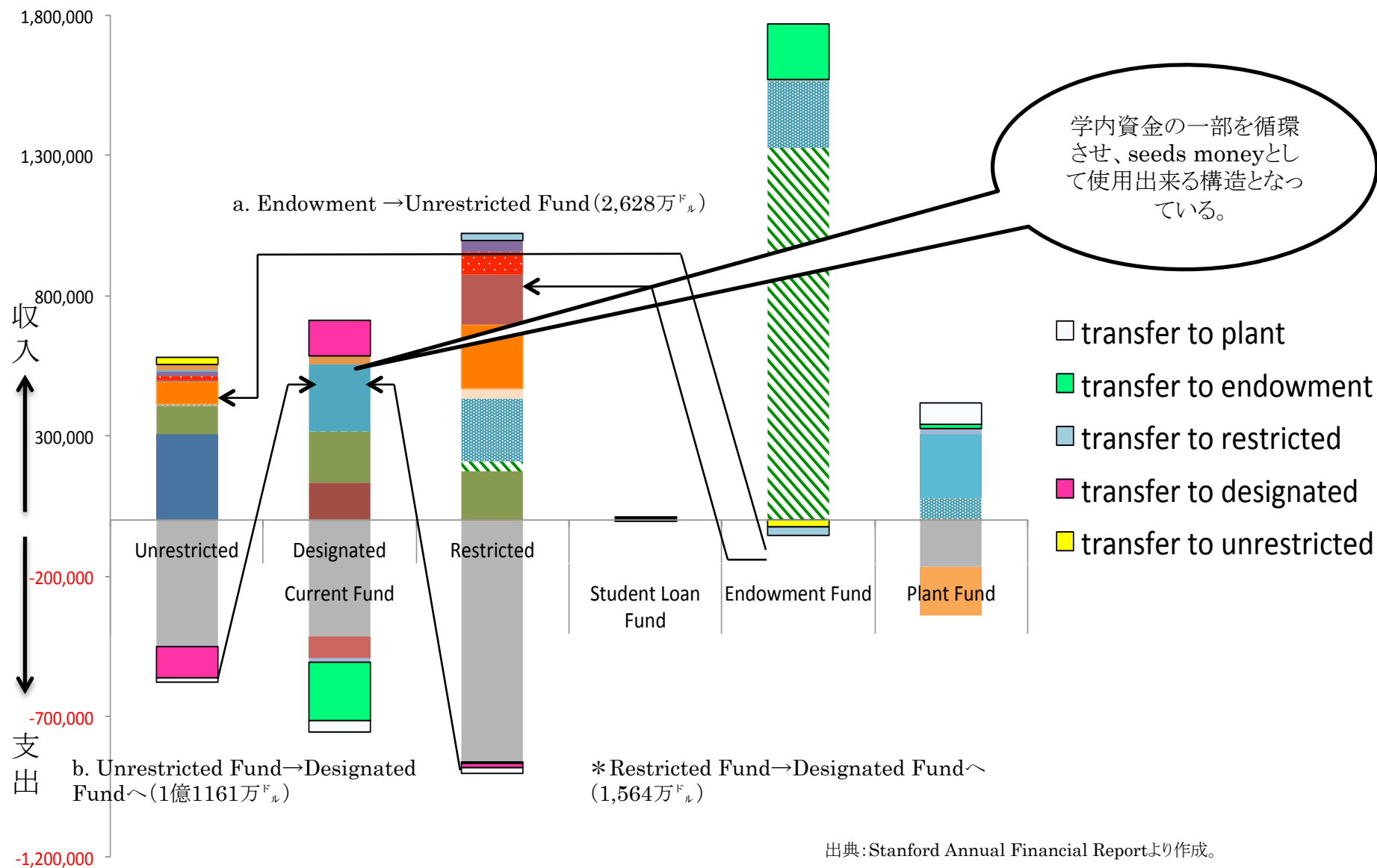
By Tim Warner
 Vice-provost of Budget Office
 Stanford

各分野の教育研究経費の元手となる資金の構成比 (UC BERKELEY, 2000)



STANFORD大学2000年の各ファンドの収支の循環

Current Fund, Student Loan Fund, Endowment Fund, and Plant Fund (ファンド間の移転)
Stanford: 2000 (\$1000)



日本の大学におけるアドミニストレーションの課題

- 大学の事務部門(URAも含む)は非効率的か？
 - 課題は組織構造の問題か？
 - 研究人材と事務人材の乖離
- アドミニストレーションへの専門家集団の必要性
 - 現在のURAの曖昧なプロフェッショナル性
 - 今後のURA組織の専門的分化の必要性
 - 大学ビジョン策定への参画
 - 若い世代からの人材育成の必要性

Academic Program Professional (アカデミックなビジョンと戦略策定)

Job Family: Administration		Job Series: Academic Program Professional	
Job Series Summary: Plan and administer both academic and research programs and services. Interpret principles and concepts generated by faculty, develop ideas and options for faculty review and decision, and then develop and implement instruction and research programs reflecting faculty interest.			
Job Title: Academic Program Professional 1	Job Title: Academic Program Professional 2	Job Title: Academic Program Professional 3	Job Title: Academic Program Professional Manager
Job Code: 4111	Job Code: 4112	Job Code: 4113	Job Code: 4116
Classification Level: H	Classification Level: J	Classification Level: K	Classification Level: L
Exemption: Exempt	Exemption: Exempt	Exemption: Exempt	Exemption: Exempt
Effective/Revision Date: 04/01/2015	Effective/Revision Date: 04/01/2015	Effective/Revision Date: 04/01/2015	Effective/Revision Date: 04/01/2015
Job Purpose	Job Purpose	Job Purpose	Job Purpose
Work under the direction of faculty or other management to implement and administer the vision, strategy, and goals of the assigned academic entity/program(s).	Work under the general direction of faculty or other management to develop, implement, and administer the vision, strategy, and goals of the assigned academic entity/program(s). Participate in entity/program strategy development, long-range planning, and partnership development.	Work under broad direction of faculty or management to identify opportunities, develop strategy, and lead, implement, and administer large academic programs. Serve as expert advisor to faculty and staff and have a large role in program/entity strategy development, long-range planning, and partnership development.	Manage program-related staff assigned to academic programs and projects, while also managing all aspects of program development, implementation, and evaluation.
Core Duties	Core Duties	Core Duties	Core Duties
<ul style="list-style-type: none">Participate in assigned research activities and/or programs by participating in the development of programs within assigned area or entity; implementing, administering, and evaluating programs; and/or analyzing data, creating reports, reviewing trends, and making program improvement recommendations.May teach and/or assist in the teaching and administration of courses, as needed. Assist in the development of curriculum.Write and edit content for proposals, research grants, peer-reviewed publications, and other program activities.Perform outreach activities, including program communications, events, conferences, partnerships, and/or fundraising.Monitor expenses, budgets, and finances of the program.	<ul style="list-style-type: none">Develop, implement, administer, and evaluate programs, including outreach to varied stakeholders by: conducting research activities within the program; analyzing data, creating reports, reviewing trends, and making program improvement recommendations. May develop or contribute to outreach strategy related to program communications, development, partnerships, and fundraising/funding.May teach and/or assist in the teaching and administration of courses. Create and/or advise in the development of curriculum. May advise students and/or coach/mentor clients.Write and/or edit complex content for proposals, research grants, peer-reviewed publications, and other program activities.Contribute to and inform on strategic program/entity planning and related funding and financial sustainability.Coach and mentor program staff.	<ul style="list-style-type: none">Lead and oversee development, implementation, administration, and evaluation of programs. Oversee analysis, reporting, and program improvements. Oversee the development, adherence to, and implementation of program policies and procedures.Lead strategic planning for the program/entity.Represent the entity or program to the broader university, external community, and other stakeholders. Provide expert consultation related to program development, funding opportunities, or other specialty area.Develop outreach strategy related to program communications, development, partnerships and fundraising/funding. Identify external funding opportunities and write proposals and research grants. Develop and oversee strategic financial planning and sustainability for the program/entity, as needed; monitor performance and ensure appropriate controls.May teach or co-teach courses; oversee the administration of courses; create and/or advise in the development of curriculum; and/or advise students, coach and mentor clients and program staff.Coach and mentor program staff.	<ul style="list-style-type: none">Provide leadership direction to assigned staff in the program area, and oversee subordinate staff with program responsibility.Design, develop, and oversee implementation of the most complex programs. Devise and implement vision, strategy, goals, and resource development in consultation with faculty director. Assess entity/program efficacy. Shape development of research and/or teaching programs. Provide guidance to program staff or instructors.Define the overall activities of research/ teaching program(s), allocate appropriate staffing and other resources to achieve objectives. Develop and direct related policy. Provide strategic and financial advice to faculty director and/or senior management. Coordinate grant proposal submissions.Develop, maintain, and control the financial budget related to program(s); shape financial strategy and long-range financial planning.Serve as the principal advocate with foundations, funding, and gift sources.

競争的資金獲得をサポートする専門家

Job Family: Finance		Job Series: Contract and Grant Administrator		
Job Series Summary: Responsible for the formal solicitation, negotiation, and administration of extramural support for university research, training, and public service projects funded by government and non-government sponsors.				
Job Title: Contract and Grant Associate	Job Title: Contract and Grant Officer 1	Job Title: Contract and Grant Officer 2	Job Title: Contract and Grant Officer 3	Job Title: Contract and Grant Manager
Job Code: 4476	Job Code: 4477	Job Code: 4478	Job Code: 4479	Job Code: 4480
Classification Level: F	Classification Level: G	Classification Level: I	Classification Level: K	Classification Level: L
Exemption: Exempt	Exemption: Exempt	Exemption: Exempt	Exemption: Exempt	Exemption: Exempt
Effective/Revision Date: 04/01/2015	Effective/Revision Date: 04/01/2015	Effective/Revision Date: 04/01/2015	Effective/Revision Date: 04/01/2015	Effective/Revision Date: 05/22/2015
Job Purpose	Job Purpose	Job Purpose	Job Purpose	
Process routine awards, and prepare for approval. Accept standard grant awards.	Prepare, negotiate, and oversee basic grant awards; select sub awards issued under university sponsored project awards and transactions not falling within the category of special provisions. Provide limited delegated signing authority to endorse proposals, accept basic grant awards, and execute select contracts on behalf of the university.	Prepare, negotiate, and oversee a full array of contracts, federal contracts (up to \$5M total), subcontracts, and grants with special conditions and transactions not falling within the category of exceptional circumstances. Provide delegated signing authority to endorse proposals, and negotiate and accept all grants and contracts, including sub awards, on behalf of the university.	Prepare, negotiate, and oversee a full array of contracts, federal contracts (up to \$10M total), subcontracts, and grants with special conditions; oversee sub awards issued under university sponsored projects and transactions with exceptional circumstances with approval from the director. Provide delegated signing authority to endorse proposals, and negotiate and accept all grants and contracts, including sub awards, on behalf of the university.	Provide technical leadership and direction to contract and grant staff. Manage staff to achieve goals and objectives of the unit. Provide management and coordination of operations-related functions with responsibility for overall success. Solicit and negotiate a full array of sponsored project agreements (up to \$10M total) on behalf of the university.
Core Duties	Core Duties	Core Duties	Core Duties	Core Duties
<ul style="list-style-type: none">Review initial proposal and preparation for completion, accuracy, and compliance with internal policy and external regulations.Accept standard grant awards.Administer requisition receipt process; review requisitions for accuracy and completion.Prepare select agreements for management approval.Check contracts and grants for special provisions.Collect, obtain, and ensure completion of required sub recipient documentation.Provide regular status updates to managers and project administrators.	<ul style="list-style-type: none">Conduct formal solicitation, negotiation, and administration of grants and contracts by government and non-government sponsors.Accept basic grant and sub awards (under grant prime) on behalf of the university.Draft proposal submissions, cover letters, amendments, and extensions.Assist department administrators, principal investigators, and staff; interpret and explain grant provisions and terms.Assist in the resolution of problems arising in the course of the project; consult with department administrators, principal investigators, staff, and sponsors.Partner with others to serve as a resource to educate units regarding institutional processes.	<ul style="list-style-type: none">Conduct formal solicitation, negotiation, and administration of grants and contracts, by government and non-government sponsors, including complex, non-routine proposals and awards.Conduct comprehensive analysis of complex proposals, draft agreements, sub awards, subcontracts, and other government contracts.Advise and assist department administrators, principal investigators, and staff; interpret and explain grant provisions and terms.Resolve problems arising in the course of the project; consult with department administrators, principal investigators, staff, and sponsors.Partner with others to serve as a resource to educate units regarding institutional processes.	<ul style="list-style-type: none">Conduct formal solicitation, negotiation, and administration of grants, contracts, and contracts with special conditions, by government and non-government sponsors.Conduct comprehensive analysis of complex proposals; draft master agreement and other government contracts.Participate in or lead special short-term projects within the Office of Sponsored Research or in conjunction with a school or unit.Resolve problems arising in the course of the project; develop ideas for more effective processes and service.Advise and assist department administrators, principal investigators, and staff; interpret and explain grant provisions and terms.Contribute to development and delivery of	<ul style="list-style-type: none">Manage staff and provide leadership to achieve goals and vision of the department. Responsible for hiring and retaining staff, career coaching, personal development for direct reports and accountable for the performance of employees.Advise senior management on programmatic, operational and policy development. Develop ideas for more effective processes and service.Coordinate the development and maintenance of internal documents and procedures to ensure work product and workflow are efficient and up-to-date.Identify contractual and policy issues, including those related to changes in sponsor policies, federal regulations and laws, raise issues to appropriate university officials, identify solutions, and provide follow through until resolved.

Development Office (寄付、ランドレイジング部門)

Job Family: Development			Job Series: Development		
Job Series Summary:					
Develop, implement and assess coordinated and/or comprehensive strategic plans to reach program goals and develop gift opportunities related to University needs. Partner with other senior development personnel to establish policies and implement strategies to enhance gift results, manage staff, and interact with volunteers and various university constituencies.					
Additional jobs in this series on following pages.					
Job Title: Development Coordinator	Job Title: Development Associate	Job Title: Development Officer 1	Job Title: Development Officer 2	Job Title: Development Officer 3	Job Title: Development Officer 4
Job Code: 4289	Job Code: 4290	Job Code: 4291	Job Code: 4292	Job Code: 4293	Job Code: 4294
Classification Level: F	Classification Level: G	Classification Level: I	Classification Level: K	Classification Level: L	Classification Level: M
Exemption: Non-exempt	Exemption: Exempt	Exemption: Exempt	Exemption: Exempt	Exemption: Exempt	Exemption: Exempt
Effective/Revision Date: 04/01/2015	Effective/Revision Date: 04/01/2015	Effective/Revision Date: 04/01/2015	Effective/Revision Date: 04/01/2015	Effective/Revision Date: 04/01/2015	Effective/Revision Date: 04/01/2015
Job Purpose	Job Purpose	Job Purpose	Job Purpose	Job Purpose	Job Purpose
Under direct supervision, provide administrative and routine support to fundraising programs and activities. Work with front-line fundraising staff, donors, volunteers, and other university staff to assist in establishing and maintaining relationships with all university constituencies.	Under general supervision, provide support to fundraising programs and activities. Work with front-line fundraising staff, donors, volunteers, and other university staff to assist in establishing and maintaining relationships with all university constituencies.	Implement a specific fundraising program. Operate independently in assigned areas and take responsibility for prospect identification and solicitation, proposal development, and coordination of internal support activities. Work with staff, donors, volunteers, and other university staff to assist in establishing and maintaining relationships with all university constituencies.	Plan and implement a specific fundraising program for the university. Operate independently in assigned areas and take responsibility for prospect identification and solicitation, proposal development, and coordination of internal support activities. Work with staff, donors, volunteers, and other university staff to assist in establishing and maintaining relationships with all university constituencies.	Plan and implement a specific fundraising program for the university or a school or unit. Responsible for prospect identification and solicitation, proposal development, mobilization of outside support, and coordination of internal support activities. Work with staff, donors, and volunteers to establish and maintain relationships with all university constituencies. Manage employees and/or operations, as needed.	Identifying, cultivating, and soliciting, or arranging for the solicitation, of individuals who fit the program criteria. Engages with a multitude of individuals to include faculty, university officers and staff, volunteers, alumni, friends and foundation representatives, and others outside Stanford during the course of their fundraising work.
Core Duties	Core Duties	Core Duties	Core Duties	Core Duties	Core Duties
<ul style="list-style-type: none">• Provide project and administrative support.• Assist in the design, publication and production of fundraising materials.• Build a network of relevant contacts, and stay informed on current university initiatives and activities.• Review and track funds and report on use of gifts, as assigned.• Assist in the planning and implementation of events and	<ul style="list-style-type: none">• Report on fundraising progress against goals and objectives for specific programs, as assigned.• Collaborate with marketing and communications staff in the writing and production of fundraising materials, including specialized appeals and other development communications.• Build and maintain network of relevant contacts, and stay informed on current university initiatives and activities.• Provide development program reporting and analysis, as	<ul style="list-style-type: none">• Develop strategies to track and analyze results of development activities, solicitation assignments, and progress. Monitor, analyze, and report on overall results to internal and external constituencies.• Steward and manage established relationships to maximize engagement, renew annual giving, and present new opportunities; cultivate and solicit gifts to the university.• Stay informed on current university initiatives and activities.	<ul style="list-style-type: none">• Develop solicitation goals, objectives, and strategies for development projects and/or specific donor populations or geographic regions. Cultivate and solicit gifts to the university.• Manage an active portfolio, and track solicitation assignments and progress. Work with a portfolio of assigned prospects to cultivate, solicit, and steward their support.• Take responsibility for a wide range of fundraising activities, including maintaining an active level of contacts, identifying new	<ul style="list-style-type: none">• Play a vital role in overall fundraising efforts.• Develop solicitation goals, objectives, and strategies for development projects and/or specific donor populations or geographic regions. Cultivate and solicit gifts to the university.• Manage an active portfolio, and track solicitation assignments and progress. Work with a portfolio of assigned prospects to cultivate, solicit, and steward their support.• Develop and design systems to track solicitation assignments and	<ul style="list-style-type: none">• Work with members of the Principal Gifts team in implementing the Principal Gifts program of the university, including carrying out all aspects of fundraising, serving on ad hoc committees in connection with presidential and Board of Trustees priorities, working with the Senior Vice President for University Resources, Vice President for Development, and other senior development officers, and assisting other university development programs.• Provide support for university

SALARIES AND WAGES IN HARVARD

