INTRODUCTION

This **Reader** has been prepared by EUA for the participants of the 3ʳᵈ Convention of European higher education institutions held in Glasgow. It contains a collection of documents aimed at providing useful information on the five themes identified by EUA as key issues for discussion.

Part I contains the five thematic papers prepared by EUA to guide the discussions in the working groups. These papers are based on the expertise developed by EUA through its projects, conferences and seminars.

Part II offers policy papers and background documents published by EUA and partners as well as a more comprehensive bibliography.

The **Trends IV** report, the Reader, speeches and presentations made at the Convention are available on the EUA Convention website: **www.EUAconvention.org**

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Core values for European universities in responding to evolving societal needs?

Introduction

1. The link between higher education and society has changed over time. Today, the fast changing external environment compels higher education institutions to be concerned with the implications for academic values of such trends as massification, globalisation and competition. These trends, which accentuate the sector's diversity, require that higher education reflect upon shared values across the variety of institutional types and missions.

2. Many observers have noted the expanding disconnection between educational values and commercially driven practices in higher education. Evidence for this includes: the growth of ranking schemes which lead to an undue stress on prestige, status and brand (including, in some cases, providing misleading information); an emphasis on students as consumers and on research as an income-generating enterprise; an extension of business practices to a sector that – although it can benefit from a greater focus on efficiency – needs to take into account the fact that both teaching and research are processes that are guided by uncertainty, curiosity, imagination and the search for truth rather than by market considerations.

3. The 2003 EUA Graz Declaration (see Part II of the Reader) stated that "the development of European universities is based on a set of core values: equity and access; research and scholarship in all disciplines as an integral part of higher education; high academic quality; cultural and linguistic diversity." Building upon this statement, EUA organised two conferences: "Engaging Stakeholders" (Marseilles, April 2004) and "Charting the course between public service and commercialization: prices, values and quality" (Turin, June 2004) that examined these issues in the context of the three-fold mission of higher education: teaching, research and service to society. These conference conclusions form the basis of the Theme 1 working groups.

Teaching and learning

4. Offering learning opportunities to an ever-expanding circle of learners, responding to evolving learners' needs and providing stimulating learning environments represent important objectives for higher education. In this context, the fulfilment of the education mission is becoming increasingly challenging since institutions have to respond to the short- and long-term needs of individuals and society, and to the tensions arising from the co-existence of the competitiveness and social agendas. Therefore, it is important to recognise the need for diversity of higher education provision. Teachers must understand and value the diversity of students' profiles, use teaching methods focused on individualised learning paths and team projects, and be conscious of their responsibility to educate learners to become global citizens.

5. Higher education institutions (HEIs) provide learners with skills that enable them to develop professionally and understand and adapt to societal changes. In the context of the stress on employability in Bologna, and the pressures of competition, globalisation and massification of higher education, HEIs can respond by re-affirming the goals of education as acquiring a set of generic and specific knowledge and skills ("learning to know, to do, to live together, and to be").

Research

6. Research and research-based education are essential for Europe. In order to strengthen these activities, universities need to develop research strategies that define institutional priorities and identify areas of specialisation leading to excellence and sustainability in research. All the while, HEIs need to remain open to individual research projects bearing a high potential for creativity as well as to promote innovation and transfer activities with a range of different partners.

7. Universities have a special responsibility in protecting academic values by supporting open and trustworthy research, by recognising the constraints of sponsored research (which may, for example, put limitations on sharing research results) and by refusing research opportunities that put in jeopardy these values. This implies not only institutional autonomy, but also the capacity to define appropriate governance structures, and crucially a strong and sustainable funding base.

8. Research, science and society: there are increasing indications of a changing relationship between science and society that is reflected, for example, in disaffection and shifts in attitude whether in relation to understanding the benefits of scientific research or the interest of young people in taking up scientific careers. Recent experience suggests that as science encroaches more closely on value laden issues, this will impact on public perceptions and thus on the conduct and support for science. Universities as the location of much of Europe's research activities need to engage in this debate.

The changing academic community and relationship to stakeholders

9. The boundaries of institutions are being altered by the rise of inter-institutional partnerships and the involvement of external stakeholders. In this context, there is a need to re-conceptualise - with the involvement of all its constituent parts - the notion of 'academic community' and to see this exercise as a prerequisite for a shared identification and commitment to core academic values and quality.

10. This reflection provides the foundation for upholding shared academic values across the sector while
    o   developing an agreed institutional strategy and ways to enhance quality that are based on specifically defined institutional mission and profile,
    o   identifying, across the sector, different definitions of quality based on mission diversity.

11. In forging links with stakeholders, HEIs need to set strategic priorities in line with their mission. Such a strategy will be based on the assessment of the social and economic needs at local, regional, national or international level and on a realistic appraisal of each HEI's strengths and weaknesses. The challenges for HEIs are to reconcile their need for long-term strategies with the sometimes short-term goals of some external stakeholders and to respond to a relatively fast changing social context while developing a strong institutional research and education capacity that requires a longer time frame.

12. Specific institutional initiatives are needed to facilitate the link with external stakeholders: internal and external communication strategies; specific structures (e.g., external relations office) to help external stakeholders locate their point of entry into HEIs; analysis and management of the stakeholders' expectations and values. In this context, there is a need to evaluate stakeholder partnerships and their benefits to institutional missions. Institutional core values should be preserved, yet be responsive to the environment.

Questions for working group 1

13. Is it possible to speak of shared academic values across Europe? Do we share the same values across different types of HEIs or, given the variety of disciplinary cultures and activities, even within the same institution? Can we still agree, as we did in Graz, that beyond the great cultural and organisational diversity, we hold in common such values as "equity and access; research and scholarship in all disciplines as an integral part of higher education; high academic quality; cultural and linguistic diversity" as well as critical thinking, academic freedom of inquiry, the scientific method (open and replicable research results), exchange of research results and the development of engaged citizens? Are there other values that we share?

14. Is there a need to engage in a discussion on values within each institution to ensure that all members of the institution understand better the conflicting demands placed on higher education? What would be the ways for doing so?

15. Is there a similar need to engage in a broader discussion with the public? The value of scientific research appears to be poorly understood and indeed increasingly perceived in a different way by the public? How can universities address these concerns, taking account of the importance of objectivity and independence in the conduct of science and assuming that the 'values dimension' is here to stay?

16. In what ways are the diversity of learners and the variety of their expectations changing the relationship between learner/teacher/institution? What types of initiatives should institutions take in order to respond better to these changes and how can they ensure the engagement of learners in the institution?

Questions for working group 2

17. How can we ensure public understanding of the usefulness of a public higher education system and the value of publicly funded science? What is the role of HEIs and academics in the Society of Knowledge? Is there a new role for intellectuals in contributing to the public debate on globalisation and democracy? How can HEIs better engage in societal issues? What role does institutional autonomy play in addressing these issues?

18. What are the implications in terms of HEI governance and management of the increased involvement of external stakeholders in higher education? Is a general institutional strategy for working with stakeholders appropriate or should we be thinking of a strategy jointly developed with stakeholders?
    o   If the first option is retained how do we ensure that faculties and departments contribute to its development?
    o   If the latter option is retained what are the prerequisites for ensuring that such a strategy affirm basic academic values and how to implement it?

19. Links with stakeholders and societal relevance are often conceived in economic terms (e.g., spin-offs, IPR, etc), but it is important to recognise the role that the social sciences and the humanities can play in addressing social needs. How can we achieve a better public perception of the role of social sciences and humanities? Are there examples of good practice that can be identified?

How can universities enhance their research mission?

Introduction

1. The EUA Graz Declaration (2003) underlined that *"universities advocate a Europe of knowledge, based on a strong research capacity and research-based education in universities – singly and in partnership – across the continent".* The Berlin Ministerial Communiqué (2003) reflected these concerns through the inclusion of a new Bologna Action Line that promotes closer links between the ERA and EHEA as the two pillars of the knowledge society and includes the doctoral level as the third cycle in the Bologna Process.

2. Over the last two years there has been growing debate on the pivotal research function and research training role of universities at regional, national and international level. This has been triggered both by the 2003 European Commission's "Communication on the Role of the Universities in the Europe of Knowledge" (see EUA's response in Part II of the Reader), and by the consensus reached on the importance of stimulating basic research that has led to the inclusion of a European Research Council in proposals for the 7th Framework Programme. Even more recently, research and innovation have taken centre stage in the Commission's refocusing of strategies at national and European level to meet the ambitious Lisbon goals.

3. In order to highlight the unique role of universities as institutions with a multiple mission that encompasses not only teaching, training for research, and conducting research but also increasingly innovation activities through knowledge transfer and the promotion of university-industry partnerships, EUA decided to give priority to strengthening the research role of universities. In its Action Plan for 2004/2005, EUA focuses upon action in two priority areas, namely (1) highlighting **the specific contribution made by universities as institutions**, rather than by individual researchers or teams of researchers, in promoting European capacity, and (2) specifying **the unique research training role of European universities.**

4. Universities are unique in providing an environment that allows ground-breaking research and entrepreneurial skills to flourish; that ensures proper links between research and teaching; that promotes collaboration across faculties and laboratories; that provides common infrastructure support at institutional level; and increasingly, that has autonomous responsibility for budgetary planning and financial accounting. This in turn means that it is increasingly important for universities to consider carefully institutional strategies and policies that combat fragmentation and enable them to organise and manage effectively their research activities in a way that strikes a balance between priority setting and support to centres of excellence and promoting the creativity and innovative spirit of individual researchers and teams.

5. EUA has taken up these issues in a number of **statements and policy papers**, all of which are included in Part II of the Reader (in section 2: Universities and research). Much of this work has been fed into the preparatory discussions on the 7th Framework Programme and on the establishment of the envisaged European Research Council. Among the key issues that have been highlighted from a university perspective are: the role of universities in fostering regional development, the importance of supporting basic research at European level, of developing infrastructure for universities, of improving coordination, co-operation and university governance, and last but not least, of research training and career issues.

6. Given the importance of research training and career issues both for the Bologna Process and the European Research Area, and for creating synergies between the two processes, EUA has focused considerable energy over the last two years to analyse the structure and organisation of doctoral programmes and to discuss career paths and opportunities for young researchers.

7. Consensus on the need to increase the number of highly qualified graduates and well-trained researchers in Europe has underpinned this work that has been backed up by work in a **pilot project on doctoral programmes** whose main objectives are to identify conditions for successful doctoral programmes in Europe by demonstrating examples of good practice and by formulating recommendations for action based upon project participants' experience. 49 universities from 24 countries participate in the work of six project networks.

8. Interim results of this project (the final report is due in May 2005) provide input for discussions at the EUA's conference on **Research Training for the European Knowledge** (Maastricht, October 2004) and into the organisation of a **Bologna Seminar on Doctoral programmes** (Salzburg, February 2005). The Conclusions of the Salzburg Seminar, that brought together some 300 young researchers and senior academics, include **"10 principles for doctoral programmes"** that are presently being fed into the drafting process for the Bergen Communiqué (see Part II of the Reader for the conclusions of these two events).

9. These ten principles provide a useful starting point for further reflection, raising a number of important questions, for example in relation to the changing employment market for and status of young researchers and to different aspects of the structure and organisation of doctoral programmes in Europe.

Questions for working group 3
Structures for optimising research and researchers' careers

10. Are there examples of good practices in respect to institutional research strategies?

11. Are structures for optimising research at universities stimulating researchers' creativity or are they limiting academic freedom (e.g., freedom to choose the research topic)?

12. What are the implications of fostering more co-operation between universities and industry – How to locate academic freedom in this context?

13. Are there examples of good practices in respect to career structures in academia (including a consideration of salary scales)? What are the implications of short-term and long-term contracts for researchers; new types of contracts or new models like 'Junior Professorship in Germany'; etc?

14. How to ensure sustainable career development for all researchers? Are there examples of good practices in respect to career development strategies for researchers, including good practices in career guidance (career development university offices; lifelong training as a part of professional development, etc.)?

15. How can the European Commission's draft 'European Charter for Researchers'/Code of Conduct for the Recruitment of Researchers' contribute to improving researchers careers? (see text in Part II of the Reader)

Questions for working group 4
Doctoral programmes for Europe

Discussion in this working group should take as its starting point the 10 general principles that form part of the Conclusions and Recommendations of the Salzburg Seminar (see Part II of the Reader). Among the issues that require further discussion are:

16. Structures and organisation: What are the most frequently observed trends in the development of structures for and organisation of doctoral programmes in Europe (individual approach vs. structured programmes/development of transferable skills, graduate/ research schools, etc.? Is it useful and necessary to use ECTS in doctoral programmes, e.g., for taught courses?)

17. The crucial role of supervision and assessment: Are there examples of good practices with respect to supervision/advisory and assessment; rights and duties of doctoral candidates as early stage researchers; contractual arrangements between candidates, supervisors and institutions?

18. Promoting innovative practices: Are there examples of innovative practices in inter-disciplinarity that can be shared (partnerships with industry; clustering of students from different disciplines; interdisciplinary discussion fora for doctoral candidates; etc.)?

19. Increasing mobility: How to increase mobility? How to remove "mobstacles"? How to improve co-operation and networking and to ensure a European dimension in doctoral programmes?

20. The importance of diversity as a strength that is underpinned by quality: Would a European code of practices be a good tool to enhance the quality of doctoral programmes?

How to implement sustainable Bologna reforms in higher education institutions?

Introduction

1. The Bologna Process is the largest and most significant ongoing reform process in European higher education, and crucial to the development of socially cohesive knowledge societies in Europe. The interdependence of the emerging European Higher Education and Research Areas is also increasingly recognised. In the past five years, acceptance and awareness of the reforms has grown considerably, as have the actions of higher education institutions (HEIs) to implement the various Bologna reforms. At this halfway mark to 2010, the Glasgow Convention offers the opportunity to consider the progress made to date, and to address the challenges facing Europe's HEIs in implementing reforms in a meaningful way.

2. The efforts to implement the Bologna agenda through a combination of national legislative changes and institutional reforms brings into the spotlight questions to be re-considered in European higher education, including: How to establish the right balance between government-led reforms and effective institutional autonomy required for implementation? How to ensure that the right framework conditions are in place to enable fair allocation and competition for the limited public funds available for education and research? How to balance the European, national and regional dimensions of higher education? These issues need to be considered in the wider context of the debate on the role of universities in society in order to situate the Bologna reforms within the continually changing environment in which HEIs operate.

3. Following a period of intensive legislative reform (see link in Part II of the Reader for the Report of the Warsaw conference), Europe's Ministers of Education meeting in Bergen in May are expected to recognise that the period from 2005 is crucial for the implementation of reforms within Europe's HEIs.

4. The principal aim of the theme 3 working groups is for the higher education community to discuss institutional experiences with implementation and to use these experiences to reach a consensus on future priorities. The four working groups should examine examples of good practice, identify and prioritise challenges for institutions, and formulate the main messages for EUA to take to the Ministers in Bergen on behalf of the higher education community. Particular attention should be paid to the intermediate priorities identified in Berlin - notably to issues related to structural reform, including success factors in reforming first and second cycle degrees, as well as challenges in recognition of degrees and study periods. The important issues of quality assurance and the third cycle will be considered in detail within the working groups of themes 4 and 2 respectively.

5. Theme 3 working groups should also provide direction to EUA in serving its member institutions effectively during the forthcoming crucial phase of implementation and sustainable operation of Bologna reforms.

6. Four working groups will look at related Bologna topics. Two groups will examine the issues relating to structural reform of degree systems - success factors, obstacles and strategies. The third group will explore issues of student access, support, and employability which are commonly grouped under the heading of the social dimension. The fourth group will look more closely at the European framework, tools and reference points that are being developed to improve transparency of national systems, considering their relevance and impact upon institutions and individual learners.

7. Information for the working group discussions will draw primarily upon the analysis provided in EUA's Trends IV report. Furthermore, lessons learned from EUA's projects and the various outcomes of the Bologna Follow-up Group Seminars (see Part II of the Reader) will feed into these debates.

Questions for working groups 5 and 6
Implementing new Bologna structures: institutional good practice

8. What are the factors that affect the acceptance and relevance on the labour market of "new" first and second cycle qualifications? What is the role of professional bodies in this debate?

9. What should be considered as "good practice" and what should the academic community be doing, both within institutions and in partnership with stakeholders, to ensure the success of curricular reforms? What is needed to ensure that the different actors within universities

(institutional leaders, deans, academics, administrative staff, students, etc.) work together constructively?

10. Many Bologna reforms are implemented within a national context and the European dimension is sometimes a marginal issue. While is entirely reasonable for institutions to focus upon the impact of reform at local and national level, how can the European dimension receive appropriate attention? What work should EUA be undertaking with its members during the next key phase of implementation in the next two years to counter the tendency for inward-looking implementation?

11. One of the key objectives of Bologna is to increase flexible learning paths and opportunities for mobility, but Trends IV indicates that in some cases reforms are currently having the opposite effect, and reducing the space for creativity of individual learning and mobility. How can the danger of over-structuring and over-loading courses be addressed?

12. Is there a danger of the European Higher Education Area fragmenting according to the speed and efficiency of implementation of Bologna reforms, with some institutions and networks moving ahead fast and others lagging behind? What more can be done to encourage all institutions to respond during the next key phase of implementation?

Questions for working group 7
The social dimension: access, support and employability issues

13. What is the particular responsibility of institutions to achieving the societal objective of broadening access for under-represented groups in higher education? What concrete measures should institutions take with regard to institutional policy to develop equal opportunities, monitor student participation and success, and provide appropriate academic support to learners?

14. If social cohesion and inclusion are key underlying elements for competitiveness and attractiveness of European higher education (see conclusions of the Paris seminar in Part II of the Reader), what kind of guidance and support systems need to be developed for tomorrow's students?

15. What is the role of students in ensuring that institutions meet the needs of all learners?

16. How should institutions change in order to be able to anticipate individual and societal needs for lifelong learning and to respond to demands as they arise?

17. Is there a danger of the European Higher Education Area fragmenting according to the speed and efficiency of implementation of Bologna reforms, with some institutions and networks moving ahead fast and others lagging behind? What more can be done to encourage all institutions to respond during the next key phase of implementation?

Questions for working group 8
Developing student-centred learning and teaching: the use of learning outcomes, ECTS, and an overarching European qualifications framework

18. Re-thinking curriculum from the starting point of learner needs and desired learning outcomes is the major common challenge facing academics throughout Europe. How can European co-operation help in addressing this challenge while enriching the experience of cultural diversity which lies at the foundation of European higher education?

19. What is the most effective way of moving from a teacher-centred paradigm to learner-centred higher education?

20. During the Trends IV research, many academics and students within institutions complained that they lack reliable source information about debates on such "European matters" as overarching qualifications frameworks, learning outcomes, descriptors, and other tools and instruments. How can communication, exchange of experience and learning across systems be improved? How should institutions be contributing to ongoing European debates?

21. Both the information gathered in Trends IV, and the small number of ECTS labels awarded to institutions, indicate that although ECTS is commonly used for institutional student transfer within Erasmus at the faculty level, many problems exist in integrating ECTS coherently throughout institutions. What can be done to improve this situation and to ensure that isolated examples of good practice within institutions are transferred across the institution as a whole?

22. Is there a danger of the European Higher Education Area fragmenting according to the speed and efficiency of implementation of Bologna reforms, with some institutions and networks moving ahead fast and others lagging behind? What more can be done to encourage all institutions to respond during the next key phase of implementation?

How can institutions improve quality in European higher education?

Introduction

1. The EUA Salamanca Declaration (2001) stated the central importance of quality for European universities and linked quality, accountability and autonomy as key aspects of the universities' responsibility to society and the public.

2. The EUA Graz Declaration (2003) stated the importance of research and research-based education for Europe, which implies that nurturing creativity and innovation is an important goal, not only benefiting individuals, but contributing to the cultural, social and economic well-being of Europe and its citizens.

3. With respect to quality, EUA members agreed in Graz that the main responsibility for quality lies with higher education institutions. This statement was included in the Berlin Communiqué subsequently.

   EUA members re-affirmed their commitment to developing their quality internally: they saw internal quality culture as the foundation for the inter-institutional trust that is required in order to facilitate student mobility and increase Europe's attractiveness.

   EUA members recognised that it is only when they will take responsibility for internal quality that the important role played by external quality agencies would be fulfilled and that external quality assurance (QA) processes can play fully their accountability function.

4. EUA members endorsed a code of principles for external QA process in Europe (see Part II of the Reader) that is based on the following policy goals:

   o Develop external QA procedures that preserve and extend institutional autonomy while meeting the need for accountability and promote innovative, creative and dynamic institutions in a context characterised by diversity of missions.

   o Avoid a big bureaucracy or burdensome mechanisms related to quality assurance that would generate "QA fatigue" and the standardisation of institutions and curricula

5. In terms of external accountability procedures, EUA is one of the proponents of an institutional evaluation approach in Europe: its approach, as developed in EUA's Institutional Evaluation Programme, is more particularly focused on the capacity of institutions to change and to develop internal quality processes. EUA's starting point is that an institution is not an aggregate of faculties or departments: it is more than the sum of its parts. The best universities succeed because they provide students, teachers and researchers with a creative environment – an intellectual community – that promotes debate and critical thinking. These institutions consider the experience of students as a whole, inside and outside the classroom, and consider globally the professional roles of academic staff rather than focus on one or another aspect. Finally these institutions understand the need to adapt to an environment in flux and have developed the appropriate structures and processes – within a quality culture - that allow them to change.

6. Since quality assurance is seen as having a profound impact on higher education institutions – and given that higher education institutions are complex organisations that both produce and disseminate knowledge - it is legitimate to ask what kind of evaluation procedures would best promote strong institutions characterised by their creativity and innovation. Impact analyses of quality assurance have demonstrated that institutional evaluations will tend to strengthen the institution, develop an internal quality culture and meet the goal of having a dynamic higher education sector.

7. Key conditions for promoting strong and creative institutions include avoiding overregulation and promoting both institutional autonomy and internal quality. Institutions need to be responsible for their activities, with the help of external reviewers. They need to assure internally the quality of all their activities and then be accountable for their quality processes. In other words, institutional audits are the <u>reasonable</u> way in which <u>reasonable</u> accountability can be assured while maintaining <u>reasonable</u> institutional autonomy.

Questions for working groups 9 and 10
Quality culture and the European QA dimension

Given the above, the theme 4 working groups are invited to discuss how best to promote quality processes – at institutional, national and European level - that would enhance the strength and creativity of universities in Europe. Discussions will start with presentations of case studies that exemplify challenges faced by different countries in dealing with these issues.

I. Quality culture:

8. The Trends IV survey has revealed that quality culture is still not widely developed in Europe. What are the obstacles and success factors to developing internal quality?

9. What are the best ways to define, introduce and embed an internal quality culture in HEIs in order to enhance creativity in higher education institutions?

10. What should be the scope of internal quality (programmes, departments, faculties, administrative services, research activities, decision-making structures and process, administration, teaching and learning, etc.) and its cycle?

II. External accountability procedures at national and European level:

11. Taking into account the fact that EUA is advocating the development of an internal quality culture and vesting HEIs with the responsibility for evaluating programmes and/or departments and all institutional activities, how should internal evaluation procedures be articulated with external ones?

12. To ensure that external quality assurance processes are congruent with developing trends in higher education and with academic values, it is essential that the HE sector plays a central role – at national and European level - in identifying best practices in relation to quality. What are the ways in which the HE sector can be involved at national and European level in identifying best practices in relation to criteria, procedures and guidelines for quality assurance and in any developing meta-accreditation framework in Europe?

III. EUA's activities:

13. In the quality area, the current activities of EUA include the Institutional Evaluation Programme, the Quality Culture Project, thematic workshops to develop management and leadership skills in universities and occasional publications. Are there additional activities participants would wish to see EUA develop in the quality area?

How to fund European higher education?

Introduction

1. Of the many challenges facing European higher education today, the funding question is perhaps the most critical as evidenced by the public debate and media attention paid to this issue recently in many European countries. Given the widely recognised role of higher education, research and innovation in contributing to dynamic European knowledge societies, EUA considers it essential for the higher education sector to reflect upon these issues and make its contribution to this complex debate.

2. Discussion must take due account of the diversity and specificity of each national context but at the same time bear in mind that the outcomes of national debates are likely to have a major impact on the emerging European space. It seems clear that until now **national debates have tended to pay insufficient attention to the implications of higher education funding policy upon European developments.**

3. Therefore, the aims in Glasgow are: to raise awareness of the issues and of different responses under discussion, in particular in relation to areas where national debates and decisions could have an impact at European level; and to identify common elements for further consideration by universities at European level that could be taken forward in the future by EUA. Given the diversity of national systems and the political sensitivity of certain issues, **the debate is not intended to produce a consensual statement for or against particular funding options (e.g., tuition fees)**.

4. Two working groups will look at related topics. The first will examine system-level funding, while the second will consider the impact of changing funding structures upon higher education institutions.

5. The theme has been prepared through discussion within the EUA Board and Council over the last year. In addition, EUA has produced a short report (see the EUA Convention website: www.EUAconvention.org) on funding issues across Europe made possible by the enthusiastic response of National Rectors' Conferences to a questionnaire sent out earlier this year.

Meeting European goals: implications of public and private funding

6. Participation rates in higher education have grown rapidly across Europe – albeit at different speeds - over the last decades. There is political pressure to continue this development if Europe is to address seriously its vision of becoming a dynamic knowledge-based economy and society. It is widely acknowledged that higher education institutions (HEIs) must therefore both respond to the increasing demand for high quality learner-centred provision and at the same time intensify their commitment to high quality research. These goals cannot be met without major investment in European HEIs.

7. Various studies have confirmed the importance of higher education to national and European development, in terms of the public 'rate of return on investment' as well as the 'private benefits' of higher education to individual learners. There seems to be a growing consensus that while the state must continue to maintain and indeed increase funding, the evident need for additional investment will also necessitate drawing upon a variety of private sources of funding, in particular from students, graduates, and their families, to cover the costs of higher education. The challenge of the coming years will be to find ways forward that ensure a balance between public and private sources that is guided by values of social equity.

8. This raises many questions concerning the level of funding necessary to ensure high quality higher education systems: How should additional/matching funds be generated? What might be the appropriate mix of funding and the necessary incentives? This also raises questions about if, and if so where additional investment should be made - for example in first, second or third cycle provision?

9. Another complex issue is the relationship between quality and efficiency. Experience has shown that reasonable attention to efficiency is needed and can lead to an improvement in quality; concerns may be justified, however, that too much stress upon efficiency can also lead to a loss of quality.

10. At system level, as many national developments show, it appears increasingly difficult to avoid the debate on tuition fees, already a feature of the landscape in many countries. This trend seems likely to continue while generating concern that commitment to equity and widening access may not be easily compatible with a fee-paying system. There are in parallel specific ethical concerns about variable fees charged to international students and the need to balance income-generating international provision with places for national and European students.

11. At institutional level, diversifying funding sources is becoming increasingly important, which raises questions in relation to autonomy and impacts upon the organisation, management and culture of institutions. This raises particular challenges to institutions that were previously almost entirely state-funded to develop systems to respond to multiple funding sources and thus meet new accountability requirements. It is an enormous challenge for most institutions to be able to show the real costs of their activities.

Questions for working group 11
National systems: public versus private financing

12. How can public interest and public support for higher education be raised, and what should HEIs be doing in underlining the importance of high quality higher education for meeting the future needs of society, and thus guaranteeing future generations' prosperity?

13. As funding sources diversify, the relationship between the State and HEIs inevitably changes. What are the implications of these changes? How can the notion of public interest be defined in a system of mixed financing? Can the social goals and objectives of Europe's HEIs be maintained?

14. How much funding do institutions really 'need'? Institutions across Europe often state that they do not have the necessary funds to meet the demands placed upon them, but is it possible to define realistically the total level of funding required by HEIs in Europe? Are there examples of good practices?

15. How can the performance and efficiency of different funding models be properly compared in Europe when costs and measurements vary so greatly? What could be done to improve the accuracy of inter-system comparison?

16. The trend toward the introduction of tuition fees seems likely to continue, which raises many important questions, for example: Is there an optimal percentage of income to be generated from fees to ensure that the state does not de-commit? What about the unforeseen impact of graduate debt upon the labour market and society (e.g., less willingness among indebted graduates to gain professional experience in the voluntary or public sector)? Should fees be related to the real costs of provision (e.g., more expensive in medicine, and less expensive in humanities and social science, with variable rates for international students)?

17. Although higher education is a national responsibility, is there room for 'incentive funding' at European level, and if so where should such funding be targeted?

Questions for working group 12
Institutional governance and financing

18. What are the implications of different sources of funding (state funding, tuition fees, business and other private sources, etc.) on the autonomy, governance, organisation and management of HEIs? How do output and input oriented funding approaches, whether from public or private sources, affect institutions? How can a necessary balance between the approaches be achieved?

19. What are the implications of different sources of funding (state funding, tuition fees, business and other private sources, etc.) on teaching and research missions of HEIs? Does responding to the needs not only of traditional school leavers, but to lifelong learners with a wide range of learning needs at different periods of their life impact upon the way in which institutions are funded and governed?

20. Are there examples of good practices in improving institutional funding through addressing inefficiencies inside institutions? Are there preconditions (e.g., regarding institutional autonomy, funding models or specific governance structures) that can be identified to facilitate such developments?

21. In some regions of Europe, there is evidence both of greater co-operation among neighbouring institutions to share services (e.g., libraries, research infrastructures) and increasingly of building sustainable partnerships with stakeholders who also contribute to the financing of their local institutions. Are these initiatives a significant way forward to reduce current inefficiencies? Are there examples of transferable good practices that can be identified?

PART II
Policy Papers and Background Documents

EUA General Policy Documents

Thematic Background Documents

Section I

EUA General Policy Documents

Salamanca – Graz – Glasgow

EUA Graz Declaration: The Role of the Universities to 2010 and Beyond

EUA Response to the Communication from the Commission on "The Role of the Universities in the Europe of Knowledge"

EUA Message from Salamanca: Shaping the European Higher Education Area

To 2010 and beyond

1. *Universities* are central to the development of European society. They create, safeguard and transmit knowledge vital for social and economic welfare, locally, regionally and globally. They cultivate European values and culture.

2. *Universities* advocate a Europe of knowledge, based on a strong research capacity and research-based education in universities – singly and in partnership – across the continent. Cultural and linguistic diversity enhances teaching and research.

3. The development of European universities is based on a set of core values: *equity and access; research and scholarship in all disciplines as an integral part of higher education; high academic quality; cultural and linguistic diversity*.

4. *Students* are key partners within the academic community. The Bologna reforms will: facilitate the introduction of flexible and individualised learning paths for all students; improve the employability of graduates and make our institutions attractive to students from Europe and from other continents.

5. *European universities* are active on a global scale, contributing to innovation and sustainable economic development. Competitiveness and excellence must be balanced with social cohesion and access. The Bologna Reforms will only be successful if universities address both the challenge of global competition and the importance of fostering a stronger civic society across Europe.

6. *Universities* must continue to foster the highest level of quality, governance and leadership.

Universities as a public responsibility

7. *Governments, universities and their students* must all be committed to the long-term vision of a Europe of knowledge. Universities should be encouraged to develop in different forms and to generate funds from a variety of sources. However, higher education remains first and foremost a public responsibility so as to maintain core academic and civic values, stimulate overall excellence and enable universities to play their role as essential partners in advancing social, economic and cultural development.

8. *Governments* must therefore empower institutions and strengthen their essential autonomy by providing stable legal and funding environments. Universities accept accountability and will assume the responsibility of implementing reform in close cooperation with students and stakeholders, improving institutional quality and strategic management capacity.

Research as an integral part of higher education

9. The integral link between higher education and research is central to European higher education and a defining feature of Europe's universities. *Governments* need to be aware of this interaction and to promote closer links between the European Higher Education and Research Areas as a means of strengthening Europe's research capacity, and improving the quality and attractiveness of European higher education. They should therefore fully recognise the doctoral level as the third 'cycle' in the Bologna Process. *Universities* need to keep pressing the case for research-led teaching and learning in Europe's universities. Graduates at all levels must have been exposed to a research environment and to research-based training in order to meet the needs of Europe as a knowledge society.

10. The diversity of universities across Europe provides great potential for fruitful collaboration based upon different interests, missions and strengths. Enhancing European collaboration and increasing mobility at the doctoral and post-doctoral levels are essential, for example through the promotion of Joint Doctoral programmes, as a further means of linking the European Higher education and Research Areas.

Improving academic quality by building strong institutions

11. Successful implementation of reforms requires leadership, quality and strategic management within each institution. *Governments* must create the conditions enabling universities to take long-term decisions regarding their internal organisation and administration, e.g. the structure and internal balance between institutional level and faculties and the management of staff. *Governments and universities* should enter negotiated contracts of sufficient duration to allow and support innovation.

12. *Universities* for their part must foster leadership and create a structure of governance that will allow the institution as a whole to create rigorous internal quality assurance, accountability and transparency. Students should play their part by serving on relevant committees. External stakeholders should serve on governing or advisory boards.

Pushing Forward the Bologna Process

13. The Bologna Process must avoid over-regulation and instead develop reference points and common level and course descriptors.

14. Implementing a system of three levels (the doctoral level being the third) requires further change. *Universities* see the priorities for action as:
   - Consolidating ECTS as a means to restructure and develop curricula with the aim of creating student-centred and flexible learning paths including lifelong learning;
   - Discussing and developing common definitions of qualification frameworks and learning outcomes at the European level while safeguarding the benefits of diversity and institutional autonomy in relation to curricula;
   - Involving academics, students, professional organisations and employers in redesigning the curricula in order to give bachelor and master degrees meaning in their own right;
   - Continuing to define and promote employability skills in a broad sense in the curriculum and ensuring that first cycle programmes offer the option of entering the labour market;
   - Introducing the Diploma Supplement more widely, and in major languages, as a means to enhance employability, making it widely known among employers and professional organisations.

Mobility and the Social Dimension

15. Student mobility in itself promotes academic quality. It enables diversity to be an asset, enhancing the quality of teaching and research through comparative and distinctive approaches to learning. It increases the employability of individuals. Staff mobility has similar benefits.

16. If the EHEA is to become a reality *governments* must: tackle the current obstacles to mobility, amend legislation on student support, e.g. to make study grants and loans portable and improve regulations on health care, social services and work permits.

17. *Governments and institutions* together must give incentives to mobility by improving student support (including social support, housing and opportunities for part-time work) academic and professional counselling, language learning and the recognition of qualifications. Institutions must ensure that full use is made of tools which promote mobility, in particular ECTS and the Diploma Supplement. Possibilities also need to be increased for short-term mobility, and mobility of part-time, distance and mature students.

18. Career paths for young researchers and teachers, including measures to encourage young PhDs to continue working in/return to Europe, must be improved. Gender perspectives require special measures for dual career families. Restrictions on transfer of pension rights must be removed through portable pensions and other forms of social support.

19. Increasing the participation of women in research and teaching is essential in a competitive Europe. Gender equality promotes academic quality and universities must promote it through their human resource management policies.

20. The TRENDS III Report demonstrates that the information base, in particular in relation to mobility issues, is inadequate. National governments should co-operate to improve statistical data and work with the European Commission to review existing monitoring mechanisms. There should be more research on issues related to the development of the EHEA.

21. Joint programmes and degrees based on integrated curricula are excellent means for strengthening European cooperation. *Governments* must remove legal obstacles to the awarding and recognition of joint degrees and also consider the specific financial requirements of such collaboration.

22. *Institutions* should identify the need for and then develop joint programmes, promoting the exchange of best practice from current pilot projects and ensuring high quality by encouraging the definition of learning outcomes and competences and the widespread use of ECTS credits.

Quality assurance: a policy framework for Europe

23. Quality assurance is a major issue in the Bologna process, and its importance is increasing. The EUA proposes a coherent QA policy for Europe, based on the belief: that institutional autonomy creates and requires responsibility, that *universities* are responsible for developing internal quality cultures and that progress at European level involving all stakeholders is a necessary next step.

24. An internal quality culture and effective procedures foster vibrant intellectual and educational attainment. Effective leadership, management and governance also do this. With the active contribution of students, *universities* must monitor and evaluate all their activities, including study programmes and service departments. External quality assurance procedures should focus on checking through institutional audit that internal monitoring has been effectively done.

25. The purpose of a European dimension to quality assurance is to promote mutual trust and improve transparency while respecting the diversity of national contexts and subject areas.

26. QA procedures for Europe must: promote academic and organisational quality, respect institutional autonomy, develop internal quality cultures, be cost effective, include evaluation of the QA agencies, minimise bureaucracy and cost, and avoid over regulation.

27. EUA therefore proposes that stakeholders, and in particular universities, should collaborate to establish a provisional 'Higher Education Quality Committee for Europe'. This should be independent, respect the responsibility of institutions for quality and demonstrate responsiveness to public concerns. It would provide a forum for discussion and, through the appointment of a small board, monitor the application of a proposed code of principles, developing a true European dimension in quality assurance.

Universities at the centre of reform

28. The Bologna process was initially politically driven. But it is now gaining momentum because of the active and voluntary participation of all interested partners: higher education institutions, governments, students and other stakeholders. Top down reforms are not sufficient to reach the ambitious goals set for 2010. The main challenge is now to ensure that the reforms are fully integrated into core institutional functions and development processes, to make them self-sustaining. Universities must have time to transform legislative changes into meaningful academic aims and institutional realities.

29. Governments and other stakeholders need to acknowledge the extent of institutional innovation, and the crucial contribution universities do and must make to the European Research Area and the longer-term development of the European knowledge society as outlined in the Lisbon declaration of the European Union. By united action, European higher education – which now touches the lives of more than half the population of Europe – can improve the entire continent.

Leuven, 4 July 2003

**EUA RESPONSE TO THE COMMUNICATION FROM THE COMMISSION
"THE ROLE OF THE UNIVERSITIES IN THE EUROPE OF KNOWLEDGE"**

INTRODUCTION

1. The European University Association (EUA) is responding to the Communication on behalf of its members, *34 National Rectors Conferences and 630 individual institutions from 45 European countries.* EUA welcomes the Communication as an opportunity for critical self reflection, and a clear acknowledgement by the Commission, for the first time, of the unique role of universities in shaping the European knowledge society. This response develops previous statements prepared by the EUA[1] and reflects a consultation of our individual and collective members as well as discussion within our Research Working Group. A formal debate took place with our 34 Rectors' Conferences in the March 2003 EUA Council meeting, and with over 250 individual members in our 2003 General Assembly.

2. Europe's universities are ready to play a decisive role in achieving the goals set for 2010. However, moving beyond the Lisbon Agenda that is driven by considerations of economic and technological development, EUA would like to highlight *the role of the universities in the wider debate on the construction of Europe, and the promotion of European values*, culture and linguistic diversity which we consider particularly important in the present international environment. When it comes to building Europe and ensuring the wellbeing of its citizens, we firmly believe that promoting cultural and social innovation is as important as the purely scientific and technical progress emphasised in the Communication.

3. The *guiding principles* behind our response are:

   - universities play a major role in our society,
   - they need to be viewed as 'institutions';
   - strengthening the research function of the universities and consolidating the European dimension of their work are of particular importance in ensuring they can play their full role in the 'Europe of Knowledge'.

It is essential to ensure they develop further as strong institutions if they are to be able to reach their full potential;

UNIVERSITIES IN EUROPE

I. Preliminary Remarks: Defining the term 'University'

4. EUA uses the term "university" to refer to institutions "with full power to award doctoral degrees"[2]. With their "twofold traditional vocation of research and teaching" (cf. page 3 of the Communication), universities defined in terms of this integral link form our core constituency. This understanding of the term "universities" underlies all further comments made

5. In the European higher education landscape we are therefore speaking of a maximum of 1000 institutions across the continent[3], rather than the 4000 institutions mentioned in para. 3.2 of the Communication. While all higher educations institutions have an important role in fulfilling some of the processes essential for creating the European knowledge society, only the universities have a central role to play in terms of all four of the different but interdependent elements described in the Communication as being at the centre of the developing European knowledge society, namely the production of knowledge, its transmission, its dissemination and its use in technical innovation.

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[1] Universities as the Motor for the Construction of a Europe of Knowledge, EUA Input to the Barcelona summit, February 2002; The Role of the Universities in Shaping the Future of Europe, EUA Statement to the European Convention, January 2003
[2] cf EUA Articles of Association , Article 2.1
[3] the states having signed the Bologna Declaration are taken as the reference framework for EUA's position

II.   A European Agenda for Europe's Universities

6. International comparisons are always very difficult, and while there are lessons to be learned from other continents (e.g. in terms of institutional management techniques or the dynamic division of undergraduate/postgraduate studies in the US), Europe needs to analyse its own strengths and weaknesses, develop a specific European approach, and its own framework and models for its universities. This means:

- valuing diversity as a strength and developing a new "European model" which draws maximum benefit from these differences;
- building upon and transmitting a heritage of shared European values and culture, as well as a tradition of openness to the international environment;
- strengthening public responsibility for higher education systems across Europe;
- promoting equity and access on the basis of merit;
- demonstrating and further maintaining the integral link between teaching and research while accepting increased differentiation of mission in response to societal needs;
- delivering excellence at local, regional, national and international level and improving the quality of all universities across the continent;
- developing a European approach and dimension to QA.
- ensuring strong links between universities and other higher education institutions;
- stepping up targeted networking between institutions at European level as well as joint programme development at all levels as a means of offering a wide range of study programmes and reaching critical mass in research.

7. The particular challenges posed by enlargement, some of which have already been identified in the wider Bologna process context, need to be analysed separately, and properly addressed.

PREREQUISITES FOR MEETING THE CHALLENGES

I.   Agreeing on a long term vision

8. EUA believes that the different stakeholders need to agree on a shared long term vision of the role of the university in European society. All partners need to be convinced of the importance both of the construction of Europe, and of the European mission of the universities, while being aware that we are building Europe in an increasingly global context. For the academic community this means pursuing European objectives while at the same time strengthening international cooperation with partners worldwide.

9. The present consultation process is an important first step in this direction. Further progress requires that:

- governments (and other partners) continue to support higher education in terms of a public responsibility requiring long term commitment, and
- institutions demonstrate that they have understood the need for change through strengthening their capacity for, and the implementation of strategic reform.

II.   Improving the dialogue between universities and society

10. Universities need to:

- Work in a long term perspective in order to counterbalance the predominant tendency to short-term thinking in our societies. By promoting critical thinking through teaching and research, and demonstrating respect for diversity, universities are essential elements in upholding sustainable democratic societies across Europe;
- Communicate the key role of research in underpinning university autonomy and guaranteeing academic freedom, as an essential element in undergraduate curricula contributing to high quality teaching, improved employability and enhancement in knowledge transmission;
- Consolidate links to different stakeholders: stakeholders include students as key members of the academic community, government at all levels, enterprise and business, (both large firms and SMEs), different social and cultural actors. Universities must respond to their needs through teaching, research and dissemination of results and knowledge transfer activities which serve to:

- ensure wide and democratic access to higher education on the basis of merit,
- promote LLL and the direct involvement of stakeholders;
- respond to key social issues through promoting targeted interdisciplinary research;
- promote economic growth and competitiveness through creating and exploiting new knowledge;

- Strengthen links at local/regional level where the importance of universities in the life of their communities is growing rapidly. Universities are major employers in many cases. They support local partners in teaching, updating, research and transfer activities, thus improving the competitiveness of local industry, contributing to social cohesion and more generally providing a high return on investment.

III. Building Strong Universities

11. Europe needs strong universities in terms of their organisation and their ability to act at different levels:
    - At university level: to promote open and responsive institutions which at the same time are able to function efficiently;
    - At system level: to promote excellence, in particular through different forms of targeted networking activities.

12. Institutional missions should become more differentiated in order to meet the needs of a variety of learners and maximise the use of limited funds available. EUA welcomes this development while at the same time drawing attention to the limits of differentiation and the need to uphold the following principles:
    - The integral link between teaching and research: teaching is defined, supported and underpinned by the essential link to research, and, conversely research benefits from teaching and working with students;
    - Equity and openness of institutions to all on the basis of merit;
    - The need for an equitable geographical distribution of universities across Europe offering a wide range of teaching and research options

13. These principles are fundamental. While accepting that not every institution can carry out top level research across all disciplines, the goal in Europe should be to increase the number of universities which are excellent in what they do in specific areas, and not merely to concentrate more resources on an increasingly limited number of institutions at the expense of the others.

14. The improvement of institutions' quality and strategic management capacity is essential to achieve this goal. The EUA welcomes the Communication's stress on universities as institutions with a strategic management capacity, and suggests that in addition to action already being undertaken, the EUA might be asked to identify and share examples of good practice in this area across Europe.

15. This means at university level that strategic long term thinking is required of universities to:
    - Reflect on institutional mission, strategic management and efficient use of resources while ensuring sufficient internal communication and dialogue;
    - Define appropriate internal governance and management structures;
    - Strengthen internal quality culture (including human resource development) as one of the primary responsibilities of each and every institution.

16. This means at system level:
    - Governments need to provide universities with the environment they require to function efficiently, for example in respect of the introduction of lump sum funding mechanisms;
    - Basing external quality assurance procedures on checking that internal monitoring is done effectively, through institutional audits. An institutional focus for external accountability is, moreover, in keeping with the spirit of the consultation document.
    - The sector needs to contribute to the development of a QA policy framework at European level to ensure that quality assurance is effective in improving quality rather than simply controlling it. To this end EUA proposes adopting a Code of Principles for external QA procedures and ensuring its effective monitoring at European level, with the involvement of different stakeholder groups (universities, students, governments etc.).

IV. Europe needs properly funded institutions

17. Europe's universities have long recognised the premise developed in the Communication, namely that its universities are under-funded to varying degrees and in different ways. While there are no easy answers to the resource question, it is closely linked to the role of the university in promoting socio-economic development, its capacity to respond to the expectations of society, and to the role of the different societal actors in supporting the universities.

18. Government and society must feel concerned and be convinced of the importance of the role of universities. There is a general understanding that higher education remains a public service in Europe, and that this implies re-affirming public responsibility for the system as a whole. EUA believes that this must be translated into long term vision and a common agreement on establishing a stable long term perspective for European higher education. This should be done by states working together at European level as, to be effective, the vision needs to be shared by all governments involved in the Bologna process. While different traditions and contexts will mean different national solutions on specific issues, it also has to be borne in mind that national options increasingly impact on policy and practice elsewhere in Europe.

19. There is general agreement that additional financial resources are needed from both public and private sources in order for institutions to be able to play the role expected of them in contributing to building Europe[4]. Universities recognise the desirability of attracting more private funding and the need to move towards ensuring more diversified funding sources, although the situation will differ considerably from country to country. More importantly, EUA points out that only strong institutions are capable of properly managing and balancing different partnerships. Clear mission and goals are essential to balance the risks of over responding to external demands expressed generally as short term needs, and the attendant risks of endangering the values of critical thinking, autonomy and academic freedom as well as disadvantaging specific disciplines, and the career development of graduates. The importance of strengthening strategic thinking and introducing appropriate, internal quality management mechanisms is essential particularly at a time of resource constraints and the need to juggle such multiple priorities.

KEY ISSUES

I.   Strengthening the Role of the Universities in Research

20. In defining the role of the universities in the knowledge society EUA accords a particular priority to strengthening European universities' research capacity. The universities have a unique contribution to make to improving Europe's research capacity because of:

- The intellectual 'buzz' of university based research – only possible through the interaction of the generations and the disciplines provided by the university environment;
- The focus on research training and the universities' monopoly in awarding of PhD degrees and thus in producing future generations of young scientists;
- The provision of research based training for ever larger numbers of young people.
- The opportunities provided for the pursuit of interdisciplinary research;
- The multiple possibilities for developing links to society through structured contacts to different stakeholder groups;

21. This means that universities need to further develop their research potential and the benefits that this would bring, to concentrate on networking and partnerships based on their research strengths, in order to reach the critical mass needed for top quality research, and to provide a stimulating research environment able to attract the most talented young researchers. Particular challenges lie in:

- establishing the true cost of university research across Europe5 with a view to: (1) developing a common approach and principles in respect of the financial management of research and (2) examining if European agreement on these issues is possible;

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[4] The 3% target for investments in research by 2010, as proposed by the Commission, underlines specifically the importance of improving public support to research and technological innovation and increasing levels of public funding

[5] EUA urges the Commission to carry out as soon as possible the study on the funding of universities mentioned both by EURAB and in the Communication

- raising awareness of the importance of blue-sky research for a European knowledge society,
- demonstrating the importance of research in the social sciences and humanities,
- promoting university/industry cooperation underlining the importance of mutual trust and not overstating the financial value;
- developing pragmatic models for IPR as well as clear and transparent rules at national and institutional level;
- ensuring a stable legal environment that enables universities to be flexible in defining and implementing their mission and objectives.

II. Consolidating the European dimension and projecting a coherent image to the outside world

22. EUA believes that coherent European polices and implementation mechanisms allowing more co-operation, and not just increased competitiveness need to be put in place, as a means of strengthening Europe, and that these policies should cover the teaching, research and knowledge transfer functions of the university.

23. This means:
- Encouraging coherent development and implementation of higher education and research policies at all levels;
- At European level improving the articulation between the European Higher Education Area and the European Research Area in particular through emphasising common concerns related to enhancing scientific training and the need to encourage more talented young people to enter research careers. EUA believes that a concerted effort is needed by universities, national and European funding bodies to secure real progress in improving career opportunities for young researchers and women in science and suggests promoting exchange of good practice and envisaging coordinated action in the framework of the European Higher Education and Research Areas;
- Ensuring that the link between teaching and research is fully recognised within the Bologna Process, in particular through the inclusion of doctoral studies. EUA believes that the provision of high quality doctoral and postdoctoral training across Europe is an important element of the attractiveness of the European Higher Education Area and that in order to maintain and enhance this quality the universities should take responsibility for sharing examples of good practice and for further defining structured means of working together at doctoral and postdoctoral level in Europe;
- Rethinking the next generation of EU education programmes in terms of a framework programme for education and training which would increase investment in higher education as a key thematic objective, through a number of cross cutting actions, based upon the Bologna Process priorities, bridging the divide to research, including cooperation with third countries, and targeting support to universities and their students as the key actors in the system6;
- Rethinking the approach to mobility and strengthening European co-operation at the doctoral and postdoctoral level, bearing in mind the unique role of the universities in providing a research environment allowing established scientists and young researchers to work together creatively. This means redoubling efforts at all levels to tackle barriers to mobility, in particular in order to ensure more coherence of the systems of social insurance throughout Europe;
- Concentrating additional resources on support to networks of European universities working together in both teaching and research contexts. Such support must include specific provision for the development and running of joint programmes, doctoral programmes and schools, as well as collaboration with different partners. At regional level the support must ensure that the benefits universities can offer are fully accessed. Additional support for universities' networking activities is needed both at national level and at European level where the priority should be for increased involvement of doctoral and postdoctoral researchers as a means of strengthening the European research capacity and making science careers in Europe more attractive.

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[6] cf. EUA Response to the EU Consultation Document on the Future Development of the EU Education, Training and Youth Programmes after 2006, February 2003

CONCLUSIONS

24. In summary, EUA's position is:

- We are convinced of the unique role universities have to play in building Europe and that it is in the interests of society to ensure that universities can fulfill their potential if Europe is to advance;

- We are ready to 'contract with governments' at European level on this basis bearing in mind that this implies significant additional resources for universities - that should not only come from private stakeholders – and which should be allocated on the basis of demonstrated capacity for strategic planning and management, quality assurance and development;

- We urge the Commission to facilitate debate between universities and their stakeholders at the highest level in order to arrive at a framework agreement and operational plans for future development;

- We believe that European universities, the European University Association and the European student bodies should be fully involved in the planning and development of further European initiatives resulting from the present Communication.

EUA, May 2003

Over 300 European higher education institutions and their main representative organizations gathered in Salamanca on 29-30 March 2001. Their purpose was to prepare their input to the Prague meeting of the Ministers in charge of higher education in the countries involved in the Bologna process; they have agreed on the following goals, principles and priorities:

Shaping the future
European higher education institutions reaffirm their support to the principles of the Bologna Declaration and their commitment to the creation of the European Higher Education Area by the end of the decade. They see the establishing of the European University Association (EUA) in Salamanca to be of both symbolic and practical value in conveying their voice more effectively to
governments and society and thus in supporting them shape their own future in the European Higher Education Area.

PRINCIPLES

Autonomy with accountability
Progress requires that European universities be empowered to act in line with the guiding principle of autonomy with accountability. As autonomous and responsible legal, educational and social entities, they confirm their adhesion to the principles of the *Magna Charta Universitatum* of 1988 and, in particular, to that of academic freedom. Thus, universities must be able to shape their strategies, choose their priorities in teaching and research, allocate their resources, profile their curricula and set their criteria for the acceptance of professors and students. European higher education institutions accept the challenges of operating in a competitive environment at home, in Europe and in the world, but to do so they need the necessary managerial freedom, light and supportive regulatory frameworks and fair financing, or they will be placed at a disadvantage in cooperation and competition. The dynamics needed for the completion of the European Higher Education Area will remain unfulfilled or will result in unequal competition, if the current overregulation and minute administrative and financial control of higher education in many countries is upheld.

Competition serves quality in higher education, is not exclusive of co-operation and cannot bereduced to a commercial concept. Universities in some countries in Europe are not yet in a position to compete on equal terms and are in particular faced with unwanted brain drain within Europe.

Education as a public responsibility
The European Higher Education Area must be built on the European traditions of education as a
public responsibility; of broad and open access to undergraduate as well as graduate studies; of education for personal development and lifelong learning; and of citizenship as well as of short and long-term social relevance.

Research-based higher education
As research is a driving force of higher education, the creation of the European Higher Education
Area must go hand in hand with that of the European Research Area.

Organising diversity
European higher education is characterised by its diversity in terms of languages, national systems, institutional types and profiles and curricular orientation. At the same time its future depends on its ability to organise this valuable diversity effectively to produce positive outcomes rather than difficulties, and flexibility rather than opacity. Higher education institutions wish to build on convergence - in particular on common denominators shared across borders in a given subject area - and to deal with diversity as an asset, rather than as a reason for non-recognition or exclusion. They are committed to creating sufficient self-regulation in order to ensure the minimum level of cohesion so that their efforts towards compatibility are not undermined by too much variance in the definition and implementation of credits, main degree categories and quality criteria.

KEY ISSUES

Quality as a fundamental building stone
The European Higher Education Area needs to build on academic core values while meeting stakeholders' expectations, i.e., demonstrating quality. Indeed, quality assessment must take into consideration the goals and mission of institutions and programmes. It requires a balance between innovation and tradition, academic excellence and social/economic relevance, the coherence of curricula and students' freedom of choice. It encompasses teaching and research as well as governance and administration, responsiveness to students' needs and the provision of noneducational services. Inherent quality does not suffice, it needs to be demonstrated and guaranteed in order to be acknowledged and trusted by students, partners and society at home, in Europe and in the world.

Quality is the basic underlying condition for trust, relevance, mobility, compatibility and attractiveness in the European Higher Education Area.

Trust building
As research evaluation has an international dimension so does quality assurance in higher education. In Europe, quality assurance should not be based on a single agency enforcing a common set of standards. The way into the future will be to design mechanisms at European level for the mutual acceptance of quality assurance outcomes, with "accreditation" as one possible option. Such mechanisms should respect national, linguistic and discipline differences and not overload universities.

Relevance
Relevance to the European labour market needs to be reflected in different ways in curricula, depending on whether the competencies acquired are for employment after the first or the second degree. Employability in a lifelong learning perspective is best served through the inherent value of quality education, the diversity of approaches and course profiles, the flexibility of programmes with multiple entry and exit points and the development of transversal skills and competencies such as communication and languages, ability to mobilise knowledge, problem solving, team work and social processes.

Mobility
The free mobility of students, staff and graduates is an essential dimension of the European Higher Education Area. European universities want to foster more mobility - both of the "horizontal" and the "vertical" type - and do not see virtual mobility as a substitute for physical mobility. They are willing to use existing instruments for recognition and mobility (ECTS, Lisbon Convention, Diploma Supplement, NARIC/ENIC network) in a positive and flexible way. In view of the importance of teaching staff with European experience, universities wish to eliminate nationality requirements and other obstacles and disincentives for academic careers in Europe. However, a common European approach to virtual mobility and transnational education is also needed.

Compatible qualifications at the undergraduate and graduate levels
Higher education institutions endorse the move towards a compatible qualification framework based on a main articulation in undergraduate and postgraduate studies. There is broad agreement that first degrees should require 180 to 240 ECTS points but need to be diverse leading to employment or mainly preparing for further, postgraduate studies. Under certain circumstances a university may decide to establish an integrated curriculum leading directly to a Master-level degree. Subject-based networks have an important role to play in reaching such decisions. Universities are convinced of the benefits of a credit accumulation and transfer system based on ECTS and on their basic right to decide on the acceptability of credits obtained elsewhere.

Attractiveness
European higher education institutions want to be in a position to attract talent from all over the world. This requires action at institutional, national and European levels. Specific measures include the adaptation of curricula, degrees readable inside and outside Europe, credible quality assurance measures, programmes taught in major world languages, adequate information and marketing, welcoming services for foreign students and scholars, and strategic networking. Success also depends on the speedy removal of prohibitive immigration and labour market regulations.

European higher education institutions recognise that their students need and demand qualifications which they can use effectively for the purpose of their studies and careers all over Europe. The institutions and their networks and organisations acknowledge their role and responsibility in this regard, and confirm their willingness to organise themselves accordingly within the framework of autonomy.

Higher education institutions call on governments, in their national and European contexts, to facilitate and encourage change and to provide a framework for co-ordination and guidance towards convergence. They affirm their capacity and willingness to initiate and support progress within a joint endeavour

- to redefine higher education and research for the whole of Europe;
- to reform and rejuvenate curricula and higher education as a whole;
- to enhance and build on the research dimension in higher education;
- to adopt mutually acceptable mechanisms for the evaluation, assurance and certification of
- quality;
- to build on common denominators with a European dimension and ensure compatibility between
- diverse institutions, curricula and degrees;
- to promote the mobility of students and staff and the employability of graduates in Europe;
- to support the modernisation efforts of universities in countries where the challenges of the
- European Higher Education Area are greatest;
- to meet the challenges of being readable, attractive and competitive at home, in Europe and in the
- world; and
- to continue to consider higher education as an essential public responsibility.

May 2001

Section II

Thematic Background Documents

The role of universities in society

Universities and research

The implementation of Bologna reforms in higher education institutions

Quality in European higher education

Funding European higher education

1. The role of universities in society

Documents in the Reader

- Keynote speech by Pierre de Maret, Rector, Université Libre de Bruxelles, Belgium, on the occasion of EUA/ACU conference on "*Charting the course between public service and commercialisation: Prices, Values and Quality*", 3-5 June 2004, Turin, Italy

- "*The Role of the Universities in Shaping the Future of Europe*", EUA Statement to the European Convention, January 2003

Documents available on the EUA Convention website: www.EUAconvention.org

- Conference proceedings of the EUA/ACU conference on "*Charting the course between public service and commercialisation: Prices, Values and Quality*", 3-5 June 2004, Turin, Italy

- Speeches and presentations at the EUA Conference on "*Universities & Society: Engaging Stakeholders*", 2-3 April 2004, Marseilles, France

Documents available on partners' websites

- *"The idea of engagement: universities in society"*, published in August 2003 by the Policy Research Unit of the Association of Commonwealth Universities
  http://www.acu.ac.uk/policyandresearch/engagement.html

- Futures Project: Policy for Higher Education in a Changing World
  http://www.futuresproject.org
  - ➢ "*Meeting the Competition: College and University Presidents, Faculty, and State Legislators View the New Competitive Academic Arena*", October 2002

- "The Future of Higher Education: Rhetoric, Reality, and the Risks of the Market", Frank Newman, Lara Couturier, Jamie Scurry, October 2004, Jossey-Bass, 304 p., ISBN: 0-7879-6972-9
  http://eu.wiley.com/WileyCDA/WileyTitle/productCd-0787969729,descCd-description.html

EUA Conference upon the occasion of the 600th anniversary of the University of Turin "Charting the course between public service and commercialisation: Prices, Values and Quality", 3-5 June 2004

**Pierre de Maret, Rector of the Universite Libre de Bruxelles
Keynote speech**

Choice of words is always telling, and so the theme of this EUA Conference "*Charting the course between public service and commercialization*" seems to trap the University in a purely utilitarian logic. And yet, this gathering is intended as an "*opportunity to address the implications for academic values of opening up the universities to the world around them*".

Indeed, there has been in recent years a huge amount of discussion and publications on globalization, massification, commercialization, internationalization and the like, of higher education.

In comparison, besides expressing concern in vague and general terms on how those changes may pose a threat and impact the core values of higher education, that issue has received only scant attention.

This is hardly a surprise. The so-called "*Entrepreneurial University*" is becoming part of the Business world, where one speaks more about values and ethics than one practices them, as many scandals remind us.

Because universities belong to an ever evolving world and because universities are significantly contributing to this evolution, they are subject to increasing new pressures from society. Those growing expectations are often as contradictory as society itself.

At the global level there is a wide spread request for ways to integrate the social and human aspects in the globalization process. Universities may and must play a crucial role in building a more stable and a more equitable world. Universities have created the World Wide Web; it is time to see how they could cast a new institutional or research network to contribute to the ongoing changes, to promote the dialogue of civilizations instead of the clash of civilizations, to favor brain gain instead of brain drain, to foster solidarity instead of competition.

The University is not the Middle Age one, nor the one of Humbold or New man. It has, as one of the oldest institutions, always managed to adapt, but loosing its humanistic and universalistic values, its freedom of inquiry, its rational and critical spirit would be unacceptable.

We will be debating those issues in the coming days but allow me to approach the problem from a different perspective and to look at what has been named "*the global village*".

The "*world is a village*" is both an interesting and a reassuring image.

After all we have been living within local villages and communities for millennia, and the more the globalization process impacts the world, the more it sparks communities and identities responses usually at a very local level.

Let's look at this village metaphor and the place of the university in it. Villages are usually built around the church and the market place. Interestingly, in today's collective representation, the university is somewhere symbolically between a place of worship and a market place, more precisely in today's mentality, between a church and a supermarket.

As a temple of knowledge, Universities have often a tower as a focus point, like churches or mosques they are often directed by Rectors. Science has become a sacred force, invoked at all time for marketing purposes.

Laboratories are sanctuaries and the researcher dedicates his life to science and wisdom. There are many parallels.

As a supermarket, Universities produce, give and, more and more often, sell their services, products and facilities to an ever widening range of customers, being students or politicians, elderly or businesspeople, journalists or philanthropists. Hence, the concept of multiversity.

The sacred nature of the University and at the same time the profane, even commercial nature of the University, is not without influence on its image, the expectation it generates and the value it encapsulates.

When I say that the University is symbolically today both a church and a supermarket, it is also emblematic of the tumbling walls between the church and the world, between the economy and the church, between the University and the world.

The original University of the Middle Ages like Torino six centuries ago was as much as possible protected from the outside world, a shelter for collegiality.

Today as the walls between the University and the outside world are falling down, the walls inside the university, between disciplines and departments are also shaking or disappearing.

If science is an object of cult, for many, the power of economy has become a faith, the market is a god who knows better, a magic force that we all worship with its mysteries, its oracles, its priest, its gurus.

In this world, where do we stand in the local village or city, as well as in the global village?

What do we do with the "glocal" university?

What could be the added value of the "glocal" university?

Modernity and University shared for most of the previous two centuries a common set of values: universality, critical and rational inquiry and debate, freedom of speech and opinion, education and research to foster progress, preservation and transmission of culture and knowledge, democracy and social equity.

If there seems to be a general, although soft consensus, on what is usually regarded as the old core values of the university in the western world, it should be determined if this is indeed still the case and if it is true around the world, as here also ethnocentrism lurks.

It is important to determine the key values and roles that must be preserved during the present period of transformation. But the problem is that our global civilization seems to undergo changes of a magnitude never seen before. We are witnessing an accumulation of transformations whose interactions at the individual and collective level, at the psychological and cultural level are best described not as post-modernity, but sur-modernity or even ultra-modernity.

Individualism, the search for immediate pleasure, the rupture of traditional and institutional bonds, heterodoxy, heterogeneity and rampant commercialization lead the ultramodern individual to a plurality of ideals, often incompatible and paradoxical.

Thus results are the only thing that matters, never mind the means. That is the motto in business and more and more in education.

I could go on for a while, but what it comes to is that the value of the world at large and the University values are parting.

In fact, we are facing a fast widening gap.

How do we behave in a world that has lost its values?

How do we cultivate virtues in today's ultra-modernity?

Answering this seminal question is not easy and I am not going to attempt to do it in the few minutes I have left.

After all, this is the question that society asks to philosophy, to science, to sociology, to psychology.

But where do we practice science, philosophy, psychology today? Where do they dialogue? **In the University.**

It is the responsibility of our institutions in today's world, besides generating riches, besides generating knowledge, besides in short, generating material or intellectual gains, to tackle this fundamental issue.

Universities have a special responsibility for its core values to prevail.

This is a major challenge not only for the university, but also for democracy. It is crucial that the university keeps its autonomy vis à vis of public or private powers. The media, controlled by megalomaniacs or by financial conglomerates whose objective is not striving democracy but to maximize profit, has lost much of its freedom.

We must make sure that the University not only contributes to our societies directly by educating and researching, but also indirectly, by criticizing. But, as with the media, that capacity is also jeopardized by the quest for consensus and the politically correct.

In avoiding debates and controversies, universities are moving away from their fundamental values and their major contribution and that is to promote the true exercise of the democratic debate.

But other changes impact the university. As major transversal paradigms, models and ideologies have progressively been replaced by a very relativistic attitude. Thus the intra-institutional link and some references to universality have weakened, favoring a withdrawal into discipline or sub-discipline with an increasing fragmentation. This also leads to a form of teaching where knowledge is atomized, making it difficult for students to re-elaborate, to reincorporate, to link and to prioritize.

The danger is then that everything may seem equivalent.

Cell phones, faxes and emails also lend to the feeling that one has to react immediately, that everything is urgent. "**Time is money**".

The generalization of this type of functioning transforms our research to the one performed by consulting firms rather than by universities.

This rampant influence of the immediate and the urgent, impact also teaching where the ICT, PowerPoint, the image, the virtual are overemphasized in comparison to books, with what has been written.

Speaking of teaching, one should also remind oneself that teaching is more in a "gift giving" logic than in a commercial one. Sharing knowledge has been the norm rather than selling knowledge.

At the local as well as at the global levels, the economic logic of the market confronts the will to preserve links between individuals based not on profit but on generosity, emotion, shared cultural heritage and identities. In the same way, the university is attempting to strike a balance between century-old traditions and managerial changes inspired by the prevalent neo-liberal ideology.

How do we strike this balance?

Like the village I was mentioning before, universities are inhabited by a community.

I would like to consider their role and the role of their leaders to conclude.

"*Striking a balance*" is not as aggressive as it sounds. In this context, striking does not mean hitting, but equalizing by removing an excess of grain or flour, with the hand, striking is here close to stroking. So aptly, the meaning is how to harmonize, how to find the right balance among conflicting demands, values, not by violent means but by gentle touches, and this is very important for the communities of scholars we know!!

In the present changing environment, one should pay as much attention to the technical, economical, managerial aspects as to the very special social and cultural aspects, embedded in the community of scholars.

One should work more on the organizational culture, and build a stronger identity, loyalty, conviviality and pride.

Reforms that focus only on changing structures, governance, higher standards or new technologies will never succeed in building organic forms of cohesive culture that will serve all our students, partners and the city.

Those reforms need to be embedded in supportive, spirit filled culture.

The challenge and the need to build a positive culture as the cement of the university as a community has never been greater.

Leadership from throughout the universities will be needed to build and maintain such positive, purposeful places to learn and grow.

University leaders can make a difference by restoring hope, identity and shared spirit to a place called the university.

The university then becomes more than a building with instructional and research material, it becomes an inhabited institution with history, values, purpose and pride.

As an example, let me list some of the new opportunities and challenges to lead universities and to strengthen the community of scholars.

1. **Opportunity of purpose**: Central to successful universities is a powerful sense of purpose that is focused on students, on learning and on values. Developing and articulating a deep sense of purpose is the foundation of a strong culture, a strong identity and thus a tightly knit community.

   We need also to restate the university contribution to the city and our nation as a whole, of our fundamental values of free inquiry, critical debate and free communication.

   We need to stress the fact that those fundamental values of universities are the major indirect contribution which universities can and must make to the development of a democratic world.

2. **Opportunity of commitment**: University leaders will need to build or, in some cases, resurrect commitment to universities and to education. The past decade has disheartened some about the possibilities of education and the potential of universities.

   University leaders from every corner of the institution need to relentlessly build commitment. A more explicit concern for value will be essential in this matter.

3. **Opportunity of competence**: Human beings crave competence. Everyone wants to do well. The challenge and opportunity for university leaders is to nourish the competence of staff and students in their work, their thinking and their daily actions. Through competence comes achievement.

4. **Opportunity of caring**: University leaders face the need to bring caring back to universities. Universities and classes demand much from their inhabitants. It is hard work to teach and to learn. By establishing universities as caring places, the culture can only become more humane and kind.

5. **Opportunity of people**: People are the central resources in any organization. When leaders invest in a culture that nurtures and challenges staff, students and community, it pays off in learning outcomes.

   Putting time into building a culture that motivates and inspires people is the venture capital of universities. In that purpose, team building at every level is a main priority.

6. **Opportunity of solidarity**: In front of the consequence of academic capitalism, cross subsidy must become the financial heart of the university integration. Shared resources and experiences are essential in nurturing a strong sense of belonging.

7. **Opportunity of collegiality**: Faculties are true laboratories of democratic decision making. Blending traditional academic values with new management values is critical both for effective management and for promoting a common sense of responsibility.

8. **Opportunity of communication**: There is plenty of room for better internal and external communication on goals, values and achievements.

9. **Opportunity of place**: Universities are complex, demanding institutions. University leaders must make these special places where students, staff, parents and community members feel welcome, safe, and appreciated.

   A positive "*ethos of place*" should permeate everything that goes on. A university is more than a series of buildings on a campus; it is, like a church, a major landmark, a monument with its history, its memories, its values.

10. **Opportunity of celebrations**: University leaders need to find exciting ways to celebrate accomplishments of the culture. They are living, breathing organisms. In order to thrive, people need to come together in community to celebrate accomplishments, hard work and dedication.

    By celebrating the best of what the university has done in ceremony, songs or words, everyone exalts in the accomplishments of their compatriots.

CELEBRATION IS WHY WE ARE HERE;

LET'S CONGRATULATE "L'UNIVERSITA DEGLI STUDI DI TORINO" ON ITS 600 BIRTHDAY

THE ROLE OF THE UNIVERSITIES IN SHAPING THE FUTURE OF EUROPE
EUA STATEMENT TO THE EUROPEAN CONVENTION

As the European Convention moves forward to the phase of drafting proposals for Europe's future constitution, the European University Association (EUA), as the representative body of European Universities (34 National Rectors' Conferences and over 600 individual institutions), addresses itself to the members of the European Convention and to the Heads of Government who will subsequently form the Intergovernmental Conference.

The EUA wishes to underline the fundamental role of the university in building Europe, and in further defining and developing the European social model.

The link between higher education and research lies at the heart of the university, an institution whose historical roots are pan-European, and whose mission to ensure the relationship between the production, transmission, dissemination and use of knowledge remains uniquely adapted to shaping our common European future. This is the strength and originality of the university, an institution which has maintained its dual responsibility for teaching and research over many centuries. Through remaining autonomous, accountable and independent of political interference, the university has been at the centre of European development - promoting learning, stimulating critical thought and innovation, and at the same time ensuring continuity.

In recent decades, in response to growing societal demands and increased student numbers, the university has shown itself capable of responding to new challenges through opening to its environment, both economic and cultural, and playing a full role in civil society.

Europe's universities have become active partners in building Europe, both within the European Union and beyond, supporting cooperation, mobility and networking, in particular within the framework of the Bologna process. This has been aptly demonstrated in the key role played by Europe's universities since 1989 in uniting peoples throughout the continent, and fostering peace, stability and sustainable development.

Looking to the future, Europe's universities will play a fundamental role in further developing Europe and in responding to the needs of citizens. Acting at local, regional,
national, European and global level, constructing a shared community based upon common values, their mission is to:

- educate ever larger numbers of young, and not so young, people across Europe for active citizenship and employment. Not only future leaders, but also the majority of Europe's citizens will pass through the universities at formative periods in their life, experiencing training by and through research, and ensuring constant contact and interaction between students, teachers and researchers;
- build links with all types of stakeholders: economic, social and cultural, thus showing their willingness to listen and respond to the various needs of society;
- transmit knowledge, and take responsibility for the creation of a major part of new knowledge, so important for the well-being of citizens, and for fostering economic growth and regional development;
- ensure the training of young researchers, and preserve the commitment to teaching and research across Europe, providing a guarantee of geographically balanced economic, cultural and social development.

In March 2000, the European Council set the strategic goal for Europe to become, *"the most competitive and dynamic knowledge-based economy in the world, capable of sustainable economic growth with more and better jobs and greater social cohesion"* and in Barcelona went further, calling for Europe's education systems to become, "*aworld reference*" by 2010.

If these ambitions are to be fulfilled, Europe needs strong universities, and a renewed and concerted commitment to higher education. Europe's universities are unique institutions, and developing the enormous potential of this resource is a fundamental condition for the successful construction of Europe.

As autonomous institutions with a distinct European mission, universities across the continent make a fundamental contribution to building European society through their role in the production, transmission and transfer of knowledge.

29 January 2003

2. Universities and research

Documents in the Reader

- EUA letter to the European Research Council Identification Committee, 20 February 2005

- Conclusions and recommendations of the Bologna seminar on "*Doctoral Programmes for the European Knowledge Society*", organised by the Ministry of Education, Science and Culture in Austria, the Federal Ministry of Education and Research in Germany and the European University Association, 3-5 February 2005, Salzburg, Austria

- EUA Response to the EC Communication: "*Science and technology, the key to Europe's future – Guidelines for future European Union policy to support research*", November 2004

- Conclusions and recommendations of the EUA conference on "Research Training as a Key to a Europe of Knowledge", 28-30 October 2004, Maastricht, The Netherlands

- EUA Statement on the Research Role of Europe's Universities (prepared for the EC Conference on "*The Europe of Knowledge 2020: A Vision for University based Research and Innovation*", Liège, 26- 28 April 2004)

- EUA Policy Paper Concerning the establishment of a European Research Council (July 2003)

- Draft Commission Recommendation on "*the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers*", 2005

Documents available on the EUA Convention website: www.EUAconvention.org

- "*The Funding of University-Based Research and Innovation in Europe*", EUA study, 2005

- Universities and the 7th Framework Programme, Abstract, Eric Froment, 2005

- Background documents, studies and presentations at the EUA conference on "*Research Training as a Key to a Europe of Knowledge*", 28-30 October 2004, Maastricht, The Netherlands

Documents available on partners' websites

- Communication from the Commission: "*Science and technology, the key to Europe's future - Guidelines for future European Union policy to support research*", June 2004 http://europa.eu.int/eur-lex/en/com/cnc/2004/com2004_0353en01.pdf

- Communication from the Commission to the Council and the European Parliament: "*Researchers in the European Research Area: One Profession, Multiple Careers*", July 2003 http://europa.eu.int/comm/research/fp6/mariecurie-actions/pdf/careercommunication_en.pdf

- Communication from the Commission: "*Investing in research: an action plan for Europe*", June 2003 http://europa.eu.int/eur-lex/en/com/cnc/2003/com2003_0226en02.pdf

- "*Challenges and prospects for a researcher's career in the European Research Area*", Marie Curie Fellowship Association, Science Policy Panel, July 2003, http://www.mariecurie.org/science/Career.pdf

- "*Gathering of Evidence and Development of a European Supervision and Training Charter*", EURODOC, September 2004, http://www.eurodoc.net/workgroups/supervision/Eurodocsuptrain.pdf

European University Association

Lord Patten of Barnes
Chairman
ERC Identification Committee

Brussels, 20 February 2005

Dear Lord Patten,

Thank you for your letter of 1st February. On behalf of the European University Association (EUA) membership (Europe's 34 Rectors Conferences as well as 750 individual, PhD awarding universities), let me say that we highly appreciate your invitation to support the important work of the European Research Council Identification Committee.

From the outset, the EUA has expressed its strong support for the initiative to establish a European Research Council, and in its most recent Position Paper (11/2004) placed an emphasis on the importance of an ERC Scientific Governing Council taking full account of the needs and perspectives of universities both as major institutional actors in the management and financing of research, and as creative research environments for individual researchers and teams.

Our response to the questions raised in your letter revolves around the issues of **excellence, experience and European dimension** that we believe are the three key factors to be considered in arriving at an appropriate profile for the ERC as whole and for its members. We also have some specific remarks on the role of universities in the ERC.

I. **Excellence in research and broad disciplinary coverage**

(i) ERC Governing Council members should be *clearly representative of the wide breadth of the scientific community, but not be seen in any way as respective "nominees" from the various sectors or disciplines.* In the interests of accessibility it will therefore be important not to have a disproportionate number of members coming from a dominant cluster of disciplines. We fully support your remarks that members will act in their personal capacity, representing science and research, and not countries or other interests.

(ii) Council members should similarly *reflect the range of scientific institutions which carry out research in Europe* and take account of the weight of the different institutions involved in terms of percentage of overall research activities carried out (and thus not have a disproportionate number of members coming from 'big science' research institutions).

(iii) The ERC must be *seen as a competition within which scientific proposals are evaluated on their merit ("frontier research") from across all institutions and scientific disciplines.* Research proposals that involve interdisciplinary cooperation or research at the boundaries between disciplines will also need to be addressed. It will be essential to avoid creating misconceptions in parts of the scientific community that the ERC is "not for us".

II. **Experience of setting priorities, establishing and overseeing processes and procedures**

(i) The establishment of an ERC will be met with high expectations amongst research teams in universities across Europe. Hence, a strong level of demand for grants can be anticipated. This will produce a substantial workload for the Governing Council and implies both that the membership will need to possess not only appropriate knowledge and experience of the various scientific sectors across Europe, but also of priority setting and collective decision making. This also means that *the required level of time and commitment of each member may well be considerably higher than that associated normally with a national funding agency.*

(ii)   Scientific excellence needs to be supported at all stages of a research career, from that of early stage career scientists through to research professors. Again, the success of an ERC will be measured by its attractiveness to 'up and coming' young male and female scientists seeking to build new research teams, as much as that of further support given to established research teams. An important factor in the identification process will be, therefore, to propose a membership that has the *independence to ensure that the best evaluated proposals are awarded,* even if the "balance" of grants between these groups of scientists varies considerably across competition rounds/disciplines.

(iii)   We would like to see *Council members who meet the criteria of having substantial experience of managing universities* that increasingly have to develop a range of research strategies and policies (at regional, national, European and international level), and that have to face the challenge of setting priorities which include supporting teams and laboratories in new emerging areas while maintaining traditional strengths.

(iv)   While we believe that members should have experience of science policy making and institutional management at different levels (major universities or/and national Funding Councils), it will, at the same time, be essential to *avoid persons who may be regarded as having a conflict of interest in serving as both ERC members and at national/institutional level.*

III. **Building Europe: promoting frontier research at European level**

(i)   Governing Council members should have *as wide as possible a knowledge of the various national funding systems* and, therefore, how ERC grants as European added value investments can be built upon and maximised for the future development of the European Research Area.

(ii)   The ERC Council should include members who have considerable experience of *working as a scientist in more than one country.* In the same way, *knowledge and experience of peer review systems and selection processes across several countries* would an important additional criterion to meet.

Finally, I would like to raise some **specific issues in relation to universities**:

(i)   The ERC, by supporting individual teams, will have a major impact in terms of strengthening research capacity in universities. *Universities as institutions provide an environment that allows scientific, especially frontier research and entrepreneurial skills to flourish*; *that ensures proper links between research and teaching; that promotes collaboration across faculties and laboratories; that provides common infrastructure support at institutional level; and increasingly, that has autonomous responsibility for budgetary planning and financial accounting etc.*

(ii)   Thus, we believe, *it will be crucial for Governing Council members to bring this experience to the ERC in order to help ensure that the organisation as a whole will be able to develop guidelines, procedures and policies that bring about a creative and productive dialogue with the institutions in which individual teams receiving grants are based.*

I hope that these comments are helpful and firmly believe that with the cooperation of the main representative organisations of the scientific community in Europe, in which the EUA is certainly willing to play a strong role, an innovative, well-received, and "frontier-breaking" ERC can be realised.

Yours sincerely,

Eric Froment
President

CONCLUSIONS AND RECOMMENDATIONS

1. Ministers meeting in Berlin in September 2003 added an Action Line to the Bologna process entitled *"European Higher Education Area and European Research Area – two pillars of the knowledge based society"* that underlines the key role of doctoral programmes and research training in this context.

"Conscious of the need to promote closer links between the EHEA and the ERA in a Europe of Knowledge, and of the importance of research as an integral part of higher education across Europe, Ministers consider it necessary to go beyond the present focus on two main cycles of higher education to include the doctoral level as the third cycle in the Bologna Process. They emphasise the importance of research and research training and the promotion of interdisciplinarity in maintaining and improving the quality of higher education and in enhancing the competitiveness of European higher education more generally. Ministers call for increased mobility at the doctoral and postdoctoral levels and encourage the institutions concerned to increase their cooperation in doctoral studies and the training of young researchers."

2. Research training and research career development - and the need to increase the number of highly qualified graduates and well trained researchers – are also becoming increasingly important in the debate on strengthening Europe's research capacity and in the discussions on FP7.

3. In order to raise awareness of the issues and provide a solid basis for the discussions the EUA launched in 2004 a Socrates funded Doctoral Programmes Project to analyse key issues related to structure and organisation, financing, quality and innovative practice in doctoral programmes. 49 Universities from 25 countries are involved in this project that demonstrates the commitment of the universities and their desire to contribute directly to the wider policy debate on this important issue.

4. Aware of the importance of this topic for both governments and universities and bearing in mind that research training forms a core mission of universities across Europe, the Austrian Federal Ministry of Education, Science and Culture, the German Federal Ministry of Education and Research and the European University Association have taken the initiative to organise a 'Bologna Seminar' in Salzburg on doctoral programmes in order to reach a set of conclusions, identify key challenges and make recommendations for action to be undertaken (in the period 2005-2007).

5. The enormous interest in and presence at the Seminar of the academic community further demonstrates the ownership felt by universities across the continent for the organisation of doctoral programmes and research training.

6. Furthermore, participants welcomed the initiative of the European Commission to draft a 'European Charter for Researchers'/Code of Conduct for the Recruitment of Researchers'.

7. From the discussions in Salzburg a consensus emerged on **a set of ten basic principles** as follows:

i.   **The core component of doctoral training is the advancement of knowledge through original research**. At the same time it is recognised that doctoral training must increasingly meet the needs of an employment market that is wider than academia.

ii. **Embedding in institutional strategies and policies**: universities as institutions need to assume responsibility for ensuring that the doctoral programmes and research training they offer are designed to meet new challenges and include appropriate professional career development opportunities.

iii. **The importance of diversity**: the rich diversity of doctoral programmes in Europe - including joint doctorates - is a strength which has to be underpinned by quality and sound practice.

iv. **Doctoral candidates as early stage researchers:** should be recognized as professionals – with commensurate rights - who make a key contribution to the creation of new knowledge.

v.   **The crucial role of supervision and assessment:** in respect of individual doctoral candidates, arrangements for supervision and assessment should be based on a transparent contractual framework of shared responsibilities between doctoral candidates, supervisors and the institution (and where appropriate including other partners).

vi.   **Achieving critical mass:** Doctoral programmes should seek to achieve critical mass and should draw on different types of innovative practice being introduced in universities across Europe, bearing in mind that different solutions may be appropriate to different contexts and in particular across larger and smaller European countries. These range from graduate schools in major universities to international, national and regional collaboration between universities.

vii.   **Duration:** doctoral programmes should operate within an appropriate time duration (three to four years full-time as a rule).

viii.   **The promotion of innovative structures:** to meet the challenge of interdisciplinary training and the development of transferable skills

ix.   **Increasing mobility**: Doctoral programmes should seek to offer geographical as well as interdisciplinary and intersectoral mobility and international collaboration within an integrated framework of cooperation between universities and other partners.

x.   **Ensuring appropriate funding**: the development of quality doctoral programmes and the successful completion by doctoral candidates requires appropriate and sustainable funding.

Recommendations

Participants recommend to the BFUG:

- That the ten principles outlined above provide the basis for the further work of the BFUG and thus feed into the drafting of the Bergen Communiqué

- That the Ministers in Bergen then call on EUA **through its members** to prepare a report under the responsibility of the BFUG on the further development of these principles to be presented to Ministers in 2007.

February 2005

EUA RESPONSE TO THE EC COMMUNICATION "SCIENCE AND TECHNOLOGY, THE KEY TO EUROPE'S FUTURE – GUIDELINES FOR FUTURE EUROPEAN UNION POLICY TO SUPPORT RESEARCH."

I. The policy context

1. The 7th Framework Programme will be critical to the development of the Europe of 25 in the period 2007 -2013. Not only will the process of reaching agreement and the adoption of the proposals constitute one of the first challenges facing the new institutions of the enlarged Europe; through its different actions, FP7 will contribute significantly to meeting the Lisbon and Barcelona goals, and thus to supporting Europe's transition to a knowledge based society.

2. This is also the goal of the Bologna process that seeks in parallel to create a European Higher Education Area across 40 countries by 2010[7]. Viewed together, EU support through the Framework Programme and the wider Bologna Process represent a major investment in Europe's education, training and research sector to meet the Lisbon and Barcelona goals, notably in combating the present lack of qualified manpower. It will be essential to ensure maximum synergies between these two processes.

3. It is in this policy context that the EUA welcomes the Commission's proposals including the substantial increase in funding proposed, and wishes to situate its comments.

II. Strengthening the Research Effort means Strengthening the Role of Universities

4. The key role of universities was recognised by the Commission in the 2003 Communication on the Role of the Universities in the Europe of Knowledge and the April 2004 Liège follow-up Conference[8]. EUA responded to the former and played an active role in the latter. Our views on the pivotal research and research training role of European universities have been articulated and widely disseminated in several recent policy statements[9].

5. EUA strongly recommends that future EU support to research should take account of the outcomes of this reflection on the role of universities as research institutions widely distributed across the EU 25 and thus as natural partners in the strategic policy debate.

6. In addition, universities are strategically placed at the interplay of RTD, educational and regional development policies at both national and European level. Through their multiple mission that encompasses teaching, research training, basic research, knowledge transfer to foster university-industry partnerships and public policy development, and not least, informing a wider "knowledge society", they have, as institutions, a unique role to play in bridging the policy framework 'gap' between actions in relation to education, training, research and regional development in the Enlarged Union. Future research policy and practice should take account of this unique role and thus of the potential added value brought by the universities to the European research effort in a mid to long term perspective.

7. Europe's universities are, of course, already actors in the Framework Programmes. However, at present the emphasis is on the involvement of individual researchers and teams of researchers. Universities as institutions could, and should be encouraged to contribute more significantly than in the past. The goal of this statement is to describe how this could be achieved by:
- highlighting the areas where universities as institutions have most to offer in respect of meeting the stated objectives of FPs;
- making specific recommendations for instruments that will enhance university participation in the future;
- underlining issues, in particular administrative and process related issues, that limit (full) participation at present.

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[7] Cf Berlin Communiqué preamble
[8] Statement on the Communication from the European Commission on "the Role of the Universities in the Europe of Knowledge" (May 2003).
[9] Statement of the Research Role of Europe's Universities (presented at the EC Conference on "The Europe of Knowledge 2020: a Vision for University-based Research and Innovation" Liège, 26-28 April 2004).

III. **Universities and the Six Major Objectives**

8. EUA has comments on all the objectives outlined in the Guidelines. However we have defined priorities and thus concentrate our remarks on following areas that we believe to be of particular significance to universities, taking account of their contribution as institutions and that of individual university based researchers:
- support to basic research that targets principally researchers
- research training and career issues that engage both individuals and institutions
- infrastructure development for universities
- strengthening university cooperation at European level (ERA-UNIV-NETS)
- the role of universities in fostering regional development

Stimulating the creativity of basic research through competition between teams at European level

9. EUA endorses the overall objective of increasing support to the very best researchers and research teams at European level while insisting at the same time on the importance for Europe of helping all universities to improve their research performance, as this will ultimately enhance the contribution of universities from across the EU and beyond to the research and innovation process. Harnessing European potential in this way will be crucial in promoting balanced European development in the mid term.

10. EUA welcomes the proposal to establish a "European Research Council" (ERC) and has been a strong advocate of the need for this new funding mechanism to support basic research. EUA believes that this new mechanism should aim to further develop and support, using scientific criteria of excellence, all fields of research including the social sciences and the humanities.

11. EUA believes that a European Research Council (ERC) will directly strengthen the research function of universities – including ultimately those institutions that will not benefit directly in the short term - and their contribution to building the European Research Area. EUA's July 2003 policy statement[10] underlines in particular the importance of independence, of including all fields of research and of securing additional funding for this new mechanism while also drawing attention to the inherent risk involved of privileging strong universities in some countries and regions to the detriment of others where capacity needs to be further developed. This issue should be addressed by further facilitating the utilisation of EU Structural Funds to boost research infrastructure capacity where needed across the enlarged Union.

12. In relation to the governance of the ERC, EUA holds the view that universities as institutions – rather than represented by individual scientists – should be systematically involved, e.g. in the establishment and composition of a Senate, on internal decision-making structures, etc. On the key "operational issue" of funding procedures, EUA believes that ERC projects should be funded through grants to individual researchers or teams of researchers rather than the present EU contract procedures.

Making Europe more attractive to the best researchers

13. Without increasing the number of highly qualified graduates and well trained researchers Europe will not be able to meet the Lisbon objectives. Universities are crucial to this process given their quasi monopoly in relation to research training[11]. Moreover, experience shows that many of those who go on to become the best researchers working in the most research intensive universities will generally have been trained in a much more diverse group of European institutions; hence the need for all European universities to ensure the high quality of research training provided and to avoid concentrating funding in a small number of institutions.

14. For this reason enhancing the research training function of universities across Europe is a core concern of EUA[12]. EUA therefore supports strongly both the extension of the "Marie Curie" actions and the new emphasis placed on forging strategic policy linkage between these mobility actions and the development of European scientific careers. This will also promote synergies with the Bologna Process which includes a new Action Line linking the EHEA and the ERA and specific reference to the

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[10] EUA Policy Statement on the establishment of a European Research Council, July 2003
[11] EUA response to the Communication on the role of Universities in the Europe of Knowledge, May 2003
[12] Graz Declaration, July 2003

doctoral level as the third cycle in higher education. EUA believes that doctoral programmes form both the last stage of the educational process but also, crucially, the first stage of a research career.

15. EUA thus supports the Commission proposals for a "European Researchers Charter" and "Code of Conduct for the Recruitment of Researchers." From their unique dual perspective as employers with a responsibility for the professional development of their teachers' and researchers' careers, and as "competitive environments" which must create the conditions to attract researchers and foster their ability to build research project collaborations and networks, Europe's universities will be a key partner in following up this important initiative.

16. Universities similarly have an important role to play in further promoting the international dimension of the "Marie Curie" mobility schemes (through increased exchange with other parts of the world) given their substantial experience (based upon historical and cultural linkages) of hosting and attracting international researchers.

17. From the perspective of the universities EUA furthermore recommends:
- increasing funding for Marie Curie actions in view of the present significant oversubscription;
- according a certain priority to research and training networks, but keeping the present flexibility of formats for fellowships;
- Supporting the development of European graduate schools as a particular innovative mechanism for concentrating/reorienting doctoral training to deal with new needs.

Developing Research Infrastructures of European Interest

18. EUA views the creation of the European Strategic Forum on Research Infrastructure (ESFRI) as a useful focal point and policy forum for Commission actions in research infrastructure support. Europe's universities house many types of research infrastructures in all fields of science, both large and small, and their coverage, needs and collective capacities should be assessed within the overall framework of developing a viable European strategy.

19. In a broader sense EUA believes that in future EU support should include some provision for covering the costs of maintaining university infrastructure. We believe this to be important in maximising the participation of universities and taking account of the historic under-financing of infrastructure in many parts of Europe.

20. Finally, following on from our remarks on the ERC (para.11 above), EUA also welcomes the proposal to strengthen policy complementarities between the use of the EU research budget and the Structural Funds (under the "Convergence" objective) which is particularly important in relation to research infrastructure renewal and up-grading in EU new member states.

Improving the coordination of national research programmes

21. The proposal to extend ERA-NET coordination activities to include financial support for research activities has potentially important implications for Europe's universities as many of the research projects of which these "national programmes" are comprised are based in universities. If these programmes are able to compete for additional European funds in future, universities, as institutions, will necessarily be involved in terms of administering the corresponding funding applications and contracts, in addition to those related to other Framework Programme mechanisms. It will therefore be of the utmost importance to ensure coherence across these various funding mechanisms.

22. Given the governance and management challenges universities face in trying to respond to EU policy and research funding instruments on the one hand and their considerable potential in contributing collectively as institutions to the European research effort on the other, EUA strongly recommends that university networks should in future be considered as eligible partners in the ERA-NET scheme. Such "ERA-UNIV-NETs" would address governance issues pertaining to the research mission of universities, such as university-industry collaborations, university financing and research costs, research career development and recruitment, research infrastructure support and maintenance, financial management and accounting, etc. Such coordinated sharing of knowledge, policy management experience and good practices would serve to strengthen "trust" and cooperation between universities at European and regional level.

Creating European Centres of Excellence through collaboration between laboratories

23. Many universities (in both old and new EU member states) cannot easily marshal the necessary "own resources" to apply for FP new instruments because of competing demands for these human and material resources. Thus university-based researchers are not always able to exploit fully the opportunities available. Thus, a "level playing field" does not exist regarding the conditions under which the three stated players (i.e. research centres, universities and companies) can enter effectively into transnational collaborations. Moreover, the current range of the research instruments is not necessarily suited to the needs of all sciences. In particular, large scale collaborative projects and networks are not adequate to achieve the greater contribution we would welcome of the social sciences and humanities.

24. EUA welcomes the overall findings and recommendations of the "Marimon Report" [13] in this respect and is willing to offer advice on the implementation of these recommendations in as far as they relate to the enhancement of the participation of universities in FP7.

Launching European Technological Initiatives

25. This objective appears to be targeted towards large-scale technological projects involving industry and major research institutions. Universities are not specifically mentioned and thus further clarification would be needed for universities to be able to assess their potential contribution. More generally, universities need encouragement to develop a strong entrepreneurial culture, something often inhibited at European level by the diversity of national legislation at play. The legal status of universities differs, for example, from one European country to another as does their possibility of receiving private funding and /or attracting risk capital.

26. Finally, on the "Science and Society" dimension of "technology platforms", universities will have a valuable role to play as stakeholders at the interface with the public-at-large and "public interest" groups, as forums of exchange and dialogue on the socio-economic implications of technological developments.

"Raising Research Performance throughout the Union"

27. EUA welcomes the proposal to achieve greater complementarity between FP7 and the European Research Development Fund (ERDF) with a view to strengthening existing university-based regional innovation networks (university/industry/SME partnerships) and developing new ones. Given the crucial role universities already play in supporting regional development, EUA recommends that the experience and working practices of successful existing networks be taken into account before any new "intermediary bodies between universities and SMEs" (cf. § 34 of the Guidelines) are created. Instead of creating a new intermediate layer, universities should rather be encouraged to develop further direct relations with SMEs.

"Doing Better to do More" - Removing Obstacles to Achieving Strengthened University Participation in Framework Programmes.

28. EUA welcomes the commitment to revise and simplify the FP regulatory, financial and administrative provisions which should help to reduce the costs of universities' engagement in EU research activities and notes that "externalised management" is proposed for the operation of certain components of FP7. From the perspective of Europe's universities, it is hoped that this will be implemented in the continued spirit of improving FP accessibility, a fundamental precondition for achieving a viable and attractive European Research Area. EUA believes that present priorities should be focused on fully involving the new Member States in the range of FP instruments and activities.

29. Towards the goal of streamlining administration and delivery mechanisms (presently viewed as an over- bureaucratic process for universities generally and off-putting for smaller players) EUA wishes to underline specifically the drawbacks of the single stage evaluation process which means that applicants have to spend a disproportionate amount of effort in preparing applications. We support demands for a two stage process but recognise the need also to ensure that such a process does not increase the time lag between submission of applications and final decisions.

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[13] Marimon, Evaluation and Effectiveness of the New Instruments of Framework Programme VI, June 2004

30. Finally, and most importantly, the proposed FP7 budget increase should be used as an opportunity to address the key issue of how to improve the financial basis and viability of university participation in EU research activities. While to move from partial to full costs funding of EU research activities should be an ultimate goal, the short term implications of such a move would likely to be fewer projects being funded. In the medium term, however, steps towards full cost funding could be further explored valuably (and bearing in mind the present considerable differences between accounting and funding systems across Europe) in a framework of "partnership arrangements" at EU and national/regional levels in support of FP7 projects.

2 November 2004

Summary of conclusions and recommendations of the Plenary sessions and Discussion groups

The Maastricht conference was the last in the series of three EUA conferences in 2004 which focused on the social relevance of higher education and research for the development of the knowledge society. The Maastricht conference examined the future research training role of universities in Europe.

With the increased focus on the ambitious Lisbon and Barcelona objectives and new demands of the global knowledge-intensive labour market, universities need to play a key role in research & development, innovation, knowledge creation & transfer at regional, national, European, and international level. In the context of this development, uuniversity research training is the most important key to education of new generation of researchers. Doctoral training plays a crucial part in research training, but has to be supplemented by other forms of life-long research training to increase research capacity leading towards ambitious objectives.

Key issues discussed:
- What type of researchers do we need?
- How do universities respond to the new demands of the changing labour market?
- What university reforms (actions) are required in order to develop new policies, new organisation and management of research training, including personnel, recruitment and career development strategies?
- What is the role of industry and university-industry collaboration in research training?
- How to attract young people to science?
- How to ensure sustainable career development for all researchers?

Conclusions:
1. Research training has to prepare new generation of researchers which will be highly competent in the professional field, but will also have much wider generic (transferable) skills: ability to learn, problem solving, analytical and critical thinking, writing and communication skills, team and project management, capacity to work in international teams, organisation skills, flexibility, etc. – researcher of the future has to be dynamic, open-minded, communicative and entrepreneurial.
2. Research/ doctoral training needs to be embedded into institutional policies and strategies. Each university has to develop its policy and regulations on doctoral programmes. Doctoral degree has to be awarded by the university (Rector) in order to increase the social value of the degree.
3. Doctoral programmes have to be reformed: there is a need for more structured and organised programmes that offer wide range of skills for wide range of careers.
4. Diversity of doctoral programmes in Europe is a strength that has to be protected, but it must be based on the quality assessment. New models of doctoral programmes have to be initiated, explored and supported (e.g. European model of research/ graduate schools; Professional doctorates; Industrial doctorates) if they fulfill high quality criteria.
5. In addition to doctoral training, other kinds of research training are needed – more life-long open and flexible research training for all categories of researchers.
6. University-industry cooperation has to be strengthened and built on mutual trust and openness, while realising the uniqueness and core mission of each party.
7. Research/ doctoral training needs internationalisation: more mobility, more joint programmes, bilateral or international cooperation and research-driven networks is the only way towards ambitious goals of becoming the most competitive knowledge based continent. Universities have to build/ provide institutional support structures and mechanisms for mobility (e.g. academic staff mobility offices).
8. Universities have to build career development strategies and to develop mechanisms to ensure that every researcher, irrespective of status, is treated as a respected member of the research community and all researchers know about their rights and duties (learning agreements or partnership contracts for doctoral candidates). Recruitment policies at each institution have to be transparent, internationally-open and equitable with the aim to ensure a sustainable career development of every researcher.

EUA STATEMENT ON THE RESEARCH ROLE OF EUROPE'S UNIVERSITIES

Prepared for the EC Conference on "The Europe of Knowledge 2020: A Vision for University based Research and Innovation", Liège, 26- 28 April 2004.

I. Purpose: the Research Role of Europe's Universities

1. *The Graz Declaration* [14] underlines that "*Universities* advocate a Europe of knowledge, based on a strong research capacity and research-based education in universities – singly and in partnership – across the continent. *European universities* are active on a global scale, contributing to innovation and sustainable economic development. Competitiveness and excellence must be balanced with social cohesion and access*."*

2. As "multi-actors" in the research process, through their teaching, training, research and innovation activities at regional, national and European/International level, Europe's universities have an essential role to play and are key actors in the debate on future research policies for Europe. This is the message that EUA wishes to deliver to the Liège Conference on behalf of its 680 individual members and 34 National Rectors Conferences.

II. Context

3. The Lisbon Process objectives and the Barcelona 3% target are becoming the reference framework not only for research policy discussions but also for the development of the European Higher Education Area. The European Higher Education and Research Areas are converging, linked by the central role of universities in the training of researchers. EUA is committed to reinforcing synergies between the two processes at all levels.

4. EUA's recently adopted Action Plan for 2004/2005 indicates the growing importance of the "research profile" of the Association. In the interests of its members, EUA is likewise committed to full engagement in the debate on research policies for Europe. Europe's universities support the European Commission's recent proposals for a new mechanism to fund individual project grants, and the establishment of a European Research Council, provided that the necessary funding is secured.

5. As the date of 1 May approaches, and the extension of EU membership to 25, it becomes all the more important for Europe to ensure the successful participation of universities from the new Member States in the development of the European Higher Education and Research Areas. Universities in the new Member States have played an important role in social and economic transition; the intensification of their research efforts needs particular support.

III. University strategies and policies: principles for action

6. Universities are aware of the need to overcome their fragmentation and to develop institutional strategies underpinning their action. EUA has formulated a set of principles on which strategies and policies should be built. These reflect the unique research role of universities as institutions without which there would be no research and no researchers, and seek to identify a "European way" of fostering and utilising high quality research.

7. In formulating these principles, EUA acknowledges the importance of two phenomena that are increasingly and simultaneously shaping the landscape and character of Europe's universities: on the one hand growing competition between universities that is resulting in increased differentiation, and on the other increased cooperation and interdependence between institutions that serve to create both focus and critical mass in research on a European scale.

8. The principles upon which Europe's universities will build the research and innovation strategies and policies needed to meet the challenges of the Europe of Knowledge are:
- universities provide a *unique space for basic research*;
- universities play a *crucial role in the training of researchers* thus ensuring the continuity of the "research pipeline";
- universities are research institutions *based upon the integral link between teaching and research*;

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[14] Adopted by EUA in July 2003 and presented by EUA in September 2003 to European Higher Education Ministers meeting in Berlin to discuss next steps in the Bologna process

- universities pursue excellence in disciplinary research, and provide environments that enable the *cross-fertilisation of ideas across disciplines*;
- universities are knowledge centres that *create, safeguard and transmit knowledge vital for social and economic welfare*, locally, regionally and globally;
- universities are engaged in knowledge transfer as *full partners in the innovative process;*
- universities' willingness to *focus and concentrate their efforts through enhanced cooperation* and networking among themselves and with business, industry and other partners.

IV. Key Challenges for university based research and innovation

9. Growing *competition between universities* is leading to certain degrees of specialisation as universities increasingly play to their strengths rather than maintain strong research profiles in every research field, thus also enhancing their capacity to compete globally. The proposed European Research Council, by funding the best basic research wherever it is found, should support this process. One result of growing competition is an increasing trend towards *differentiation* of mission between universities. Europe needs a diverse spectrum of research institutions, all of which are based upon the link between teaching and research and fulfill key research training and knowledge transfer functions.

10. As a result of more focusing of mission *the role of networks of institutions* at local, regional, national and European levels is growing, for research, research training and the provision of infrastructural support. Based upon complementarity of different interests, these networks foster enhanced cooperation and efficiencies of scale.

11. The structure and performance of university research communities are related strongly to *attracting and retaining the most talented young people* and to the existence of appropriate career opportunities in both the public and private sectors.

12. Mobility is an important element of research training and career development and is not designed to promote brain drain inside or outside Europe; within Europe, universities should seek to contribute to the development of the continent as a whole by promoting mobility while *seeking to discourage long term 'brain drain' from one part of the continent to another.*

13. A comprehensive vision of university based research and innovation requires both the promotion of excellence in basic research and *the fostering of a research agenda that links more effectively research with innovation processes*, and better manages the ways in which the research base is used to benefit society in relation to both economic and social development and cultural engagement.

V. Realising the goals: financial independence, autonomy and responsibility

14. In order to realise these ambitious goals it is important to ensure that universities, as a unique space for basic research, are able to work in a long-term perspective. *Governments and universities alike must be committed to the long-term vision of a Europe of Knowledge based upon university based research and innovation.*

15. While universities need to be encouraged to develop in different forms and to generate funds from a variety of sources, *governments* must empower institutions and strengthen their essential autonomy by providing stable legal and funding environments thus ensuring that universities have the capability to manage themselves in a dynamic way and the freedom to act to seize the opportunities that are offered to them.

16. Universities accept accountability and assume the responsibility of fostering leadership, a quality culture and strategic management capacity in each institution as well as greater transparency, also in relation to the costing of research and innovation activities.

17. EUA is debating these issues with its members across Europe and has accepted the challenge of carrying out an analysis of issues related to the difficult and complicated question of the financing of university research. This question is of paramount importance in any debate on promoting research and innovation at European level and EUA looks forward to a broad discussion on the issues resulting from this study.

21.04.2004

EUA POLICY PAPER
CONCERNING THE ESTABLISHMENT OF A EUROPEAN RESEARCH COUNCIL

Systematic involvement of the universities in the debate

1. Europe's universities wish to contribute actively and constructively to the ongoing debate on the establishment of a European Research Council (ERC). This means that universities as institutions - rather than represented by individual scientists - and their national representative bodies, need to be systematically involved. This has not been the case until now, in spite of the fact that the ERC initiative aims at supporting fundamental research, a very large part of which is carried out in universities.

2. On behalf of its members – 34 national Rectors Conferences and over 640 individual universities - the EUA welcomes this debate in the context of the conclusions of the Lisbon (2000) and Barcelona (2002) European Councils, and the need to strengthen fundamental research in the context of the overall objective of increasing research spending to 3% of GDP by 2010.

3. The EUA bases its initial contribution on discussions held with individual members during its 2003 Conference on the 'Role of Research in the University' (Bristol, March 2003) and collective members through the association's Research Working Group in May 2003. The present statement was endorsed by the EUA Council at its Leuven meeting on 4 July 2003.

The arguments in favour of establishing a European Research Council

4. In its response to the EC Communication on the 'Role of the Universities in the Europe of Knowledge' the EUA has underlined the importance of strengthening the research function of the universities. By targeting fundamental research the ERC initiative could contribute to this goal by:
*   developing research capacity and improving quality across the continent;
*   supporting research efforts in emerging sectors and for new research teams, and facilitating inter and trans-disciplinary approaches;
*   providing a clear European dimension, thus making European research as a whole more competitive and also making Europe more attractive to researchers from other parts of the world.

5. The establishment of an ERC would also help to address a number of well recognised weaknesses in the present research support and funding systems, both at national and European level, by:
*   enabling targeted European funding to support fundamental research across Europe, thus combating fragmentation, and creating critical mass;
*   at the same time removing obstacles to mobility, reducing duplication of efforts and facilitating coordination of national programmes.

EUA believes the preconditions for the successful establishment of an ERC to be:

6. **The inclusion of all areas of research**: Like EURAB, EUA believes that an ERC must encompass all areas of research, including the humanities and the social sciences. It would also be important to ensure that there is sufficient scope for the participation of networks of universities within the proposed primarily project based ERC concept.

7. **The availability of new funding:** EUA supports the EURAB position believing that additional new funding would be necessary for the success of an ERC. The alternative proposal of top-slicing existing research council budgets does not take into consideration that there is no commonality in research council structures across Europe.

8. **Independence:** A successful ERC would need to be independent of both the European Commission and national authorities while of course maintaining close policy links to both.

EUA draws attention to the need to address following issues in the ongoing debate:

9. **Infrastructure:** a future ERC that fund projects without providing the necessary infrastructure support would encourage making optimal use of existing infrastructure. However, it could privilege strong universities in some countries/regions to the detriment of others where capacity needs to be further developed. This issue should be addressed by further facilitating the utilisation of EU structural funds to develop research infrastructure in priority regions.

10. **Merit funding:** the principle of merit funding only, and no 'juste retour' is important in order to support research of the highest quality. However, thought needs to be given to ensuring that this does not only privilege stronger, research intensive universities to the detriment of others. Once again, to ensure equity in development, the possibilities of introducing parallel mechanisms allowing targeted use of the structural funds to boost research capacity where appropriate across Europe needs to be investigated thoroughly.

EUA Council, Leuven, 4 July 2003

COMMISSION OF THE EUROPEAN COMMUNITIES

Draft

COMMISSION RECOMMENDATION

of […]

on the European Charter for Researchers and on a Code of Conduct for the Recruitment of Researchers

THE COMMISSION OF THE EUROPEAN COMMUNITIES,

Having regard to the Treaty establishing the European Community, and in particular Article 165 thereof

Whereas

(1)   The Commission considered it necessary in January 2000[15] to establish the European Research Area as the linchpin of the Community's future action in this field with a view to consolidating and giving structure to a European research policy.

(2)   The Lisbon European Council set the Community the objective of becoming the most competitive and dynamic knowledge economy in the world by 2010.

(3)   The Council has addressed issues related to the profession and the career of researchers within the European Research Area in its Resolution of 10 November 2003[16] and welcomed in particular the Commission's intention to work towards the development of a European Researcher's Charter and a Code of Conduct for the Recruitment of Researchers.

(4)   The identified potential shortage of researchers[17], particularly in certain key disciplines, will pose a serious threat to EU's innovative strength, knowledge capacity and productivity growth in the near future and may hamper the attainment of the Lisbon and Barcelona objectives. Consequently, Europe must dramatically improve its attractiveness to researchers and strengthening the participation of women researchers by helping to create the necessary conditions for more sustainable and appealing careers for them in R&D[18].

(5)   Sufficient and well-developed human resources in R&D are the cornerstone of advancement in scientific knowledge, technological progress, enhancing the quality of life, ensuring the welfare of European citizens and contributing to Europe's competitiveness.

(6)   New instruments for the career development of researchers should be introduced and implemented, thus contributing to the improvement of career prospects for researchers in Europe.

(7)   Enhanced and more visible career prospects also contribute to the building of a positive public attitude towards the researchers' profession, and thereby encourage more young people to embark on careers in research.

(8)   The ultimate political goal of this Recommendation is to contribute to the development of an attractive, open and sustainable European labour market for researchers, where the framework conditions allow for recruiting and retaining high quality researchers in environments conducive to effective performance and productivity.

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[15]   COM(2000) 6 final of 18.1.2000.
[16]   JO C 282, p. 1-2, of 25.11.2003. Council Resolution of 10 November 2003 (2003/C 282/01 on the profession and the career of researchers within the European Research Area).
[17]   COM (2003) 226 final and SEC(2003) 489 of 30.4.2003.
[18]   SEC (2005) 260.

(9)   Member States should endeavour to offer researchers sustainable career development systems at all career stages, regardless of their contractual situation and of the chosen R&D career path, and they should endeavour to ensure that researchers are treated as professionals and as an integral part of the institutions in which they work.

(10)   Even though Member States have made considerable efforts to overcome administrative and legal obstacles to geographical and intersectoral mobility, many of these obstacles still remain.

(11)   All forms of mobility should be encouraged as part of a comprehensive human resource policy in R&D at national, regional and institutional level.

(12)   The value of all forms of mobility needs to be fully recognised in the career appraisal and career advancement systems for researchers, thus guaranteeing that such an experience is conducive to their professional development.

(13)   The development of a consistent career and mobility policy for researchers to[19] and from the European Union should be considered with regard to the situation in developing countries and regions within and outside Europe, so that building research capacities within the European Union does not occur at the expense of less developed countries or regions.

(14)   Funders or employers of researchers in their role as recruiters should be responsible for providing researchers with open, transparent and internationally comparable selection and recruitment procedures.

(15)   Society should appreciate more fully the responsibilities and the professionalism that researchers demonstrate in executing their work at different stages of their careers and in their multi-faceted role as knowledge workers, leaders, project coordinators, managers, supervisors, mentors, career advisors or science communicators.

(16)   This Recommendation takes as its premise that employers or funders of researchers have an overriding obligation to ensure that they meet respective national, regional or sectoral legislation requirements.

(17)   This Recommendation provides Member States, employers, funders and researchers with a valuable instrument to undertake, on a voluntary basis, further initiatives for the improvement and consolidation of researchers' career prospects in the European Union and for the creation of an open labour market for researchers.

(18)   The general principles and requirements outlined in this Recommendation are the fruits of a public consultation process to which the members of the Steering Group on Human Resources and Mobility have been fully associated,

HEREBY RECOMMENDS:

1.   That Member States endeavour to undertake the necessary steps to ensure that employers or funders of researchers develop and maintain a supportive research environment and working culture, where individuals and research groups are valued, encouraged and supported, and provided with the necessary material and intangible support to enable them to fulfil their objectives and tasks. Within this context, particular priority should be given to the organisation of working and training conditions in the early stage of the researchers' careers, as it contributes to the future choices and attractiveness of a career in R&D.

2.   That Member States endeavour to take, wherever necessary, the crucial steps to ensure that employers or funders of researchers improve the recruitment methods and career evaluation/appraisal systems in order to create a more transparent, open, equal and internationally accepted system of recruitment and career development as a prerequisite for a genuine European labour market for researchers.

3.   That Member States - as they formulate and adopt their strategies and systems for developing sustainable careers for researchers - take duly into account and are guided by the general principles and requirements, referred to as The European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers outlined in the Annex.

4.   That Member States endeavour to transpose these general principles and requirements within their area of responsibility into national regulatory frameworks or sectoral and/or institutional standards and guidelines (charters and/or codes for researchers). In so doing they should take into account the great diversity of the laws, regulations and practices which, in different countries and in different sectors, determine the path, organisation and working conditions of a career in R&D.

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[19]   COM(2004) 178 final of 16.3.2004.

5.   That Member States consider such general principles and requirements as an integral part of institutional quality assurance mechanisms by regarding them as a means for establishing funding criteria for national/regional funding schemes, as well as adopting them for the auditing, monitoring and evaluation processes of public bodies.

6.   That Member States continue their efforts to overcome the persisting legal and administrative obstacles to mobility, including those related to intersectoral mobility and mobility between and within different functions, taking into account an enlarged European Union.

7.   That Member States endeavour to ensure that researchers enjoy adequate social security coverage according to their legal status. Within this context, particular attention should be paid to the portability of pension rights, either statutory or supplementary, for researchers moving within the public and private sectors in the same country and also for those moving across borders within the European Union. Such regimes should guarantee that researchers who, in the course of their lives, change jobs or interrupt their careers do not unduly suffer a loss of social security rights.

8.   That Member States put in place the necessary monitoring structures to review this Recommendation regularly, as well as to measure the extent to which employers, funders and researchers have applied the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

9.   That the criteria for measuring this will be established and agreed with the Member States within the context of the work undertaken by the Steering Group on Human Resources and Mobility.

10.   That Member States in their role as representatives in the international organisations established at intergovernmental level take due account of this Recommendation when proposing strategies and taking decisions concerning the activities of those organisations.

11.   This Recommendation is addressed to the Member States but it is also intended as an instrument to encourage social dialogue, as well as dialogue among researchers, stakeholders and society at large.

12.   The Member States are invited to inform the Commission, as far as possible, by 15th December 2005 and annually thereafter of any measures they have taken further to this Recommendation, and to inform it of the first results of its application as well as to provide examples of good practice.

13.   This Recommendation will be reviewed periodically by the Commission in the context of the Open Method of Coordination.

Done at Brussels, […]

For the Commission
[…]
Member of the Commission

ANNEX

SECTION 1: THE EUROPEAN CHARTER FOR RESEARCHERS

The European Charter for Researchers is a set of general principles and requirements which specifies the roles, responsibilities and entitlements of researchers as well as of employers and/or funders of researchers[20]. The aim of the Charter is to ensure that the nature of the relationship between researchers and employers or funders is conducive to successful performance in generating, transferring, sharing and disseminating knowledge and technological development, and to the career development of researchers. The Charter also recognizes the value of all forms of mobility as a means for enhancing the professional development of researchers.

In this sense, the Charter constitutes a framework for researchers, employers and funders which invites them to act responsibly and as professionals within their working environment, and to recognise each other as such.

The Charter addresses all researchers in the European Union at all stages of their career and covers all fields of research in the public and private sectors, irrespective of the nature of the appointment or employment[21], the legal status of their employer or the type of organisation or establishment in which the work is carried out. It takes into account the multiple roles of researchers, who are appointed not only to conduct research and/or to carry out development activities but are also involved in supervision, mentoring, management or administrative tasks.

This Charter takes as its premise that researchers as well as employers and/or funders of researchers have an overriding obligation to ensure that they meet the requirements of the respective national or regional legislation. Where researchers enjoy a status and rights which are, in certain respects, more favourable than those provided for in this Charter, its terms should not be invoked to diminish the status and rights already acquired.

Researchers, as well as employers and funders, who adhere to this Charter will also be respecting the fundamental rights and observe the principles recognised by the Charter of Fundamental Rights of the European Union[22].

General Principles and Requirements applicable to Researchers:

Research Freedom

Researchers should focus their research for the good of mankind and for expanding the frontiers of scientific knowledge, while enjoying the freedom of thought and expression, and the freedom to identify methods by which problems are solved, according to recognised ethical principles and practices.

Researchers should, however, recognise the limitations to this freedom that could arise as a result of particular research circumstances (including supervision/guidance/management) or operational constraints, e.g. for budgetary or infrastructural reasons or, especially in the industrial sector, for reasons of intellectual property protection. Such limitations should not, however, contravene recognised ethical principles and practices, to which researchers have to adhere.

Ethical principles

Researchers should adhere to the recognised ethical practices and fundamental ethical principles appropriate to their discipline(s) as well as to ethical standards as documented in the different national, sectoral or institutional Codes of Ethics.

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[20]   See definition in Section 3.
[21]   See definition in Section 3.
[22]   Official Journal C 364, 18.12.2000 p. 0001-0022.

Professional responsibility

Researchers should make every effort to ensure that their research is relevant to society and does not duplicate research previously carried out elsewhere.

They must avoid plagiarism of any kind and abide by the principle of intellectual property and joint data ownership in the case of research carried out in collaboration with a supervisor(s) and/or other researchers. The need to validate new observations by showing that experiments are reproducible should not be interpreted as plagiarism, provided that the data to be confirmed are explicitly quoted.

Researchers should ensure, if any aspect of their work is delegated, that the person to whom it is delegated has the competence to carry it out.

Professional attitude

Researchers should be familiar with the strategic goals governing their research environment and funding mechanisms, and should seek all necessary approvals before starting their research or accessing the resources provided.

They should inform their employers, funders or supervisor when their research project is delayed, redefined or completed, or give notice if it is to be terminated earlier or suspended for whatever reason.

Contractual and legal obligations

Researchers at all levels must be familiar with the national, sectoral or institutional regulations governing training and/or working conditions. This includes Intellectual Property Rights regulations, and the requirements and conditions of any sponsor or funders, independently of the nature of their contract. Researchers should adhere to such regulations by delivering the required results (e.g. thesis, publications, patents, reports, new products development, etc) as set out in the terms and conditions of the contract or equivalent document.

Accountability

Researchers need to be aware that they are accountable towards their employers, funders or other related public or private bodies as well as, on more ethical grounds, towards society as a whole. In particular, researchers funded by public funds are also accountable for the efficient use of taxpayers' money. Consequently, they should adhere to the principles of sound, transparent and efficient financial management and cooperate with any authorised audits of their research, whether undertaken by their employers/funders or by ethics committees.

Methods of collection and analysis, the outputs and, where applicable, details of the data should be open to internal and external scrutiny, whenever necessary and as requested by the appropriate authorities.

Good practice in research

Researchers should at all times adopt safe working practices, in line with national legislation, including taking the necessary precautions for health and safety and for recovery from information technology disasters, e.g. by preparing proper back-up strategies. They should also be familiar with the current national legal requirements regarding data protection and confidentiality protection requirements, and undertake the necessary steps to fulfil them at all times.

Dissemination, exploitation of results

All researchers should ensure, in compliance with their contractual arrangements, that the results of their research are disseminated and exploited, e.g. communicated, transferred into other research settings or, if appropriate, commercialised. Senior researchers, in particular, are expected to take a lead in ensuring that research is fruitful and that results are either exploited commercially or made accessible to the public (or both) whenever the opportunity arises.

Public engagement

Researchers should ensure that their research activities are made known to society at large in such a way that they can be understood by non-specialists, thereby improving the public's understanding of science. Direct engagement with the public will help researchers to better understand public interest in priorities for science and technology and also the public's concerns.

Relation with supervisors

Researchers in their training phase should establish a structured and regular relationship with their supervisor(s) and faculty/departmental representative(s) so as to take full advantage of their relationship with them.

This includes keeping records of all work progress and research findings, obtaining feedback by means of reports and seminars, applying such feedback and working in accordance with agreed schedules, milestones, deliverables and/or research outputs.

Supervision and managerial duties

Senior researchers should devote particular attention to their multi-faceted role as supervisors, mentors, career advisors, leaders, project coordinators, managers or science communicators. They should perform these tasks to the highest professional standards. With regard to their role as supervisors or mentors of researchers, senior researchers should build up a constructive and positive relationship with the early-stage researchers, in order to set the conditions for efficient transfer of knowledge and for the further successful development of the researchers' careers.

Continuing Professional Development

Researchers at all career stages should seek to continually improve themselves by regularly updating and expanding their skills and competencies. This may be achieved by a variety of means including, but not restricted to, formal training, workshops, conferences and e-learning.

General Principles and Requirements applicable to Employers and Funders:

Recognition of the profession

All researchers engaged in a research career should be recognised as professionals and be treated accordingly. This should commence at the beginning of their careers, namely at postgraduate level, and should include all levels, regardless of their classification at national level (e.g. employee, postgraduate student, doctoral candidate, postdoctoral fellow, civil servants).

Non-discrimination

Employers and/or funders of researchers will not discriminate against researchers in any way on the basis of gender, age, ethnic, national or social origin, religion or belief, sexual orientation, language, disability, political opinion, social or economic condition.

Research environment

Employers and/or funders of researchers should ensure that the most stimulating research or research training environment is created which offers appropriate equipment, facilities and opportunities, including for remote collaboration over research networks, and that the national or sectoral regulations concerning health and safety in research are observed. Funders should ensure that adequate resources are provided in support of the agreed work programme.

Working conditions

Employers and/or funders should ensure that the working conditions for researchers, including for disabled researchers, provide where appropriate the flexibility deemed essential for successful research performance in accordance with existing national legislation and with national or sectoral collective-bargaining agreements. They should aim to provide working conditions which allow both women and men researchers to combine family and work, children and career[23]. Particular attention

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[23]   See SEC (2005) 260, Women and Science: Excellence and Innovation – Gender Equality in Science.

should be paid, *inter alia,* to flexible working hours, part-time working, tele-working and sabbatical leave, as well as to the necessary financial and administrative provisions governing such arrangements.

Stability and permanence of employment

Employers and/or funders should ensure that the performance of researchers is not undermined by instability of employment contracts, and should therefore commit themselves as far as possible to improving the stability of employment conditions for researchers, thus implementing and abiding by the principles and terms laid down in the *EU Directive on Fixed-Term Work[24].*

Funding and salaries

Employers and/or funders of researchers should ensure that researchers enjoy fair and attractive conditions of funding and/or salaries with adequate and equitable social security provisions (including sickness and parental benefits, pension rights and unemployment benefits) in accordance with existing national legislation and with national or sectoral collective bargaining agreements. This must include researchers at all career stages including early-stage researchers, commensurate with their legal status, performance and level of qualifications and/or responsibilities.

Gender balance[25]

Employers and/or funders should aim for a representative gender balance at all levels of staff, including at supervisory and managerial level. This should be achieved on the basis of an equal opportunity policy at recruitment and at the subsequent career stages without, however, taking precedence over quality and competence criteria. To ensure equal treatment, selection and evaluation committees should have an adequate gender balance.

Career development

Employers and/or funders of researchers should draw up, preferably within the framework of their human resources management, a specific career development strategy for researchers at all stages of their career, regardless of their contractual situation, including for researchers on fixed-term contracts. It should include the availability of mentors involved in providing support and guidance for the personal and professional development of researchers, thus motivating them and contributing to reducing any insecurity in their professional future. All researchers should be made familiar with such provisions and arrangements.

Value of mobility

Employers and/or funders must recognise the value of geographical, intersectoral, inter- and trans-disciplinary and virtual[26] mobility as well as mobility between the public and private sector as an important means of enhancing scientific knowledge and professional development at any stage of a researcher's career. Consequently, they should build such options into the specific career development strategy and fully value and acknowledge any mobility experience within their career progression/appraisal system.

This also requires that the necessary administrative instruments be put in place to allow the portability of both grants and social security provisions, in accordance with national legislation.

Access to research training and continuous development

Employers and/or funders should ensure that all researchers at any stage of their career, regardless of their contractual situation, are given the opportunity for professional development and for improving their employability through access to measures for the continuing development of skills and competencies.

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[24]   Which aims to prevent fixed-term employees from being treated less favourably than similar permanent employees, to prevent abuse arising from the use of successive fixed-term contracts, to improve access to training for fixed-term employees and to ensure that fixed-term employees are informed about available permanent jobs. Council Directive 1999/70/EC concerning the "Framework Agreement on fixed-term work" concluded by ETUC, UNICE and CEEP, adopted on 28 June 1999.

[25]   See SEC (2005) 260, Women and Science: Excellence and Innovation – Gender Equality in Science.

[26]   i.e. remote collaboration over electronic networks.

Such measures should be regularly assessed for their accessibility, take-up and effectiveness in improving competencies, skills and employability.

Access to career advice

Employers and/or funders should ensure that career advice and job placement assistance, either in the institutions concerned, or through collaboration with other structures, is offered to researchers at all stages of their careers, regardless of their contractual situation.

Intellectual Property Rights

Employers and/or funders should ensure that researchers at all career stages reap the benefits of the exploitation (if any) of their R&D results through legal protection and, in particular, through appropriate protection of Intellectual Property Rights, including copyrights.

Policies and practices should specify what rights belong to researchers and/or, where applicable, to their employers or other parties, including external commercial or industrial organisations, as possibly provided for under specific collaboration agreements or other types of agreement.

Co-authorship

Co-authorship should be viewed positively by institutions when evaluating staff, as evidence of a constructive approach to the conduct of research. Employers and/or funders should therefore develop strategies, practices and procedures to provide researchers, including those at the beginning of their research careers, with the necessary framework conditions so that they can enjoy the right to be recognised and listed and/or quoted, in the context of their actual contributions, as co-authors of papers, patents, etc, or to publish their own research results independently from their supervisor(s).

Supervision

Employers and/or funders should ensure that a person is clearly identified to whom early-stage researchers can refer for the performance of their professional duties, and should inform the researchers accordingly.

Such arrangements should clearly define that the proposed supervisors are sufficiently expert in supervising research, have the time, knowledge, experience, expertise and commitment to be able to offer the research trainee appropriate support and provide for the necessary progress and review procedures, as well as the necessary feedback mechanisms.

Teaching

Teaching is an essential means for the structuring and dissemination of knowledge and should therefore be considered a valuable option within the researchers' career paths. However, teaching responsibilities should not be excessive and should not prevent researchers, particularly at the beginning of their careers, from carrying out their research activities.

Employers and/or funders should ensure that teaching duties are adequately remunerated and taken into account in the evaluation/appraisal systems, and that time devoted by senior members of staff to the training of early stage researchers should be counted as part of their teaching commitment. Suitable training should be provided for teaching and coaching activities as part of the professional development of researchers.

Evaluation/appraisal systems

Employers and/or funders should introduce for all researchers, including senior researchers, evaluation/appraisal systems for assessing their professional performance on a regular basis and in a transparent manner by an independent (and, in the case of senior researchers, preferably international) committee.

Such evaluation and appraisal procedures should take due account of their overall research creativity and research results, e.g. publications, patents, management of research, teaching/lecturing, supervision, mentoring, national or international collaboration, administrative duties, public awareness activities and mobility, and should be taken into consideration in the context of career progression.

Complaints/appeals

Employers and/or funders of researchers should establish, in compliance with national rules and regulations, appropriate procedures, possibly in the form of an impartial (ombudsman-type) person to deal with complaints/appeals of researchers, including those concerning conflicts between supervisor(s) and early-stage researchers. Such procedures should provide all research staff with confidential and informal assistance in resolving work-related conflicts, disputes and grievances, with the aim of promoting fair and equitable treatment within the institution and improving the overall quality of the working environment.

Participation in decision-making bodies

Employers and/or funders of researchers should recognise it as wholly legitimate, and indeed desirable, that researchers be represented in the relevant information, consultation and decision-making bodies of the institutions for which they work, so as to protect and promote their individual and collective interests as professionals and to actively contribute to the workings of the institution[27].

Recruitment

Employers and/or funders should ensure that the entry and admission standards for researchers, particularly at the beginning at their careers, are clearly specified and should also facilitate access for disadvantaged groups or for researchers returning to a research career, including teachers (of any level) returning to a research career.

Employers and/or funders of researchers should adhere to the principles set out in the Code of Conduct for the Recruitment of Researchers when appointing or recruiting researchers.

<div align="center">SECTION 2: THE CODE OF CONDUCT FOR THE RECRUITMENT OF RESEARCHERS</div>

The code of conduct for the recruitment of researchers consists of a set of general principles and requirements that should be followed by employers and/or funders when appointing or recruiting researchers. These principles and requirements should ensure observance of values such as transparency of the recruitment process and equal treatment of all applicants, in particular with regard to the development of an attractive, open and sustainable European labour market for researchers, and are complementary to those outlined in the European Charter for Researchers. Institutions and employers adhering to the Code of Conduct will openly demonstrate their commitment to act in a responsible and respectable way and to provide fair framework conditions to researchers, with a clear intention to contribute to the advancement of the European Research Area.

<div align="center">**General Principles and Requirements for the Code of Conduct**</div>

Recruitment

Employers and/or funders should establish recruitment procedures which are open[28], efficient, transparent, supportive and internationally comparable, as well as tailored to the type of positions advertised.

Advertisements should give a broad description of knowledge and competencies required, and should not be so specialised as to discourage suitable applicants. Employers should include a description of the working conditions and entitlements, including career development prospects. Moreover, the time allowed between the advertisement of the vacancy or the call for applications and the deadline for reply should be realistic.

Selection

Selection committees should bring together diverse expertise and competences and should have an adequate gender balance and, where appropriate and feasible, include members from different sectors (public and private) and disciplines, including from other countries and with relevant experience to assess the candidate. Whenever possible, a wide range of selection practices should be

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27   In this context see also EU Directive 2002/14/EC.
28   All available instruments should be used, in particular international or globally accessible web-based resources such as the pan-European Researcher's Mobility Portal: http://europa.eu.int/eracareers.

used, such as external expert assessment and face-to-face interviews. Members of selection panels should be adequately trained.

Transparency

Candidates should be informed, prior to the selection, about the recruitment process and the selection criteria, the number of available positions and the career development prospects. They should also be informed after the selection process about the strengths and weaknesses of their applications.

Judging merit

The selection process should take into consideration the whole range of experience[29] of the candidates. While focusing on their overall potential as researchers, their creativity and level of independence should also be considered.

This means that merit should be judged qualitatively as well as quantitatively, focusing on outstanding results within a diversified career path and not only on the number of publications. Consequently, the importance of bibliometric indices should be properly balanced within a wider range of evaluation criteria, such as teaching, supervision, teamwork, knowledge transfer, management of research and innovation and public awareness activities. For candidates from an industrial background, particular attention should be paid to any contributions to patents, development or inventions.

Variations in the chronological order of CVs

Career breaks or variations in the chronological order of CVs should not be penalised, but regarded as an evolution of a career, and consequently, as a potentially valuable contribution to the professional development of researchers towards a multidimensional career track. Candidates should therefore be allowed to submit evidence-based CVs, reflecting a representative array of achievements and qualifications appropriate to the post for which application is being made.

Recognition of mobility experience

Any mobility experience, e.g. a stay in another country/region or in another research setting (public or private) or a change from one discipline or sector to another, whether as part of the initial research training or at a later stage of the research career, or virtual mobility experience, should be considered as a valuable contribution to the professional development of a researcher.

Recognition of qualifications

Employers and/or funders should provide for appropriate assessment and evaluation of the academic and professional qualifications, including non-formal qualifications, of all researchers, in particular within the context of international and professional mobility. They should inform themselves and gain a full understanding of rules, procedures and standards governing the recognition of such qualifications and, consequently, explore existing national law, conventions and specific rules on the recognition of these qualifications through all available channels[30].

Seniority

The levels of qualifications required should be in line with the needs of the position and not be set as a barrier to entry. Recognition and evaluation of qualifications should focus on judging the achievements of the person rather than his/her circumstances or the reputation of the institution where the qualifications were gained. As professional qualifications may be gained at an early stage of a long career, the pattern of lifelong professional development should also be recognised.

Postdoctoral appointments

Clear rules and explicit guidelines for the recruitment and appointment of postdoctoral researchers, including the maximum duration and the objectives of such appointments, should be established by the institutions appointing postdoctoral researchers. Such guidelines should take into account time spent in prior postdoctoral appointments at other institutions and take into consideration that the

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[29] See also The European Charter for Researchers: Evaluation/Appraisal systems in Section 1 of this document.

[30] Look at http://www.enic-naric.net/ to find more detailed information about the NARIC Network (National Academic Recognition Information Centres and the ENIC Network (European Network of Information Centres).

postdoctoral status should be transitional, with the primary purpose of providing additional professional development opportunities for a research career in the context of long-term career prospects.

<div align="center">SECTION 3: DEFINITIONS</div>

Researchers

For the purpose of this Recommendation the internationally recognised Frascati definition of research[31] will be used. Consequently, researchers are described as

"Professionals engaged in the conception or creation of new knowledge, products, processes, methods and systems, and in the management of the projects concerned."

More specifically, this Recommendation relates to all persons professionally engaged in R&D at any career stage[32], regardless of their classification. This includes any activities related to "basic research", "strategic research", "applied research", experimental development and "transfer of knowledge" including innovation and advisory, supervisory and teaching capacities, the management of knowledge and intellectual property rights, the exploitation of research results or scientific journalism.

A distinction is made between Early-Stage Researcher and Experienced Researchers:

- The term Early-Stage Researcher[33] refers to researchers in the first four years (full-time equivalent) of their research activity, including the period of research training.

- Experienced Researchers[34] are defined as researchers having at least four years of research experience (full-time equivalent) since gaining a university diploma giving them access to doctoral studies, in the country in which the degree/diploma was obtained or researchers already in possession of a doctoral degree, regardless of the time taken to acquire it.

Employers

In the context of this Recommendation "employers" refers to all those public or private institutions which employ researchers on a contractual basis or which host them under other types of contracts or arrangements, including those without a direct financial relationship. The latter refers particularly to institutions of higher education, faculty departments, laboratories, foundations or private bodies where researchers either undergo their research training or carry out their research activities on the basis of funding provided by a third party.

Funders

"Funders" refers to all those bodies[35] which provide funding, (including stipends, awards, grants and fellowships) to public and private research institutions, including institutions for higher education. In this role they might stipulate as a key condition for providing funding that the funded institutions should have in place and apply effective strategies, practices and mechanisms according to the general principles and requirements presented in this Recommendation.

Appointment or employment

This refers to any type of contract or stipend or to a fellowship, grant or awards financed by a third party including funding within the context of the Framework Programme(s)[36].

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31   In: Proposed Standard Practice for Surveys on Research and Experimental Development, Frascati Manual, OECD, 2002.
32   COM (2003) 436 of 18.7. 2003: Researchers in the ERA: One profession, multiple careers.
33   See Work Programme Structuring the European Research Area Human Resources and Mobility Marie Curie Actions, edition September 2004, page 41.
34   Idem, page 42.
35   The Community will endeavour to apply the commitments laid down in this Recommendation to the receiver of funding in the context of the Framework Programme(s) for Research, Technological Development and Demonstration Activities.
36   The Framework Programme(s) for Research, Technological Development and Demonstration Activities.

3. The implementation of Bologna reforms in higher education institutions

The Trends IV report is available on the EUA Convention website:
www.EUAconvention.org

Documents in the Reader

- Recommendation from EUA and the national ECTS Counsellors regarding the role of ECTS in the elaboration of a European Qualifications Framework (23 June 2004)

- *Implementing Bologna*, Summary of Network 4 report co-ordinated by Jürgen Kohler, in "*Developing an internal quality culture in European universities*": Report on the EUA Quality Culture Project, 2002 – 2003

- Conclusions of the Bologna seminar on "*The social dimension of the EHEA and world-wide competition*", 27-28 January 2005, Paris, France

- Conclusions of the Bologna seminar on "*The Framework for Qualifications of the European Higher Education Area*", 13-14 January 2005, Copenhagen, Denmark

- Conclusions of the Bologna seminar on "*The employability and its links to the objectives of the Bologna Process*", 22-23 October 2004, Bled, Slovenia

Documents available on the EUA Convention website: www.EUAconvention.org

- Trends I: Trends in Learning Structures in Higher Education, August 1999

- Trends II: Trends in Learning Structures in Higher Education, April 2001

- Trends III: Progress towards the European Higher Education Area, July 2003

- Developing Joint Masters Programmes for Europe (Results of the EUA Joint Masters Project, March 2002 - January 2004)

- "*Using Learning Outcomes: A Consideration of the Nature, Role, Application and Implications for European Education of Employing Learning Outcomes at the Local, National and International Levels*" by Stephen Adam, University of Westminster, June 2004, for the UK Bologna Seminar on Learning Outcomes, July 2004, Edinburgh, Scotland

- "*Towards 2010 - Common Themes and Approaches across Higher Education and Vocational Education and Training in Europe*", a background research paper by Cynthia Deane and Elizabeth Watters for the Irish Presidency Conference, 8 march 2004

Documents available on partners' websites

- Conclusions of the **Bologna seminars** and other reports can be found on the Bologna-Bergen website at: http://www.bologna-bergen2005.no/

  ➢ "*A Framework for Qualifications of the European Higher Education Area*", a report by the Bologna Working Group on Qualifications Frameworks, published by the Danish Ministry of Science, Technology and Innovation, February 2005 http://www.bologna-bergen2005.no/Docs/00-Main_doc/050218_QF_EHEA.pdf

  ➢ Report of the international conference on "*New Generations of Policy Documents and Laws for Higher Education: Their Thrust in the Context of the Bologna Process*", Warsaw, Poland 4-6 November 2004 http://www.bologna-bergen2005.no/EN/Bol_sem/Seminars/041104-06Warsaw/041104-06_Report.pdf

- "*Tuning educational structures in Europe*". The Final Report and Conclusions of phase I of the Tuning project and information on phase II can be found on the websites of the two coordinating universities:
  University of Deusto, Bilbao (Spain): www.relint.deusto.es/TuningProject/index.htm
  University of Groningen (The Netherlands): www.let.rug.nl/TuningProject/index.htm

- Conclusions of the Seminar on "Higher Education: Short Cycle", 24 January 2005, Amsterdam, the Netherlands, can be found on the **EURASHE** website at: http://www.eurashe.be

- **ACA** papers *on International Cooperation in Education* are available on: http://www.aca-secretariat.be

- "*Dublin Descriptors*" can be found on the website of the **Joint Quality Initiative**: http://www.jointquality.org

- Documents of interest for the Bologna theme can be found on the **SEFI** and **CESAER** websites at: http://www.ntb.ch/sefi/   and   http://www.cesaer.org

- ESIB 2003 policy papers on degree structures, mobility, ECTS, the Bologna Process, can be found on **ESIB** website at: http://www.esib.org/

- A summary of the Findings of the *EURODOC 2004 Questionnaire* can be found at: http://www.eurodoc.net

- The ECTS Users' Guide, information on the Diploma Supplement and Europass as well as other relevant documents can be found on **the European Commission**'s website at: http://europa.eu.int/comm/education/programmes/socrates/erasmus/erasmus_en.html

- Key tools and documents on recognition issues are available on the **Council of Europe** and **ENIC/NARIC** websites:
  http://www.coe.int/T/E/Cultural_Co-operation/education/Higher_education/ and
  http://www.enic-naric.net

**EUA RECOMMENDATION ON THE ROLE OF ECTS IN THE ELABORATION
OF A EUROPEAN QUALIFICATIONS FRAMEWORK (EQF)**

EUA originally formulated this recommendation as the coordinator of the ECTS and DS Counsellors. Following a discussion in the Bologna EQF Working Group it was sent to national Rectors' Conferences for comments. The text has been updated to take account of the feedback received and was adopted at the Maastricht Council meeting on 28 October 2004

1. The October 2002 Zürich 'Bologna Preparatory' Conference demonstrated the support of Europe's universities for the implementation of ECTS as a generalised credit system for the EHEA. In particular the importance of the further development of ECTS as a credit accumulation system was underlined as a means of facilitating mobility both inside systems and internationally, and allowing transfer from outside the higher education context. In this way attention was drawn to the major role the use of credits plays in facilitating lifelong learning and promoting greater flexibility in learning and qualification processes more generally.

2. For all these reasons it was agreed in Zürich that the use of ECTS makes a major contribution to the Bologna goals of improving transparency and comparability of study programmes and qualifications and facilitating the mutual recognition of qualifications. This can be considered in itself as an important step towards helping describe qualifications and making them more transparent.

3. Ministers in Berlin echoed these sentiments through their call to implement ECTS not only as a transfer but also as an accumulation system and by calling upon those working on Qualifications Frameworks for the EHEA to 'encompass the wide range of flexible learning paths, opportunities and techniques and to make appropriate use of ECTS credits'.

4. For these reasons the EUA and the ECTS Counsellors recommend that from the outset the European Overarching Qualifications Framework should be conceived of as an integrated Credit and Qualifications Framework, thus implying that cycles, levels and qualifications may be described in terms of ECTS credits[37]. This recommendation is based upon the experience of some 15 years of piloting, with Socrates ERASMUS support, and now implementing ECTS across the vast majority of the Bologna signatory countries.

5. The decision to develop a credit based Qualification Framework at European level should be taken at the outset of the process. Although perhaps more complex a task initially, this takes account of the fact that broad agreement has already reached on the use of ECTS credits for the EHEA and indeed that a significant number of countries have introduced ECTS into their national legislation. It is therefore preferable, and indeed more useful to work being undertaken at national level, than the alternative of integrating them at a later stage.

6. This recommendation is made bearing in mind that the proposed overarching European QF must limit itself to describing a broad generic structure including those elements considered indispensable to ensuring comparable and compatible qualifications within the EHEA. We firmly believe that a credit based approach is one such indispensable element in this process.

7. The growing awareness of the importance of facilitating in very practical ways lifelong learning also speaks strongly in favour of conceiving of a Credit and Qualification Framework from the outset as a means of incorporating informal and non formal learning, and affording institutions a common language for describing all types of learning.

8. A Credit and Qualifications Framework places learners firmly at the centre, enabling them to gain credit for their learning and facilitating the process of the transfer and accumulation of credits between programmes and institutions. The utilization of a credit based system will thus facilitate the goal of reaching a single system of credit transfer and accumulation for lifelong learning compatible across all sectors of higher education and vocational education and training. In this way it takes account of the wider Lisbon Agenda and the recommendations made in the Spring 2004 Report "Education and Training 2010".

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[37] This does not preclude use of other level descriptors

9.   In a Credit and Qualifications Framework credits need to be linked to learning outcomes and expressed in terms of notional workload, thus making the learning outcomes easier to compare, and expressing more clearly their value or 'currency'. This in turn increases the transparency of and compatibility between diverse national systems.

10. The experience of ECTS leads furthermore to the strong recommendation that the link between credits and levels and cycles be further developed. The importance of further investigating this link was already underlined in the conclusions of the Zürich Conference in October 2002.

11. It also follows that there may be a need for a further subdivision of the existing Bologna 3 cycles into 'sub-levels' in order to be able to show progression through the higher education system. This is, for example, crucial in terms of increasing access which in turn means being able to define attainable goals within shorter periods than those envisaged for final first cycle qualifications, and also provides a response to the request by Ministers in the Berlin Communiqué 'to explore whether and how shorter higher education may be linked to the first cycle of a Qualifications Framework'.

12. The use of credits permits the necessary articulation between sub-levels and cycles each with their own specific learning outcomes. The elaboration of a European framework should therefore provide guidance on level and cycle descriptors in order to provide a structure and reference points for standards, learning, assessment etc

13. We strongly recommend further action on this question and are ready as experienced practitioners representing the main stakeholders to work further on the concepts involved, and in particular on the definition of learning outcomes in terms of level/cycle descriptors, with a view to providing practical advice to those involved in the elaboration of qualification frameworks in their particular national contexts.

Brussels, 25 October 2004

Summary of Network 4 report co-ordinated by Jürgen Kohler

in "**Developing an internal quality culture in European universities:
Report on the EUA Quality Culture Project, 2002 – 2003**"

The network of universities that focused on the Bologna process in Round I of the EUA Quality Culture Project has produced a blueprint for implementing major reforms when these are framed by external actors. It identifies a sequence that requires developing a schedule and milestones, and communicating with internal and external stakeholders constantly to ensure their adhesion. The implementation process is balanced between a top-down and a bottom-up approach:

- *Awareness Phase*: create acceptance for the need for reforms, generate commitment and find appropriate internal and external partners

- *Concept Phase*: based on a SWOT analysis, develop the strategic institutional mission, which includes identifying the institution's position, niche, public perceptions, and priorities.

- *Implementation Phase*: allocate responsibilities across the institution and co-ordinate activities at central level

- *Evaluation*: All the while, the central level must monitor the implementation process in compliance with the overarching guidelines and the institutional mission. The report stresses the need for "constant iterative feedback… (to) add a dynamic element to the Bologna Process… assure coherence and detect errors as early as possible in the process in order to correct them immediately." (p.25)

Furthermore, the model identifies the key actors – academic and administrative staff, students, external stakeholders – and stresses their important contributions to the process and underlines the need to provide funding for this process.

Finally, the Network recommends working with the established institutional committees to design the overall strategy and to create a Bologna steering committee to co-ordinate the implementation across faculties and ensure its coherent application (p.30). A more detailed analysis is provided below.

1. Implementation Strategies

The method developed by the network was to intersect the Bologna process as a frame of reference with the individual SWOT analyses in order to identify the action lines that are required in each institution.

1.1 Concept

The following set of success factors relate to the Bologna concept itself and shows how the main conceptual tools help with implementing the reform package.

a) Mission

The functions of a mission statement are:

- To offer orientation for defining the primary goals of the study programme and give guidance for future development. These must be coherent with the general mission of the institution.

- To crystallise the organizational culture and, more specifically, the quality culture. Since the mission represents the common denominator between sometimes very different faculties, it is important to find a common theme with which the whole community can identify.

- To communicate with the external world and describe the study programme concisely for use as a marketing tool to promote the values and the self-conception of the programme.

b) General Criteria for Programme Development

The core idea of the mission statement is translated into practice by formulating general and concrete criteria for programme development which can be used for the internal evaluation of programmes. A useful set of criteria are (1) the general principles of the Bologna declaration; (2) the specific objectives of the institution; (3) the educational concept of the institution; (4) the general principles of

curriculum development; and (5) a set of specific principles with respect to the bachelor and the master level programmes.

1.2 People and Institutions

This set of strategies is connected with the institutional and human resource structure of the reform process.

a) Committee Structure

A committee structure can be a useful approach in developing and implementing Bologna tools, reforming study programmes and ensuring the representation of all stakeholders. The committee structure might include the following committees: (1) central steering committee that develops central guidelines and concepts, (2) programme committees that develop and implement single study programmes, and (3) an accreditation committee that evaluates new programmes internally according to defined guidelines.

b) Human Resources: sharing functions

It is crucial to allocate responsibilities and coordinate among the actors at different levels effectively:

- Senior management must signal the will to change, propose the strategic direction, set major milestones, disseminate the key ideas, and coordinate the reform process.

- At the faculty level, a steering committee brings together stakeholders and professionals to assure the necessary breadth of the reform process, coordinates the reform efforts within the faculties and serves as a liaison between senior management and the next two levels.

- At the programme level, new study programmes are conceptualized. The programme level combines competence and proximity to implementation problems in order to carry out this task in the most effective way.

- Last but not least, a strong working level is essential. Here, the actual concepts are prepared and implemented to translate the strategic targets of senior management and of the steering level into concrete actions.

c) Human Resources: Capacity and Competence

Who should be responsible for implementing the reform? There are two options:

- Academic staff: although academic staff is eminently suited for this task it may constitute an extra workload.
- Specially appointed administrative staff as support to the academic staff.

Individual competences and responsibilities must be clearly defined to foster greater commitment and sense of ownership and ensure effective and timely co-ordination.

d) Information and mobilisation of the academic community

Information plays a crucial role in a reform process to reduce resistance to change and draw attention to the university by establishing its profile as a modern institution. In addition, the reform process needs to evoke enthusiasm and mobilise university members. That is why it is important to be successful and, crucially, to demonstrate this success to university members. This will produce a success culture which enables the institution to promote reforms more easily.

1.3 Process

Strategies related to the process of implementation give information about how the reform is taking place, i.e., which mechanisms and tools are used to implement new study programmes.

a) Implementation Approach

There are several possible approaches to implement a reform programme.

- *The Unitary Approach* is a comprehensive implementation concept that seeks to carry out the reform programme in the whole institution at once and covers all aspects of the reform package and all faculties. There are advantages to this approach which ensures coherence, efficiency and commitment.

- *The Segmented Approach* carries out the reform programme in several steps (e.g., a few faculties start to implement Bologna study programmes or some parts of the Bologna tool-kit (i.e., ECTS) are implemented). This strategy allows the university to capitalise on "reform champions" and learn from a smaller set of experiences. The main disadvantage of this approach is in the risk of deadlock; if the reforms are not progressing as planned the reluctant parts of the organisation could be discouraged with a possible risk of rollback.

- *A mixture of the two strategies*, i.e. only one tool can be implemented within the entire institution. This might have two advantages. First, fewer resources are needed to implement only one feature of the Bologna reforms at a time, which can lower the overall resistance against reform. Second, if one tool is implemented successfully, the ideas of the reform are better conceived by all university members and may reduce resistance against other reform features. The drawback of this strategy is that synergy effects that arise from the combination of all reform features cannot be used.

- *Pilot projects* are a good way to experiment, within a controlled environment, with a view for a more comprehensive implementation to follow. This approach allows an institution to test different processes thoroughly before it chooses its standards for implementation and improves information on the entire reform project.

b) Guidelines

Guidelines, with concrete instructions, are useful and even necessary to support programme development and implementation in a complex process like the Bologna reforms. The guidelines are both an implementation support tool and a quality assurance tool, therefore leading to more coherence and firmness in implementation.

c) Phases

A reform process in two phases is useful. The first phase includes the proposal and drafting of a general outline of contents and structure of study programmes, following strict guidelines. The proposed programmes are reviewed and given the green light to develop a detailed curriculum. This increases the efficiency of the process as quality assurance steps at an early stage contribute to correct programmes that might conflict with the guidelines.

d) Schedule

A strict schedule is very important for the implementation process to discipline participants and minimise procrastination.

e) Evaluation parallel to the Process

Setting up evaluation in parallel to the implementation process can help in detecting problems and deviations from the guidelines and concepts at an early stage and in taking counter measures. A process-accompanying evaluation is more efficient that mere end-of-line evaluation.

1.4 Environmental Factors

Environmental factors that influence implementation are external factors and as such are not under the university's control.

a) National Legislation

Some European countries have adopted national legislation requiring the implementation of the Bologna Declaration. This approach has both positive and negative aspects.

On the positive side, it allows for better synergy and momentum as all actions are directed toward the same objectives and all players share the same problems and can benchmark their progress. Any opposition to the reform must be aired which results in clarification and constructive debate, thus avoiding the risk of mere passive resistance or non-participation.

On the negative side, centrally steered Bologna reforms imply a curtailment of university autonomy in planning and design and a "top-down" approach. Gradualism is lacking, not so much in a sense of time, but from a qualitative point of view: there is no opportunity to begin by involving the more convinced and committed people and then move on step by step towards wider involvement. Moreover, and somewhat paradoxically, the fact that European reforms are mediated by a national Ministry of Education is misleading in that universities may lose track of the "European" dimension of the new features.

However, a state imposed implementation need not necessarily be a top-down approach. There is still room for bottom-up features and dialogue between ministry and universities. This can be done by working groups on the national level that consist of representatives from universities and the ministry with a clear mandate to design and shape new legislation. This approach maintains the autonomy of higher education institutions and at the same time imposes some pressure on them to work in a constructive way for new standards in higher education.

b) Funding

Reform efforts always require additional human resources that can be a drain on core funding. If extra public funding is not available it is useful to turn to third party funding (e.g., foundations will support reform projects).

RECOMMENDATIONS
Bologna Seminar on "*The social dimension of the European higher education area and world-wide competition*"
Paris, France, 27-28 January 2005

Ministers in charge of higher education meeting in Berlin on september 18th and 19th 2003 stressed the importance of social dimension in the building up of the European higher education area (EHEA):

'Ministers reaffirm the importance of the social dimension in the Bologna Process. The need to increase competitiveness must be balanced with the objective of improving the social characteristics of the European Higher Education Area, aiming at strengthening social cohesion and reducing social inequalities both at national and at European level. Ministers reaffirm their position that higher education is a public good and a public responsibility.

Ministers take into due consideration the conclusions of the European Councils in Lisbon (2000) and Barcelona (2002) aimed at making Europe 'the most competitive and dynamic knowledgebased economy in the world, capable of sustainable economic growth with more and better jobs and greater social cohesion' and calling for further action and closer cooperation in the context of the Bologna Process.

'Ministers agree that the attractiveness and openness of the European higher education should be reinforced. They confirm their readiness to further develop scholarship programmes for students from third countries.

Ministers declare that transnational exchanges in higher education should be governed on the basis of academic quality and academic values, and agree to work in all appropriate fora to that end.'

'Ministers stress the need for appropriate studying and living conditions for the students, so that they can successfully complete their studies within an appropriate period of time without obstacles related to their social and economic background. They also stress the need for more comparable data on the social and economic situation of students.'

Meant by Ministers to be a counterbalance to the need to increase Europe's competitiveness, the social dimension proves to be, at the end of the seminar, a constituent element of the EHEA and a necessary condition of its attractiveness in world-wide competition.

So our seminar considered the social dimension of the EHEA as the whole set of mechanisms aiming to ensure equality of opportunities and social cohesion in order to lead the great majority of young people to the best possible level and to the best fulfilment of their potential. The social dimension of the EHEA therefore integrates the processes of access to higher education but also counselling policies in view of the students' success, financial and material support and information and guidance policies as well.

Making real the knowledge society, aimed at by the Lisbon strategy, requires an increase, in each country, of a same age group having access to higher education. It will be possible only with a meaningful and appropriate counselling of students. In that sense, economic competition and social dimension go hand in hand.

The requirement for quality of higher education institutions in Europe is one of the cornerstones of an efficient EHEA, attractive to the rest of the world, that Ministers committed themselves to build by 2010. This attractiveness must be based on the highest academic level as well as on the quality of services students are provided with, in particular in terms of information, guidance and advice, housing and integration into the labour market.

Taking into account the social dimension implies to care for reducing failure rates to the maximum and by doing so for ensuring the best possible training level for the great majority of people.

A genuine mobility culture must be developed. In this perspective, the policy for the international opening up of institutions must care for integrating mobility in a successful learning path of every student and sees to develop a mobility of quality, notably with the development of appropriate linguistic preparations, counselling geared to student academic and social needs, financial support in order to allow mobility including post-graduates. Within Europe and towards third countries, the

development of mobility which is a key principle of the EHEA must be done on the basis of balanced exchanges aiming to strengthen higher education and economic growth in the countries mobile students and researchers come from.

ON THE BASIS OF THESE CONSIDERATIONS,

PARTICIPANTS TO THE SEMINAR ADMIT THAT:

- strengthening the social dimension of higher education is one of the conditions for making real a knowledge society, a core objective of the Lisbon strategy, which implies increasing the number of graduates from higher education through lifelong learning;

- social and economic background should not be a barrier to access to higher education, successful completion of studies and meaningful employment after graduation;

- taking into account the social dimension in the EHEA both at the national level and the European level contributes to the creation of a coherent, balanced and competitive European higher education area.

CONSEQUENTLY,

PARTICIPANTS TO THE SEMINAR RECOMMEND THAT:

- the process of building the European higher education area improve its social dimension and set it as a priority;

- in that perspective, a specific analytical survey, built on existing initiatives and under the authority of the Bologna Follow-Up Group (BFUG), focused on the social and economic situation of students, including obstacles to access and mobility and taking into account the lifelong learning objectives, should be carried out by 2007 in all Bologna member States;

- decisions for financing in the European higher education area take into account social cohesion objectives regarding access to higher education, living and studying conditions, financial and material support, services for students such as information, guidance and advice, and also mobility support at the European level and the national level alike;

- quality assurance mechanisms which are developing both internally and externally integrate as a must the social dimension in all aspects dealing with living and studying conditions and relate it to the multiple purposes of higher education and long-term results;

- beyond Bergen, in order to make the social dimension of the EHEA a reality, it is vital to secure the full involvement and the working together of national authorities, higher education institutions and students, which is the only guarantee for effectiveness.

RECOMMENDATIONS
Bologna Seminar on "Qualifications Frameworks"
København, Denmark, 13-14 January 2005

The participants in the conference on Qualification Frameworks, organized by the Danish authorities in København on January 13 – 14, 2005, recommend:

that the Ministers meeting in Bergen on May 19 – 20, 2005

- adopt the overarching framework for qualifications of the European Higher Education Area as proposed by the BFUG Working Group;
- mandate the BFUG to elaborate criteria and procedures for a selfcertification system for national framework of qualifications where quality assurance is included and to submit it for final adoption to the Ministerial meeting in 2007;
- delegate responsibility for the maintenance and development of the overarching framework to the Bologna Follow Up Group and any successor executive structure;
- commit to elaborating national framework of qualifications compatible with the overarching framework for qualifications of the European Higher Education Area by 2010;
- commit to taking adequate account of the overarching framework for qualifications of the European Higher Education Area, as well as to consulting all parties to the Bologna Process, in any future development of frameworks for other parts of the education system.

that public authorities responsible for national education system

- in elaborating and maintaining their respective national qualifications be guided by and ensure compatibility with the overarching framework for qualifications of the European Higher Education Area;
- involve all relevant stakeholders both within and outside of higher education;
- identify a clear and nationally agreed set of purposes for their national qualification framework;
- ensure that their national framework of qualifications explicitly link academic standards, national and institutional quality assurance systems and public understanding of the place and level of nationally recognized qualifications;
- ensure that the description of each qualification within their national framework of qualifications explicitly state:
  o to which further qualification(s) that particular qualification gives access;
  o the relationship of the qualification in question to the three generic cycles of the overarching framework;
- ensure that their national framework of qualifications associate the relevant transparency instruments, such as the Diploma Supplement, ECTS and Europass.
- ensure that their national framework facilitate learning paths that integrate non-formal and informal learning as well as various entry and exit points.

that higher education institutions as well as students and their organizations

- continue to contribute, as active stakeholders, to the development and maintenance of national framework of qualifications as well as the overarching framework for qualifications of the European Higher Education Area;
- ensure that the national framework of qualifications, and any alignment with the overarching framework for the EHEA, be referenced in all Diploma Supplements;
- make use of learning outcomes at the level of modules or units as well as at the level of qualifications.

that the ENIC and NARIC Networks and individual recognition centers

- provide clear and adequate information on the overarching framework for qualifications of the European Higher Education Area as well as on national frameworks to recognition networks and centers as well as higher education institutions in other parts of the world;
- consider a pilot project on using qualifications frameworks, in particular the overarching framework for qualifications of the European Higher Education Area, to facilitate the recognition of qualifications from other regions.

that the appropriate international institutions, organizations and bodies

- offer assistance to countries that may require advice or the participation of foreign experts in the elaboration and/or implementation of their national framework of qualifications, and that request such assistance;
- review current transparency instruments, such as the ECTS, the Diploma Supplement as well as other elements of Europass, in the light of the development of qualifications frameworks.

GENERAL CONCLUSIONS AND RECOMMENDATIONS
Bologna Seminar on "*Employability in the context of the Bologna process*"
Bled, Slovenia, 21-23 October 2004

1. General Conclusions

1.1 The seminar confirmed that *the objective of employability of graduates is one of the main cornerstones of the Bologna process.* Employability is a major objective on the way towards the establishment of a common European Higher Education Area, yet not the only one. It is also the context where a wide variety of stakeholders can work together on an aspect of the process.

1.2 As the term 'employability' itself is still a bit vague and sometimes even controversial the participants focused – in close connection to the various objectives of the Bologna Process – to its clarification. At this stage of discussions, they found as particularly comprehensive the following interpretation from the Enhancing Student Employability Co-ordination Team (ESECT) in England, presented at the seminar: *a set of achievements – skills, understandings and personal attributes – that make graduates more likely to gain employment and be successful in their chosen occupations, which benefits themselves, the workforce, the community and the economy.* Employability takes different emphasis in different programmes.

1.3 Society, the labour market and individuals demand from higher education to make a significant contribution in order to help achieving *sustainable employability*, including continuous self-development. Sustainable employability should not be regarded in opposition to life long learning, but life long learning should be understood as a meaningful way of enhancing one's employability.

1.4 *Bridging of academic studies and professional activities* and making firm links between them is beneficial for achieving an enhanced employability. Development of an Overarching Framework of Qualifications, covering higher education and vocational education and training in all countries – members to the Bologna process, is welcomed and should contribute to this end. In principle, internships are a recommended element of degree programmes. Employers and higher education institutions should give possibilities for internships in such a way that programme relevance is ensured.

1.5 Providing *broad possibilities and flexibility in terms of structure, content, orientation and profile of study as well as allowing for various pathways* should be understood as a strong contribution to employability. The one-fits-all, prescriptive and normative interpretation of employability and rigorous regulations hamper the development of personal and institutional profile and restrict programme flexibility. In this context, full advantage should be taken of the flexibility provided through the new two-cycle structure.

1.6 *High quality education is a key to achieving employability.* The main responsibility for the assurance of high quality education lies with institutions. Involvement of employers (public and private), trade unions and professional associations contributes to achieving the goal of employability. Feedback and advice from actors of the labour market on new curricula and Bologna-related reforms is considered by the participants as beneficial.

1.7 As the *acceptance and relevance of first cycle degrees* is partially lacking on the labour market, a concrete effort of all stakeholders is needed to raise awareness for them and their acceptance as meaningful, varied degrees in their own right. They either lead to the labour market or provide the ground for second cycle studies. This presupposes a variety of knowledge and skills, ranging from specific disciplinary understanding to broad personal and social competences to be developed. Higher education institutions should develop curricula in the way to enable students to make a real choice.

1.8 A serious caution over the distinction made between *academic and professional study programmes* is expressed as these concepts *are not mutually exclusive*. There is a much better way of distinguishing various studies if the distinction is made between *the research based* and *the research driven* types of higher education curricula.

1.9 From the *employability perspective* the seminar participants also suggest that:

- *first cycle degrees* should encompass general and specific disciplinary knowledge as well as development of personal qualities including the one of the autonomous learner, the capacity to approach new issues, communication skills and other transferable skills;

- *second cycle degrees* should either encompass specialized disciplinary knowledge or offer cross-disciplinary knowledge from different academic fields, as well as higher level cognitive and communication abilities.

1.10 Further efforts should be also made towards *wider and more effective use of recognition tools in the promotion of mobility and employability* on the national, European and global level. All stakeholders are encouraged to take advantage of the common goals and purposes of recognition tools in various modes of academic and professional mobility and to promote the added value of mobility both in personal as well as societal and economic growth.

2. Recommendations to the Bologna Follow-up Group

2.1 The seminar participants recommend to the BFUG that the notion of employability and general conclusions as developed above are included as reference points in further Bologna seminars and other activities, in particular those dealing with learning outcomes and an Overarching Framework of Qualification for EHEA.

2.2 The seminar participants recommend to the BFUG strengthening active participation of employers' and trade unions' organizations as well as professional associations at various levels and fostering a debate on their systemic integration into formulation of higher education policies.

4. Quality in European higher education

Documents in the Reader

- EUA's Quality Assurance policy position in the context of the Berlin Communiqué: Code of principles for external QA in Europe, April 2004

- Main findings of the Quality Culture project, EUA, March 2003

Documents available on the EUA Convention website: www.EUAconvention.org

- "*Developing an internal quality culture in European universities*": Report on the Quality Culture project 2002 – 2003

- EUA publication "*Quality Assurance: A Reference System for Indicators and Evaluation Procedures*", by François Tavenas for the ELU (Latin European Universities group), 2004

Documents available on partners' websites

- Relevant documents for the quality debate can be found on the **ENQA** website: http://www.enqa.net/

  - ➢ "*Standards and Guidelines for Quality Assurance in the European Higher Education Area*", European Association for Quality Assurance in Higher Education (ENQA), 2005
    http://www.enqa.net/files/BergenReport210205.pdf

  - ➢ *"Quality Convergence Study: A contribution to the debates on quality and convergence in the European Higher Education Area"*, 2005
    http://www.enqa.net/files/Quality%20Convergence%20Study.pdf

- **ESIB** policy paper on quality assurance is available at: http://www.esib.org/

- **ECA** papers on quality assurance and accreditation can be found at: http://www.ecaconsortium.net/

- The Recommendation of **the Council and of the European Parliament** on further European cooperation in quality assurance in higher education is available at: http://europa.eu.int/eur-lex/en/com/pdf/2004/com2004_0642en01.pdf

- **UNESCO/OECD** *Guidelines on Quality Provision in Cross-Border Higher Education* are available on:
  http://www.oecd.org/dataoecd/33/8/34258720.pdf and
  http://portal.unesco.org/education/en/ev.php-URL_ID=38328&URL_DO=DO_TOPIC&URL_SECTION=201.html

- Relevant publications on quality assurance, evaluation and accreditation in Europe are available on **CHEPS**' website: http://www.utwente.nl/cheps/

  - ➢ *"Accreditation and Evaluation in the European Higher Education Area"*, Schwarz, S. and Westerheijden, D.F., Dordrecht/Boston/London, Kluwer Academic Publishers, 2004, 493 p., Series: Higher Education Dynamics, ISBN 1 4020 2796 6

- A Glossary of basic terms and definitions in quality assurance and accreditation is available on the **UNESCO-CEPES** website at http://www.cepes.ro
  (under Publications/Papers on Higher Education)

EUA's Quality Assurance policy position in the context of the Berlin Communiqué:
Code of principles for external QA in Europe
12 April 2004

INTRODUCTION

The following policy paper develops further the EUA's QA position (Graz Declaration) in the context of the QA action lines of the Berlin Communiqué. Specifically, the Berlin Communiqué:

- Recognises the role of HEIs in promoting quality (this constitutes the first official acknowledgement in the context of the Bologna process)

- Invites ENQA, in co-operation with EUA, ESIB and EURASHE,

    A. to develop an agreed set of standards, procedures and guidelines on quality assurance

    B. to explore ways of ensuring an adequate peer-review system for QA & A agencies.

This paper presents a discussion on the first policy line of the Berlin Communiqué, which has been endorsed by the EUA Council on 1 April 2004. The EUA position paper on the second line of the Berlin Communiqué will be presented to the Council during a consultation period (20 April – 20 May 2004) and will be circulated to the EUA membership shortly thereafter.

I. QUALITY AND STANDARDS

In discussions that EUA held with various stakeholders and members, it has become clear that the word "Standard" in the Berlin Communiqué is open to interpretation. Some understand that standards must refer to QA procedures and others argue that they refer to higher education institutions. Based on the discussions in the Bologna Follow-up Group and on the following considerations (cf. 1.1 – 1.3 below), EUA believes that the "standards, procedures and guidelines" were meant to refer to quality assurance. This is the perspective adopted in this paper and the following three points explains the rationale for this approach.

1.1 EUA strongly believes that it is important for the Bologna process to be articulated with the Lisbon objectives. In this perspective, it is difficult to see how a broad use of "standards" that would be applied to higher education institutions would allow Europe to reach the objectives of becoming the most competitive knowledge society in the world. This ambitious objective requires a diverse and innovative HE sector across the continent, as the current national debates show (e.g., France, Germany, Ireland, UK). In risking stifling diversity and innovation in the sector, standards would constitute a threat to reaching the Lisbon objectives.
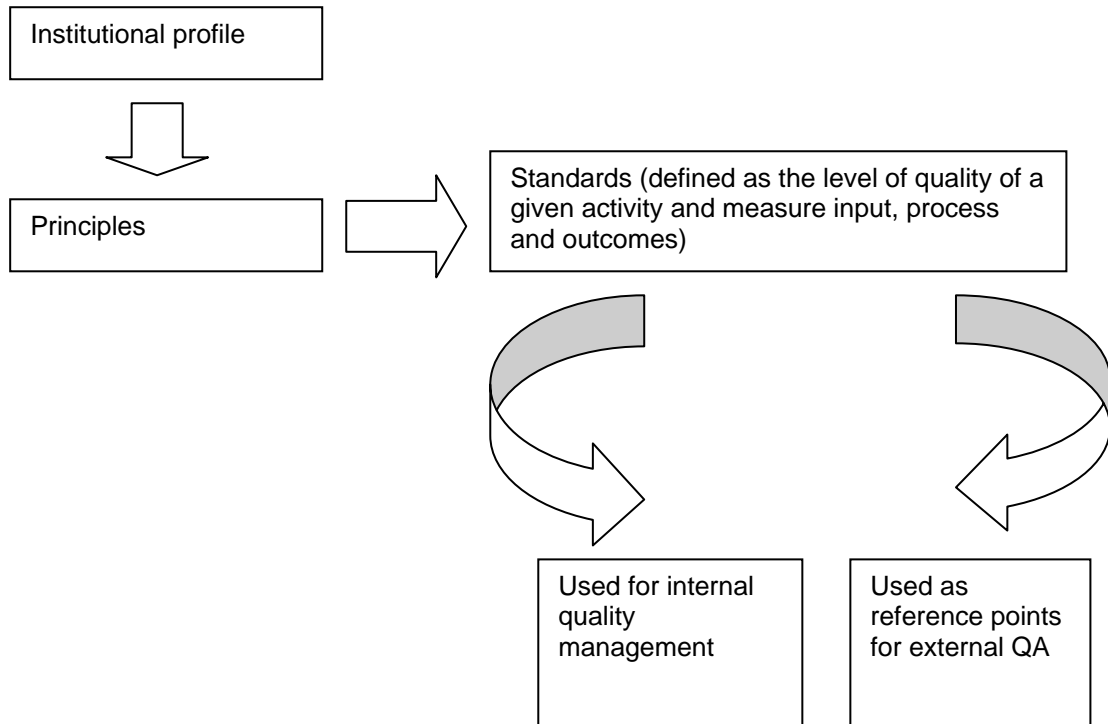
2.2 The Institutional Evaluation Programme has given EUA a solid experience in transnational evaluation, one that is unmatched anywhere in Europe and the world. EUA has evaluated close to 120 universities in 35 different countries. This ten-year experience, combined with the outcomes of the Quality Culture project, points to the fact that it is impossible to reach agreement on quality standards when dealing with a diversity of institutions across a whole continent.

3.3 Higher education institutions are characterised by a diffused and devolved power structure, complex and somewhat ambiguous goals, and outcomes that are difficult to measure or quantify. In this respect, we may well ponder the astute observation of Martin Trow, a distinguished professor of education at the University of California (Berkeley), who noted that "The real and substantial effects of the experience of higher education extend over the whole lifetime of graduates, and are inextricably entwined with other forces and experiences beyond the walls and the reach of universities" (Trow 1996). Martin Trow recommends that evaluations focus on the capacity for higher education institutions to change: "How an institution responds to change points to deep-seated qualities of the unit which must also show up in its research and teaching." (Trow 1994)[38].

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[38] Trow, Martin, 1994, "Academic reviews and the culture of excellence, 1994, reprinted in *Quality Management in Higher Education Institutions*, Lemma Publisher, Utrecht, The Netherlands, 1999. Trow, Martin, 1996, "Trust, Markets and Accountability in Higher Education: A Comprehensive Perspective", in SRHE, *The 30th Anniversary seminars.*

This observation suggests that:

- Evaluation approaches that are based on standards, quantitative methods, sets of criteria, or checklists will not improve quality meaningfully and may not even control it significantly because they will not capture the complexity of the educational enterprise.

- Autonomy is a precondition for a capacity to respond to change. Thus, university autonomy requires that each institution decides on its standards in the context of its mission and goals. As the following graph illustrates[39]:

```
┌─────────────────────┐
│ Institutional profile │
└─────────────────────┘
          │
          ▼
┌─────────────────────┐        ┌──────────────────────────────────────┐
│ Principles          │ ────▶  │ Standards (defined as the level of     │
└─────────────────────┘        │ quality of a given activity and        │
                               │ measure input, process and outcomes)   │
                               └──────────────────────────────────────┘
                                        │                    │
                                        ▼                    ▼
                          ┌──────────────────┐   ┌──────────────────┐
                          │ Used for internal │   │ Used as          │
                          │ quality           │   │ reference points │
                          │ management        │   │ for external QA  │
                          └──────────────────┘   └──────────────────┘
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II. POLICY GOALS

As discussed at the EUA Graz Convention (May 2003), the **policy goals** for an appropriate European QA dimension are:

- *Achieve greater compatibility while managing diversity of QA & A procedures:*

    There is a great diversity of national procedures in Europe that needs to be accepted as this diversity reflects specific national circumstances that each national QA framework tries to address. Upholding a widely shared set of standards in the QA area would ensure compatibility while minimising intrusiveness in national frameworks.

- *Achieve trust:*

    It is evident from discussions with various key actors, that some believe that trust across Europe can be achieved only if all QA & A agencies follow similar procedures and guidelines. EUA contends that trust emanates from the way in which and the spirit with which QA procedures and guidelines are carried out rather than simply in having a similar protocol of procedures or set of guidelines. In other words, trust is based on professionalism, grounded in a set of standards.

- *Promote innovative and dynamic institutions in a context characterised by diversity of missions, goals and curricula:*

    The Berlin Communiqué refers to "standards of QA procedures". Section III below details what these standards might be. It is important to note that the proposed set of six standards is

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[39] Frans Van Vught, presentation at the EUA Seminar on the QA lines of the Berlin Communiqué, University of Zurich, 26 February 2004, funded by the Swiss Confederation.

applicable to QA & A as indicated by the wording of the Berlin Communiqué (cf. Section I above for a fuller discussion of this point).

▪ *Preserve and extend institutional autonomy while meeting the demands for accountability:*

It is essential that the development of a European QA dimension accompanies and extends institutional autonomy in order to ensure that QA & A is not merely window-dressing and a compliance exercise. The Berlin Communiqué acknowledges the central role that institutions must play in this respect.

▪ *Avoid a big bureaucracy, burdensome QA & A mechanisms and promote cost-effective QA & A procedures.*

Care must be taken that funds are not wasted on complex bureaucratic arrangements or on QA & A procedures that put an undue drain on human and financial resources.

▪ *Ensure the role of the HE sector in any future monitoring scheme:*

Given the emphasis placed by the Berlin Communiqué regarding the role of higher education institutions in promoting quality, it is essential that the sector plays a role in any future monitoring scheme in order to guarantee that academic core values are upheld and, most importantly, to ensure the adhesion of the academic community.

III. Standards, Procedures and Guidelines on Quality Assurance

EUA members discussed in Graz a code of principles. These principles are retained in this document but are now called "standards" to use the wordings of the Berlin Communiqué. To each "standard" corresponds a set of "Procedures" and "Guidelines".

This section identifies a set of standards, procedures and guidelines, which are defined as follows:

▪ **Standards** state the principles and values that need to be upheld

▪ **Procedures** identify the protocols used by external QA & A agencies to meet the standards

▪ **Guidelines** refer to reference points by which to evaluate if the standards are met

From the policy goals established above, EUA derives the following six standards and associated sets of procedures and guidelines for QA & A.

STANDARD 1: QA & A procedures will promote institutional autonomy and diversity and foster innovation by evaluating institutions against their mission and strategic plans.

Procedure 1-1: QA & A will be based on a fitness for purpose approach and will evaluate against the specific mission and goals of an institution.

Procedure 1-2: QA & A will start with an understanding of the legal scope of institutional autonomy, including funding arrangements and staff management issues in order to grasp what latitude the institutions has in its operations.

Procedure 1-3: QA & A will assess the capacity of an institution to innovate by examining its decision-making processes and its ability for mid- and long-term strategic planning to assess the degree to which these are effective and efficient.

Guideline 1-A: Recommendations will be based on a fitness for purpose approach while questioning, where appropriate, the fitness of objectives in terms of their feasibility and desirability (i.e., both fitness for and of purpose will be examined).

Guideline 1-B: Recommendations will encourage institutions to take full advantage of their autonomy and, in cases where the legal framework is too restrictive, to make suggestions to enlarge this scope.

Guideline 1-C: Recommendations will promote innovative institutions by making specific suggestions to improve strategic planning capacity.

Guideline 1-D: Recommendations will take into account the financial resources and the funding arrangement of the institution in order to assess if preconditions are met to support its capacity for long-term planning and innovation.

STANDARD 2: QA & A procedures will promote organisational quality

Procedure 2-1: Organisational quality refers to sound management and decision-making processes. Their evaluation will be anchored in an understanding of the complexity of functions and the collegial tradition of higher education. In other words, organisational quality of higher education institutions will (i) balance the need for efficiency with the requirements associated with public service and (ii) take into account both the relative flat hierarchy that characterises higher education institutions (where knowledge and expertise are distributed throughout the organisation) and their need to build a community through collegial decision-making.

Guideline 2-A*:* Recommendations will address the extent to which institutions meet the need for efficiency in appropriate areas (e.g., in the administrative line, business ventures, health and safety, management of equipment and buildings).

Guideline 2-B: Recommendations will address the extent to which institutions are serving students and the public through an examination of such issues as access and diversity and links to the local and regional community.

Guideline 2-C: Recommendations will address the extent to which collegiality and community building are promoted through an internal communication strategy and participation in decision-making processes.

Guideline 2-D: Recommendations will address the balance between centralised and decentralised decision-making processes (i.e., the remit of rectorate vs. deans and department heads) and will address such issues as the clarity of responsibility and accountability of the various actors, the use of appropriate staff development schemes and feedback loop of internal quality monitoring into the decision-making process.

STANDARD 3: QA & A procedures will be geared at enhancement, which means that they will prompt institutions to develop internal quality measures and will emphasise self-evaluation as a key step in the procedure.

Procedure 3-1: The self-evaluation phase is an essential element in QA & A procedures and will be viewed as a collective opportunity for the institution to develop further its capacity for self-reflection and an internal quality culture.

Procedure 3-2: Internal quality monitoring will include the evaluation of all activities and programmes on a cyclical basis and be characterised by an understanding of quality standards that is widely shared across the institution.

Guideline 3-A: The QA & A agency has guidelines for the self-evaluation and offers training and support to institutions engaged in this process.

Guideline 3-B: The evaluation/accreditation report will be based on a self-evaluation report and will assess how successful the self-evaluation process was in bringing the institution together to reflect upon institutional strengths and weaknesses and its capacity to develop recommendations for improvement.

Guideline 3-C: Internal quality will not be viewed merely as a set of technical and managerial procedures but as a means to promote organisational quality through a proper embedding of a quality culture.

Guideline 3-D: Recommendations will address the extent to which a culture of quality and a common set of standards are shared across the institution.

STANDARD 4: QA & A procedures will assure public accountability by including stakeholders in the process, communicating the results to the public and be independent, in terms of their outcomes, of governments, interest groups and individual higher education institutions.

Procedure 4-1: The external panel will be assembled according to the following principles: expertise, objectivity and fairness. The institution being evaluated will have a right of veto on any panel member who is deemed to have a conflict of interest. The institution, however, will not have the opportunity to nominate experts on the external panels.

Procedure 4-2: The external panel will be given appropriate training to understand the procedures and scope of the evaluation and be sensitised to its ethical aspects.

Procedure 4-3: The site visit programme will be agreed between the external panel and the institution (with input from the QA & A agency) and include discussions with all the key groups in the institution (e.g., leadership, students, academic and administrative staff) and external stakeholders. The institution, however, shall not dictate the programme of the site visit.

Procedure 4-4: The external panel will produce a public report autonomously from the institution and the QA & A agency. The institution has the right to correct factual errors. In case of accreditation, the decision of the panel will be respected by the accreditation agency and the national authority.

Guideline 4-A: The QA & A agency has developed a code of ethics to ensure the independence of expert panels.

Guideline 4-B: The QA & A agency has a training programme for experts as well as guidelines for the site-visits and the report-writing phase.

Guideline 4-C: The external panels will meet the various key groups in the institution, unaccompanied by agency representatives or national authority. The external panel will meet students, academic and administrative staff members and external stakeholders, unaccompanied by representatives of the institutional leadership team.

Guideline 4-D: The report will reflect the view of all internal and external stakeholders whom the external panel met as well as the views of the whole expert panel..

Guideline 4-E: The report is made public after the institution has had the opportunity to correct factual errors. It will be written autonomously form the agency and the public authority and under the supervision of the chair of the expert panel (i.e., the report writer is an expert panel member rather than an agency or government representative).

STANDARD 5: *QA & A procedures will follow guidelines that are transparent to the public and higher education institutions and will have specified and fair appeals procedures.*

Procedure 5-1: The QA & A agency has developed and published a set of guidelines for all phases of the procedures which have been widely discussed.

Procedure 5-2: The QA & A agency has developed a set of procedures for appeals, especially in the case of negative accreditation decisions.

Guideline 5-A: The QA & A guidelines will be supported by the academic community as constituting fair and reasonable accountability procedures.

Guideline 5-B: The scope and limitations of QA & A procedures will be clear to the public and especially to students.

Guideline 5-C: Appeals board will include upstanding and independent members who have a demonstrated understanding of both higher education and evaluation. Board composition will be agreed upon in advance of any specific appeal procedure.

Guideline 5-D: Appeals board will hold hearings with the institution, the external panel and QA & A agency staff.

Guideline 5-E: Appeals board decisions will be reached independently of government, QA & A agency and higher education institutions and are binding.

STANDARD 6: *QA & A agencies, where they exist, will have internal quality processes in place and be evaluated themselves, on a cyclical basis, in terms of the adequacy of their resources and their impact on institutions.*

Procedure 6-1: The QA & A agency has clearly established lines of responsibilities.

Procedure 6-2: The QA & A agency has a training programme for its staff and a performance appraisal and staff development framework.

Procedure 6-3: The QA & A agency monitors the impact of its work on institutions in terms of efficiency (its financial burden as expressed in staff and direct costs to the institutions) and efficacy (whether quality enhancement does indeed result from the procedures).

Procedure 6-4: The QA & A agency is reviewed by a transnational expert panel that includes members of the higher education community and QA & A representatives, students and employers.

> Guideline 6-A: There is documentation that QA & A agencies personnel policies have been openly discussed, published and implemented.

> Guideline 6-B: The QA & A agency monitors its work by asking, within a year of an evaluation, that all institutions that it has evaluated provide the agency with an assessment of the procedure in terms of its outcome and cost.

> Guideline 6-C: The transnational expert panel will be agreed with the national Rectors' Conference and the QA & A agency and will include one national member to assist in providing national understanding.

> Guideline 6-D: The expert panel will interview a sample of all stakeholders to assess the fairness, independence and outcomes of the QA & A agency work.

> Guideline 6-E: The expert panel will assess whether the QA & A agency has the appropriate financial and human resources and appropriate staff management policies to carry out its work professionally.

In 2003, the European University Association (EUA) launched the first round of the Quality Culture Project (with Socrates funding) as the cornerstone of a strategy aimed at enhancing the capacity of higher education institutions to play a key role in quality. The project title – Quality Culture – was chosen deliberately to suggest that quality cannot be promoted by managerial instruments only but, more importantly, through thoughtful catering to the cultural aspects of quality as a shared value that should be embraced by the whole academic community. This paper presents the project's main findings, which reveals that an understanding of the cultural and structural aspects of the change process is fundamental to create and enhance quality.

1.   The policy context: Internal quality as a key issue for European higher education

The combined requirements of creating a European knowledge society and promoting the Bologna convergence process constitute central challenges for Europe. Both require that European higher education meet conflicting needs. Globalisation in a post-industrial world and the associated demands for greater access to higher education; a heightened need for European co-operation in a context of greater international competition; an increased tension among the different missions of universities (research, teaching, service to society) are some of the key pressures faced by higher education.

The "quality assurance movement" that emerged in the mid nineties and saw the establishment of national quality assurance agencies across Europe, is now growing for a variety of reasons, not the least of which is that it is seen as key to creating a European Higher Education Area where students and professionals would be free to move across the continent.

Quality was slow to emerge as key to the success of the Bologna convergence process. As ministers met, however, to take stock of progress and define mid-term objectives (Prague, 2001 and Berlin, 2003), the issue of quality has grown in importance and risen to the fore of the interministerial agenda to become the first policy objective of the Berlin Communiqué.

The challenge at European level – whether concerning the quality debate or other key Bologna issues – is to create a European research and teaching area that combines diversity across – and within – forty countries while adhering to unifying principles and values. The challenge for higher education institutions is to take on a lead role for this convergence in order to ensure that academic (rather than bureaucratic) principles and values are respected and the process correctly implemented.

Beyond national diversity, a consensus has emerged among all key policy actors – including higher education institutions – on the role that these institutions can and should play in the construction of Europe. This aspiration implies vesting greater responsibilities in higher education institutions and should translate into improved strategic leadership and management in part through the development of an internal quality culture. It is in this way that higher education institutions will justify and expand their autonomy, increase their credibility and improve their capacity to engage critically in the democratic debate.

The Quality Culture Project is part of the response that the European University Association devised to increase the capacity of universities to meet the accountability needs and the heightened demands that higher education delivers more, with greater levels of quality and fewer resources.

2.   Vocabulary: The signpost of a specific philosophy and method

Highlighting the vocabulary chosen is essential to avoid not only misunderstandings but also to identify the central approach to the issues at stake. It is frequently the case that when speaking of quality, it is easy to revert back to such managerial concepts as quality control, quality mechanisms, quality management, etc. These concepts, however, are not neutral. They convey a technocratic and top-down approach that will only backfire in academic settings. By definition, academics are successful professionals who are committed to excellence; the tradition of academic autonomy often implies that each staff member is "captain of his/her own ship" in the classrooms and laboratories. The notion conveyed by managerial concepts of quality – that institutional leaders would seek to control or manage – flies in the face of entrenched academic beliefs and values.

Therefore, the term "culture" is used to convey a connotation of quality as a shared value and a collective responsibility for all members of an institution, including the students and the administrative staff. Quality culture refers to values, attitudes and behaviour of an academic community that embraces a shared vision of the missions of an institution, an understanding of its standards for quality, and ways to meet these standards.

Thus – as the signpost for the project – the terms "quality culture" signal the need to ensure a grass-root adhesion, to develop a compact within the academic community through effective community building, as well as a change in values, attitude and behaviour within an institution. It points to the importance of the rectoral team in creating appropriate conditions for the academic community to deliver quality provision and to the attention that must be paid to developing an agreed institutional profile, the identification to the institution of all of its members, and clearly defined and agreed objectives and strategies to meet them.

This key conceptual decision led to a specific approach in terms of both method and philosophy.

2.1 Method

To fit with the notion that enhancing quality is more about culture than management, the project method was based on a grass-root, empiricist approach in order to develop wider ownership of the quality enhancement process in higher education institutions. For this reason the project included grouping 42 institutions within six small networks that worked on specific themes[40]. The networks were asked to discuss and get feedback from network partners on the institutional action plans based on SWOT analyses[41]. Before each network meeting, participants were asked to organise meetings in their home institution in order to discuss and seek internal consensus on the material presented on their behalf, and ensure both wide visibility for the project and effective implementation of their action plan.

2.2 Conceptual philosophy

The first key conceptual consideration was whether the project should offer a *definition* of quality. The decision was not do so for two reasons: the difficulty in defining the concept of quality and the need to develop a sense of ownership of the definition.

Indeed, there is lack of consensus as to what quality is. It is a spurious notion, difficult to define, especially across a whole continent. It is more realistic if each institution defines it for itself and decides what standards it should meet in the context of its specific missions and goals.

In addition, and more importantly, to ensure success in engineering cultural change the project should be based on a grass-root model. That is, it should provide a forum for participants to discuss what quality is with the hope that discussions within the project would serve as a model for the discussions that must take place in each institution in order to ensure the adhesion of the academic community and develop a sense of ownership.

The second key consideration was whether the project should promote the notion of "*Good Practices*". Again, the notion of quality as referring to an institutional culture prohibited such an approach. It was essential to respect the grass-root orientation and stay away from a managerial and technocratic approach and, more substantially, to take account of the diversity of European higher education.

Accepting – as a premise – that quality is contextual requires highlighting **principles** and letting each institution search for a translation of these into practices, while the institution takes into account three key contextual elements as boundaries for defining its specific quality culture, as follows:

- In terms of its **internal environment**, an institution must develop measures that are congruent with its history culture and organisational structure and its specific mission and objectives.

- In terms of its **external environment**, the national quality assurance debate is often politically charged. Institutions respond to these political demands in different ways, depending on a variety of factors such as the robustness or intrusiveness of the national accountability system, the traditional relationship with governmental authorities, the national political culture, etc.

- In terms of the **time vector**, each institution must carefully assess the maturity of its quality culture. An institution new at these practices might choose to have "quality champions" while those that are more experienced will address other types of requirements.

Based on the results of the many evaluations conducted within the EUA's Institutional Evaluation Programme (nearly 120 evaluations in 35 countries), the project guidelines offered the following principles and preconditions, which were validated by the participating institutions and confirmed that an effective quality culture is grounded in successful community building:

- Building the academic and administrative staff's identification with the institution through effective communication, both top-down and bottom-up, formal and informal

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[40] The themes for Round I were: Research management, Implementing Bologna, Teaching and learning, Collaborative arrangements (international partnerships), Student support services and Communication flow and decision-making structures.
[41] SWOT refers to an analysis of Strengths, Weaknesses, Opportunities and Threats that leads to the development of a strategic action plan.

- Developing the participation of students in the academic community

- Embedding a quality culture through internal communication, discussions and devolved responsibilities while understanding the resistance to change and developing strategies to overcome it

- Involving the appropriate external and internal stakeholders

- Agreeing an overarching framework for standards and quality review processes

- Identifying key institutional data points (historical, comparative, national and international) and systematically collecting and analysing them

- Stressing the self-evaluation stage as a collective exercise for the unit under review to ensure the implementation of appropriate change (this includes academic and administrative staff and students)

- Ensuring a follow up of the internal reviews: that is, implementation of the appropriate recommendations and feedback loops into strategic management

3. Results

The first round of the Quality Culture Project (2002 – 2003) yielded rich results, including many that were specific to each network's thematic focus. Given space limitations, this section focuses on the generic results and addresses the three major aspects required to embed an internal quality culture, namely processes, actors and structures[42]. It is important to note the crosscutting finding that emerged across the three aspects: in all cases, engaging the community and developing ownership at the grass root are more important than managerial aspects and technocratic instruments.

3.1 Processes

The networks agreed that the success of the first steps towards introducing a quality culture is the precondition for an effective development and progression along that path.

In addition, it is important to consider that higher education institutions are characterised by a diffused and devolved power structure, complex and somewhat ambiguous goals, and outcomes that are difficult to measure or quantify. In this respect, we may well ponder Albert Einstein's observation that "Not everything that counts can be counted, and not everything that can be counted counts". The challenge then is two-fold:

- To systematise standards and operations across an institution while taking into account the professional concentration of expertise at the grass roots. In this sense, despite their hierarchy, higher education institutions are relatively flat structures: a Nobel Prize in a department can have greater authority than his or her rector.

- To develop a set of standards in line with the institutional mission. These standards must translate into criteria and measures that would capture success and failures in a constructive and transparent manner without stifling the vitality of individual initiatives or the vibrancy derived from departmental diversity.

To meet these two challenges, it is essential to:

- Engage the whole community – including students and administrative staff who are often forgotten – in a process of reflection about missions and goals

- Develop a communication strategy that combines top-down and bottom up communication channels, written documents and formal and informal meetings

- Identify and empower "quality culture champions" to contribute to the development and implementation of a quality culture strategy

- Create teams across the institution in order to ensure cross-fertilisation

- Address the issue of fears by developing a coherent staff development scheme

- Support the development of an effective quality culture with appropriate human and financial resources

Needless to say, all these considerations point to the important role that a thoughtful rectoral team can play and its ability to motivate individuals and engage the community.

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[42] For more details, the project report is available on the EUA website:
http://www.eua.be/eua/jsp/en/upload/QC_report_final.1076424814595.pdf

3.2 Actors

These considerations also suggest that to embed a quality culture, careful thought must be given to all actors within and outside the institution, each of whom plays a specific role:

- The rectoral team will agree an overarching quality framework, structures and procedures as well as the process by which results of the internal quality monitoring will be integrated into the strategic planning in order to ensure their long-term effect. It will ensure wide engagement of the community and its commitment to the quality framework.

- For institutions that are beginning the process of developing an internal quality culture, it may be important to appoint respected figures to serve as "quality champions" who will report directly (or be part of) the senior rectoral team and will explain to academic staff that academic freedom can only be supported by a vigorous and responsible institutional autonomy.

- Financial officers at central and faculty levels will be involved in this process, which needs to be resourced adequately. Similarly, human resource officers will be involved in the change process to ensure that they develop overarching and cohesive staff development schemes that will equip academic and administrative staff members to cope with new institutional requirements.

- Students will play a key role in embedding quality, not only through their regular evaluation of teaching but also through their involvement both in student support services (e.g., as tutors and peer advisors) and appropriate decision-making bodies. They will require training in order to fulfil this role effectively.

- External stakeholders will contribute a different and useful perspective on the institution, serve as a "reality check" and enrich the debate. The challenging task of identifying appropriate stakeholders and their role in the change process will be carefully considered by the rectoral team which will also needs to ensure that the rest of the academic community understands the needs and benefits for establishing such relationships.

3.3 Structures

All six networks recommended the creation of new structures to deal more effectively with internal quality issues. It is interesting to note that all these are located centrally – thus reflecting a trend away from decentralised institutions – and report to the rectoral level. Five types of structures were identified:

- Quality unit for teaching and learning. These units work best when (i) their staff expertise is solid and credible, (ii) their approach is advisory rather than required and (iii) orientated toward improvement rather than control.

- Office of institutional research and information. This office serves in a supporting role for institutional planning. It collects and analyses data points that enable the institution to monitor actively areas of strengths and weaknesses.

- Research management office. This office is responsible for setting research priorities, allocating resources, developing partnerships and strategic alliances, providing legal support (e.g. for intellectual property issues), managing research staff careers and monitoring quality.

- Integrated and comprehensive students support services that view students holistically and take into account their academic needs as well as their mental and physical well-being.

- An international office that is positioned strategically to bring together the different missions of universities – research, teaching and service to society – works closely with the rectoral team and involves the academic community.

3.4 Conditions for success

All the outcomes listed above point to community building as a key success factor. Whether it is in terms of establishing the processes and the structures required, the rectoral team must pay attention to all the actors, motivate them and incite them to adopt the new quality agenda. In line with these findings, the Quality Culture Project identified several conditions for the successful introduction and development of a quality culture:

- The importance of institutional governance and community building (vs. management) for an effective quality culture

- The importance of strategic thinking, based on an appropriate institutional analysis (SWOT or similar analytical instruments)

- The integral causal link between strong institutional autonomy and the effective development of a quality culture

- The interlink between quality development and appropriate financial and human resources, including staff development schemes

These conditions cannot be met by distant political and administrative power centres but by autonomous higher education institutions, committed to building strong academic communities and – as the Quality Culture Project has shown – engaged in learning through inter-institutional co-operation and peer-to-peer exchange.

If external accountability procedures are sometimes perceived as encroaching on academic freedom, the wise response is to guarantee this freedom through the development of a quality culture in which all academic actors are partners and which will serve to strengthen institutional autonomy.

5. Funding European higher education

Documents in the Reader

- Please refer to the thematic paper developed by EUA for the Convention and published in Part I of the Reader.

Documents available on the EUA Convention website: www.EUAconvention.org

- Findings of the EUA survey on national funding of higher education in Europe, March 2005

Documents available on partners' websites

- Relevant documents can be found on the **OECD** website: http://www.oecd.org/

  ➢ *"On the Edge: Securing a Sustainable Future for Higher Education*", Report of the OECD/IMHE-HEFCE project on financial management and governance of higher education institutions, 2004

  ➢ *"Education at a Glance"*, September 2004

- An article on financing can be found in the publication "*Reinventing the Research University"*, edited by Luc E. Weber and James J. Duderstadt, Economica, 2004, that can be ordered on the website: http://www.glion.org/

  ➢ *"Financing the new University, a European Perspective*", by Luc Weber

- Conclusions of a study on financing higher education in Europe is downloadable from the **European Commission**'s website at http://europa.eu.int/comm/education/policies/2010/study_en.html

  ➢ *The financing of higher education in Europe*, a study completed by European Research Associates (EU-RA), December 2004

- The conclusions and recommendations from the 9[th] European Student Convention on "*Financing Higher Education*", 17-21 March, Luxembourg, will be available on the **ESIB** website: http://www.esib.org/

- "*Le financement des universités : Investir plus et mieux*", by Elie Cohen, CNRS, France. Paper presented at the conference "Enabling European Higher Education to Make its Full Contribution to the Knowledge Economy and Society", 10 February 2005, Brussels http://europa.eu.int/comm/education/policies/2010/doc/conference2005/plenary_elie-cohen_paper.pdf

- Conference proceedings of the "*German-Australian Conference on Higher Education Financing*" jointly convened by the Hochschulrektorenkonferenz (HRK) and the Australia Centre Berlin, Berlin, 24-25 October 2003, Beiträge zur Hochschulpolitik 3/2004 http://www.hrk.de/de/download/dateien/Publication.pdf