



**EUA**

European University Association

2006

**EUROPEAN  
UNIVERSITY  
ASSOCIATION**

**ANNUAL REPORT 2006**

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# FOREWORD FROM THE PRESIDENT

2006 saw a shift in the focus of the debate on the universities at European level. Now that a broad consensus exists on the importance of universities in building Europe's knowledge society discussions concentrate increasingly on how to ensure that universities are able to realize their potential. The role of EUA, and thus my objective, has been to put universities themselves at the centre of the debate, both in relation to shaping future policy and in deciding on their own development.

Underpinning these endeavours is the "Strategic vision for European Universities and the European University Association" that was adopted by the 2006 General Assembly in Hamburg, and now sets the general framework for all the association's activities. This forward looking document underlines European universities' intention to promote the development of European higher education as a "system of academic institutions with highly diversified profiles, providing a wide spectrum of graduate qualifications and facilitating mobility of staff and students... in which institutional diversity will be made visible and recognisable, and in which universities are able to develop their own missions and profiles".

This vision is our response to the rapid changes taking place in European higher education, and suggests how European universities, and EUA as their representative body, should set about responding to these challenges. It is also the starting point for a strategic reflection on the future development of EUA as an association. This process was also launched in 2006, in line with the present Articles of Association that require a review of the statutes no later than five years after the creation of the Association. It has involved intensive discussions in the Statutes Review Group, established by the General Assembly in March 2006 for this purpose, and also the organisation of a series of visits to Rectors Conferences across Europe. The Statute Review Group will make a first proposal to the 2007 General Assembly in Lisbon.

In parallel, 2006 has also seen a rapid growth in the areas of activity in which EUA has responded to members' requests to become involved. In addition to maintaining a high level of presence in the debates on the Bologna Process and the EU Research Framework Programmes, following up on the 2005 Glasgow Declaration, the association established a working group on funding and has also launched a debate on the role of universities in regional development: our two annual Conferences in 2006, hosted by the University of Hamburg and the Brno Universities, respectively, served as launch platforms for the debate on these two important topics. Finally, EUA also established a European working group on open access to scientific publications – a crucial topic for universities.

Looking forward, all these topics will figure on the agenda of the 4<sup>th</sup> EUA Convention (Lisbon, 29-31 March 2007). Our goal is to launch a debate on university priorities post 2010 that can be carried forward into the policy debate with governments and other partners, and translated into action by EUA in the next two year period. This means addressing the role of universities in the future European Higher Education and Research Areas, including discussion with policy makers on the impact on universities of new bodies such as the European Research Council and of initiatives such as the EC proposal to establish a European Institute of Technology.

Together with my two Vice Presidents, Professor Sir Roderick Floud and Professor Christina Ullenius, and the other members of the Board, I thank you for your support in 2006 and look forward to continuing to work with you in the future to ensure that the voice of universities is heard at European level, and that EUA as an association can continue to be responsive to your needs as university leaders.



Professor Georg Winckler  
President



Professor Georg Winckler

## FOREWORD FROM THE SECRETARY GENERAL



Lesley Wilson

EUA members' commitment to and interest in their association has grown significantly in 2006. This is demonstrated both by the continued financial support of its members, through their fees that makes it possible for the association to develop further its activities and by the remarkable increase in demand for, and participation in, all the different types of member services offered in the course of the year.

Over 1200 EUA members and partners took part in the two 2006 biannual conferences and in the two other major events organised in the course of the year: the first Quality Forum in November, and the Bologna and Doctoral Programme Seminar in December. This high participation rate demonstrates the importance of providing opportunities for universities to exchange experience and good practice on the major issues for their development. These events addressed, respectively: diversifying funding streams; universities' role in regional innovation; quality enhancement and the crucial role played by doctoral programmes. In addition, the workshop series 'Managing the university community' continued to be extremely popular with events organised throughout the year on the themes of fundraising and institutional performance indicators. In addition, a leadership seminar was organised in two modules (respectively, at the Université de Lausanne and in Brussels). EUA will develop further its offer of services in the future, with a view to both better disseminating the results of a variety of EUA projects and continuing to address new, emerging issues of concern for universities.

2006 was also an outstanding year for EUA's Institutional Evaluation Programme (IEP) that accepted requests for evaluations from a total of 38 institutions. This includes the second round of an exercise involving the evaluation of all Slovak universities that will be completed by the end of 2007, and the evaluation of ten Portuguese institutions. This is an interesting trend that indicates that, alongside the development of national arrangements for quality assurance, it is becoming increasingly important for universities to consider their mission and future development in an international perspective, but which is based upon the involvement and views of their peers from institutions across Europe.

The growth in demand for services observed in 2006 mirrors developments at European level and, in particular, a growth in interest in the universities as a discussion partner in an increasing number of policy domains. Thus, EUA is called upon to represent its members and to provide policy input not only on education, training and research matters – including on topics which are new for the association such as that of open access to scientific publications or the question of research funding – but also on broader issues such as regional innovation, entrepreneurship, consumer protection or international development. More and more is expected of EUA as universities' representative body in terms of accompanying different processes and articulating and expressing the views of its members.

This rapidly developing scope of EUA's activities and its growing visibility, together with the increasing diversity of its members, puts mounting pressure on the association's relatively small Secretariat. In order to enhance its impact, we have worked more closely both with national Rectors' Conferences and, in partnerships, with a growing number of smaller networks based in Brussels. Staff support for international cooperation at the Secretariat was increased so as to ensure a continuous and systematic development of strategic and operational approaches in international cooperation for the coming years.

Looking forward to 2007 the challenge will be to continue to implement the Work Programme while drawing together all the threads of the association's work for discussion at the March 2007 Convention in Lisbon where we expect to welcome over 700 university leaders from over 40 countries to look beyond the day-to-day problems in order to reflect on where universities want to be post 2010 and thus where EUA should be concentrating its resources in the future.

A handwritten signature in black ink that reads "Lesley Wilson". The signature is written in a cursive, flowing style.

Lesley Wilson  
Secretary General

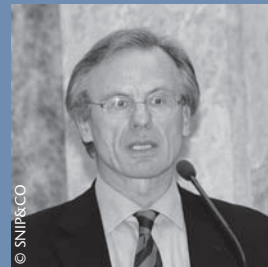
# COMMON POLICIES FOR EUROPE'S UNIVERSITIES

In March 2006, following a broad debate within the association, EUA adopted a "Vision and strategy for Europe's universities and the EUA" that sets out universities' vision for the future and provides a framework for both involvement in policy discussions at European level and work with members (cf. Annex 2).

At EU level, activities in 2006 focused on providing high level input into the debate launched by the European Commission on what has become known as the "modernisation agenda" for universities and on the start of an intense and ongoing discussion of the European Commission's proposal to establish a European Institute of Technology. EUA also contributed to specific legislative processes, for example on quality assurance and research programmes.

In addition, in 2006, the association has been asked to represent university interests in a growing number of other policy fora at European level, on the role of universities in promoting regional innovation and entrepreneurship and international development towards specific regions.

All EUA's policy positions are evidence-based through projects and activities which feed into the discussions.



*EUA President, Prof. Georg Winckler, addresses participants at the EUA Conference in Brno*



*Participants at the EUA Conference in Hamburg*



*Participants in Brno*

## 1.1. BUILDING THE EHEA THROUGH THE BOLOGNA PROCESS

Throughout 2006, and looking forward to the Bologna Ministerial meeting in May 2007, EUA has sought to ensure that universities are heard in the European level structures of the Bologna process and in particular through continued presence at the Bologna Follow-Up Group (BFUG) and as a member of the BFUG Board. Substantial energy has also gone into ensuring an active participation in the different BFUG working groups on the social dimension, data on mobility of staff and students, the qualifications framework follow-up, the external dimension and stocktaking, all of which are crucial issues for universities.

More specifically, in 2006 action has focused on:

### Preparing TRENDS V: Monitoring Implementation in Universities

In 2005, work started for the *Trends V Report* that analyses the present state of implementation of the Bologna Process and reports on the main challenges faced by institutions. Trends V is seen as a necessary complement to the governmental stocktaking exercise, and thus constitutes one of EUA's main contributions to the Bologna Process. For the first time it has been possible to underpin the analysis through the use of comparable data thanks to the 900 and more institutions who provided answers to questions which mirrored those asked in 2002/3. The data analysis has been further supplemented by information gathered during site visits and the views expressed in numerous focus-group discussions.

For the first time in the series, this Trends report aims to provide more than a snapshot of the state of European higher education. Indeed this report, based on both quantitative and qualitative research, assesses the extent of progress made by Europe's higher education institutions in implementing Bologna reforms, as well as the impact that changes are having. The report aims therefore not only to show the situation of European higher education today, but also, through comparison with the outcomes of earlier Trends projects, to measure and assess the progress that has taken place. The report will be presented to EUA's Lisbon Convention in March 2007 and then to the Bologna Ministerial meeting in London in May 2007.

### Welcoming the Universities from 45 Countries into the EHEA

EUA continues to encourage the universities in the newer Bologna countries by involving them in a number of activities.

A conference on higher education and research in the Western Balkans was organised in Vienna from 1-3 March 2006, the results of which were then presented to European Ministers of Higher Education. In late 2006 a Bologna seminar was organised in Tbilisi for the benefit of Georgian universities.

### Promoting Quality

Since its creation, EUA has been very active in the field of quality, both in contributing to policy development at European level and to the development of quality cultures in universities through projects and other types of activities.

In 2006 EUA continued to be an active contributor to the quality debate at European level. Following the Bergen Communiqué in which Ministers asked ENQA together with EUA, EURASHE and ESIB ("E4" group) to prepare a report exploring the practicalities of the European Register of QA agencies, EUA, together with its "E4" partners, propose that the Register Committee includes all major stakeholders because only a system of checks and balances would ensure trust and transparency, thus ensuring its credibility. EUA's activities in this area have been supported by a Swiss Confederation grant.



Participants in Vienna

On behalf of the E4 partnership, EUA organised a European QA Forum focused on internal quality, building upon the results of the Quality Culture project and included as an element of the "European Standards and Guidelines". This Forum was the first opportunity to bring together – at European level – QA agencies, students and higher education institutions in order to develop a consensus on key QA issues. The forum, hosted by the Technical University of Munich in November 2006, was a huge success and demonstrated the considerable progress being made by institutions in developing internal quality processes. A publication on the Forum will be available in 2007, and papers presented there are available online at: <http://www.eua.be/index.php?id=314>

EUA is now leading the effort to organise the second QA Forum in November 2007, which will be focused specifically upon the implementation of the European Standards and Guidelines for Quality Assurance in Higher Education and which will also consider the results of the London ministerial meeting.

In addition, EUA is regularly invited to represent its policy position before numerous groups of academics, governments and QA agencies.

Finally, based on its Institutional Evaluation Programme, EUA is a full member in INQAAHE and ENQA. EUA is also a member of the International Commission of the Council on Higher Education Accreditation (CHEA), and participates in the work of OECD, UNESCO and the European Consortium for Accreditation in Higher Education (ECA).

## Developing Doctoral Programmes in Europe

Doctoral programmes as the third cycle of higher education are the most important link between the European Higher Education and Research Areas. They are the key to realising Europe's ambition to become the most dynamic knowledge-based economy and society. Universities hold the main responsibility for the development of high quality doctoral programmes which will ensure good career prospects for young researchers in all sectors of society.

Doctoral Programmes have been a major priority for EUA in 2006. In Bergen, the Ministers mandated EUA to prepare a report on the further development of the ten Salzburg Principles for doctoral programmes, to be presented at the ministerial meeting in London 2007.

EUA has been working on three main issues: the quality of doctoral programmes, the role of higher education institutions and the role of the state and public responsibility in relation to the funding of doctoral education. A series of events and activities have taken place on these issues to encourage broad discussion.

In addition, a Transatlantic Dialogue with the Council of Graduate Schools of the US and Canada took place in Salzburg in autumn 2006.

At the same time a questionnaire on the funding of doctoral education was sent to the BFUG governmental representatives. Results of all these events and activities fed into the programme of the key event in 2006: the Bologna Seminar "Doctoral Programmes in Europe" in December 2006 in Nice (cf. Annex 2). Final conclusions and recommendations of the Bologna Seminar ("Matching Ambition with Responsibilities and Resources") that were prepared following a broad consultation process with the EUA members have been the core element for the report to be presented to Ministers in London 2007.



*Participants at the first QA Forum in Munich*



*EUA President, Prof. Georg Winckler, and EUA Secretary General, Lesley Wilson, at the Nice Seminar*



## 1.2. RESEARCH AND INNOVATION

Recent years have witnessed the increase of research and innovation capacity of Europe's universities, and its future potential, moving to "centre stage" in the European policy debate on how to enhance the competitiveness of Europe. The policy dialogue has placed great emphasis on the needs of modern knowledge-based economies/societies for more highly-skilled professionals and the achievement of greater innovative capacity through drawing more effectively upon the intellectual capital and research excellence of Europe's universities. EUA has been an active player during 2006 in bringing evidence-based input to the policy debate.

EUA provided its input to the policy development through three key elements: the EUA Working Groups, the organisation of, and participation in, conferences and workshops, and its representation in several expert committees of the European Commission.

Through its Working Groups, EUA fully engaged in the debate on the development of the EU 7<sup>th</sup> Research Framework Programme on: (i) the setting-up of the *European Research Council (ERC)*, (ii) future development of the Marie Curie and other Researcher Mobility Actions, and (iii) the FP7 Rules of Participation, with a focus on application and evaluation procedures and research cost support models. In 2006, as policy dialogue with stakeholders for the setting-up of the (ERC) was evolving, the development of FP7 was reaching its conclusion and new topics were arising, two of the established EUA Working Groups ("Support for Basic Research (ERC)" and "Mobility, Research Training and Careers – Marie Curie Actions") merged to become the new EUA Research Policy Working Group, to address all issues related to FP7 and the development of the *European Institute of Technology (EIT)*. The third existing EUA Working Group continued its work in 2006 concentrating efforts on FP7 Rules of Participation and Research Support Cost Models.

### Developing Institutional Strategies

The strategic role of universities in fostering regional innovation has been a new area of work for EUA since 2006. The EUA Autumn Conference, held in Brno, Czech Republic, on "European Universities as Catalysts in Promoting Regional Innovation" gave members an opportunity to discuss how universities should respond to the growing demands of society and rapid globalization, through the analysis of a number of good existing "triple helix" partnerships.

The Conference addressed the new roles of universities as key drivers of innovation in their regions, the main factors in developing innovation in knowledge-based regions and the European Union policy support. Discussions during the Conference demonstrated clearly the increasing importance of the local and regional dimension of university activities. The inherent connection with the national, European and global framework of the work of universities were also demonstrated.

In the framework of the Brno conference, EUA presented the study "*The Rise of Knowledge Regions: Emerging Opportunities and Challenges for Universities*" which looks at the current role of universities and future potential of universities in regional knowledge development. It includes also a review of the most recent literature in the field. A particularly important element of this study was a series of interviews with professionals from four European regions involved in university-industry-government cooperation schemes to foster regional innovation.

Another new EUA publication in the area of institutional strategies was the "Research Strategy Development and Management at European Universities" report which stressed the importance of a supportive national and regional context and the institutional self-awareness of existing organisational culture as key factors to devise successful strategic plans for research and innovation management.



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EUA Vice-President, Prof. Sir Roderick Floud, and EUA Deputy Secretary General, Andrée Sursock, at the Brno Conference



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EUA Vice-President, Prof. Christina Ullenius, addresses participants in Brno

Given the many existing good practices and the new opportunities to maximise synergies between regional, national and European policy initiatives, the challenges now lie with the universities to strengthen their regional capacity in research and innovation. EUA is currently considering a new range of activities to help its university membership achieve their goals in this field.

### **University/Enterprise Collaboration**

EUA was a partner organiser (in collaboration with EIRMA, EARTO and ProTon) of the second validation workshop on the Responsible Partnering Guidelines (May 2006) which was held with industry representatives to analyse the advantages, the need for adjustment and possible benefits of the implementation of the guidelines. The Responsible Partnering Guidelines published in 2005 were re-launched and presented at the European Business Summit in Brussels (March 2006). The Guidelines have received strong support in the major European policy report "Creating an Innovative Europe" elaborated by the Aho Group (2006).

EUA work in following up Responsible Partnering is focusing on promoting good practices and shared experience of university/enterprise collaboration in doctoral research/training (DOC-CAREERS) and regional cooperation in research and innovation between universities, industry/enterprise and government agencies (i.e. "triple helix" partnerships as demonstrated at the EUA Brno Conference).

### **Towards the Full-Costing of Externally-funded University Research**

During 2006, the EUA concentrated its efforts on pressing the case with the European Institutions for the allocation of a significant "flat rate" payment for indirect research costs in FP7 contracts to those many universities that were not yet able to identify fully their indirect research costs under the proposed FP7 eligible cost model. The "EUA Statement on FP7 Rules of Participation proposals for Support Rates and Cost Models" endorsed by the EUA Council in March 2006 proposed an indirect research costs "flat rate" of 60% of total direct costs. EUA through several workshops and presentations to European policy-practitioners and the European Parliamentarians continued to press this viewpoint throughout the deliberations on the "Rules of Participation" together with other interested parties. The final position agreed on the FP7 Rules of Participation allowed for a flat rate for indirect costs of 60% for the first 3 years of FP7 (2007-2009) with no less than 40% for the remaining years (2010-2013).

### **European Research Council (ERC)**

The European University Association has strongly supported the proposal to establish a European Research Council (ERC) as a major innovative research funding instrument within the EU Seventh Research Framework Programme (FP7) which has been widely welcomed by Europe's universities. Since the 2005 Glasgow Convention EUA has been involved extensively in the consultations over the creation of the ERC, particularly with respect to the establishment and work of the ERC Scientific Council. EUA was invited by the ERC Identification Committee to provide input on the profiles and criteria to govern the selection of the membership of the ERC Scientific Council and, together with other European organisations, to propose nominations of potential members of the Scientific Council.

Since the establishment of the ERC Scientific Council, EUA, through its Research Policy Working Group, has engaged in a regular dialogue with the President of the ERC Scientific Council. EUA has commented on the various "Strategy Notes" issued by the ERC Scientific Council as it has developed its operating procedures on the eligibility of grant applicants, application and evaluation processes, peer review panels and funding instruments.

## European Institute of Technology (EIT)

In early 2005 the President of the European Commission, José Manuel Barroso, put forward the proposal to establish a European Institute of Technology (EIT). The European Commission then launched a wide public consultation with potential stakeholders from higher education and research institutions, governments and industry/enterprises. EUA participated in this public consultation through an extensive process of seeking the views of its membership, debating the proposal in Council meetings and eventually issuing “position papers” on its views. Two position papers were published by EUA over 2006 as the European Commission’s proposal for an EIT has evolved (cf. Annex 2).

These papers have reflected the situation that the EIT proposal has met with a wide range of diverse opinions amongst the EUA membership with no clear dominant view. EUA position papers have sought clarification of key points of the EIT proposal where there were ambiguities and uncertainties so that a consensus might be achieved. These key points have related essentially to the need for (i) universities as institutions to be seen as the recognised partners within the proposed EIT Knowledge Communities and not university departments/faculties which risked the fragmentation of universities, (ii) EIT should not be a single institution but a range of networked collaborations across Europe, (iii) “fresh money” would be required beyond that allocated in Category 1A and FP7 funding, (iv) and finally, and most importantly, degrees awarded within the proposed EIT Knowledge Communities should be those of the university partner/s, and not of the EIT itself.

EUA has participated in the four “European Stakeholder” meetings convened by the European Commission as the proposal has been adapted and refined in response to comments and feedback received – the most recent being held on 15<sup>th</sup> January 2007. In relation to EUA’s four core points, the first two have been met but the latter two points remain to be resolved. The present state-of-play is that the European Commission has presented a “Proposal for a Regulation of the European Parliament and the Council establishing the European Institute of Technology” which is currently being considered by the European Parliament and the European Council (Member States). The EUA is continuing to be engaged in the debate on behalf its university membership.

### 1.3. INTERNATIONALISATION

In 2006, EUA undertook major steps to progress its international activities.

In June, the EUA Council adopted its first Internationalisation Agenda. The paper sets out basic strategic approaches and priorities for exchange and cooperation on higher education policy and institutional development issues with university associations in other parts of the world. This should serve as an orientation for international cooperation and as a basis for further discussion with members. It also outlines some concrete measures to be implemented in the period from 2006 to 2009, in particular the continuation of the Transatlantic Dialogue, the establishment of additional regional dialogue platforms, and the cautious expansion of international activity under the Institutional Evaluation Programme. In 2006, one evaluation took place in Latin America; the one planned for the Middle East had to be cancelled for security reasons.

In the framework of the Bologna Process, EUA attended the working group of the Follow-up Group on the External Dimension, which was tasked to develop a Strategy for the External Dimension of the Bologna Process for the London Ministerial Meeting in May 2007. EUA contributed actively to the drafting process.

Of growing importance is also EUA's role in presenting the European Higher Education Area and the European higher education institutions at international level. There have been several invitations to Asia, Australia, the Mediterranean region and North America. These proved generally to be useful occasions not only for providing information on Bologna and EUA, but also for building relations with international partners. As an example, EUA and EAIE jointly ran a booth at the 2006 NAFSA and delivered seminars and workshops, with very positive feedback from participants.

As the Bologna process becomes a reality in most European Higher Education Institutions, information needs have grown for their partners outside Europe to understand the tremendous changes at stake. For the second year, EUA was present at the annual conference of NAFSA, the association of international educators, with several sessions dealing with the reform taking place within European institutions and its principles. As student and staff exchanges are growing on an international scale, it is key for future collaboration that our non-European partners understand and accept the new degree structures and tools now widely in use (ECTS, Diploma Supplement).

A brochure was produced to support this information effort. Following positive feedback at the NAFSA conference, it was distributed among higher education professionals upon request and is used by the European Commission in various Education fairs organised in Asia in 2006-07. A dedicated part of the EUA website was also set up at the following address: [www.bolognaprocess.net](http://www.bolognaprocess.net) providing readers with additional information sources.

In addition to its own members, EUA's international activities involved European and international partner organisations, such as the Academic Cooperation Association (ACA), the Association of Commonwealth Universities (ACU), the European Association of International Educators (EAIE), the Institutional Management in Higher Education Programme (IMHE/OECD) and the International Association of Universities (IAU). EUA was also actively involved in the work of inter-governmental organisations such as UNESCO and OECD.

In the period of reporting, efforts concentrated mainly on Asia, North America, and Latin America and the Caribbean.





Participants at EUA/CUIB Oviedo meeting

## North America

Following the September Transatlantic Dialogue, 30 presidents and rectors from the United States, Canada, and Europe met to discuss the challenges of access, funding, and affordability. Sponsored by EUA, the American Council on Education, and the Association of Universities and Colleges of Canada, and hosted by the University Aut3noma of Barcelona, the 2006 Transatlantic Dialogue was the 10<sup>th</sup> such meeting. Underlying the discussion was a clear agreement that broad participation in higher education institutions is essential to contemporary societies. Yet, the willingness and the ability of nations to invest in higher education vary tremendously. Thus, institutions on both sides of the Atlantic are increasingly seeking alternative revenue sources, with all the attendant benefits and risks. While diversifying revenue sources has the clear benefits of augmenting revenue and decreasing dependence on unpredictable government funding, there are attendant risks of privatizing institutions and diminishing their capacity to serve society. Participants agreed that institutions require stable core funding to fulfil their historic missions of educating students, promoting inquiry, debate, and dissent, and to preserve and enrich culture. The quest for funding risks distorting some of the fundamental purposes of higher education institutions.

## Latin America and the Caribbean

EUA has continued and further elaborated its relations with Latin America and the Caribbean, in particular in cooperation with the Consejo Universitario Iberoamericano (CUIB).

On 10-11 April 2006 in Oviedo (Spain), University of Oviedo and the Prince of Asturias Foundation hosted a joint meeting of the CUIB and the EUA, in order to establish priorities for higher education and research cooperation for the years to come and to prepare a joint declaration as input to the EU-LAC Heads of State and Government Summit (Vienna, May 2006). As a result of the meeting, EUA and CUIB signed the Asturias Declaration (cf. Annex 2) which identified seven areas for cooperation. The Declaration encouraged governments of the two regions, the European Commission and other funding bodies to support this collaboration at university level as part of their international cooperation schemes.

The Oviedo meeting followed up an agreement that CUIB and EUA signed in Guadalajara (Mexico) in 2004 and took also into account a number of earlier international declarations. Actions for the development of the Asturias Declaration will continue during 2007.

## Asia, Australia and New Zealand

Building on the cooperation relations initiated under the ASEAN-EU University Network Programme, EUA together with the German and Irish Rectors' Conferences and partners in ASEAN established a consortium for exchange and cooperation in higher education governance and management. Currently, funding prospects are explored in anticipation of concrete actions to take place in 2007.

Close links with the Australian Vice-Chancellors' Committee have been maintained, and several meetings with higher education representatives of Australia and New Zealand have taken place, discussing in particular the education reform on both sides. On his trip to Europe, New Zealand's Minister for Tertiary Education Dr Michael Cullen, paid a visit to EUA. In order to continue their amiable relations, and to respond to the Australian reactions to the Bologna Reforms, EUA and the Australian Vice-Chancellors Association have scheduled a joint meeting and a Bologna information seminar to take place in November 2007 in Melbourne.

# SUPPORT AND SERVICES TO MEMBERS

It is important for EUA to balance policy development with the provision of support and services to members. Projects undertaken by EUA provide evidence for the development of policy; notable examples of this are the Doc-Careers and the Financing-Funding projects. 2006 also saw a remarkable increase in demand for IEP evaluations and there was a growth in the number of workshops and seminars offered. All this activity produced tangible results in the form of publications such as the Bologna handbook and project reports.



*Working group session in Brno*



*EUA Deputy Secretary General, John Smith, and EUA Secretary General, Lesley Wilson, at the Hamburg Conference*



*Round table discussion in Brno*



*David Crosier, EUA Board member Jean-Marc Rapp and Frank Ziegele from CHE (Centre for Higher Education Development) lead discussion in Hamburg*

# 2

## INSTITUTIONAL EVALUATION PROGRAMME

### Participating institutions

#### Individual evaluations

- University College Dublin, Ireland (follow-up)
- Eastern Mediterranean University, Famagusta
- Karol Ademiecki University of Economics in Katowice (UEK), Poland
- Politechnic Institute of Coimbra, Portugal
- University of Aveiro, Portugal
- University of Minho, Portugal
- University of Ljubljana, Slovenia
- Ramon Llull University, Barcelona, Spain
- University of Barcelona, Spain
- University of Girona, Spain
- Akdeniz University, Antalya, Turkey
- Ege University, Izmir, Turkey
- Gazi University, Ankara, Turkey
- Hacettepe University, Ankara, Turkey
- Yeditepe University, Istanbul, Turkey

#### Slovakia

- Academy of Arts in Banská Bystrica
- Alexander Dubček University of Trenčín
- Catholic University in Ružomberok
- College of Management in Trenčín
- Constantine the Philosopher University in Nitra
- Jan Selye University in Komárno
- Pavol Jozef Šafárik University in Košice
- Police Academy in Bratislava
- Slovak University of Agriculture in Nitra
- University of Prešov in Prešov
- University of SS.Cyril and Methodius in Trnava
- University of Trnava in Trnava
- University of Veterinary Medicine in Košice

## Portugal

- Instituto Politécnico de Bragança
- Instituto Politécnico de Leiria
- Instituto Politécnico do Porto
- Universidade de Coimbra
- Universidade de Évora
- Universidade Fernando Pessoa
- Universidade Lusófona Humanidades Tecnologias
- Academia Militar
- Escola Superior de Hotelaria e Turismo do Estêril
- Universidade do Algarve (follow-up)

## Steering Committee (from October 2005)

- *Prof. Henrik Toft Jensen* (Chair), Former Rector, Roskilde University
- *Prof. Tove Bull*, Former Rector, University of Tromsø
- *Prof. Ferdinand Devinsky*, Former Rector, Comenius University
- *Prof. Lee Fritschler*, Former President, Dickinson College, former Assistant Secretary for Post Secondary Education, Dept. of Education, USA
- *Prof. Dionyssi Kladis*, Professor, University of Peloponnese
- *Prof. Jürgen Kohler*, Former Rector, University of Greifswald
- *Prof. Hélène Lamicq*, Former Président, Université Paris 12 – Val de Marne
- *Prof. Helena Nazaré*, Rector, University of Aveiro
- *Ex-Officio, Prof. Christina Ullenius*, EUA Vice President, Former Rector, University of Karlstad

## 2.1. INSTITUTIONAL EVALUATION PROGRAMME

The Institutional Evaluation Programme has been in operation for 12 years and has evaluated about 160 institutions in 38 countries, mostly in Europe but also in Latin America and South Africa. The evaluation examines the institution's capacity to adapt to a changing environment, its ability to develop and implement a strategic plan and the robustness of its internal quality arrangements. The evaluations are characterised by a context-sensitive approach and avoid recourse to externally defined standards. The evaluations are conducted by European teams of senior university leaders (rectors and vice rectors) and higher education specialists as secretaries.

2006 marks a record year for the Institutional Evaluation Programme in that 38 institutions have requested evaluations. Of special note, there is a new trend of institutions that have already undergone one evaluation and a follow-up and register for yet another evaluation a few years later. This is a strong indication that the evaluations are viewed by these universities as effective tools for institutional development that contribute to internal change processes.

Following the successful review of the seven Irish universities in 2004, EUA was involved, in 2006, in a similar exercise in Slovakia. When completed in 2007, this particular evaluation exercise will include 24 institutions as well as an analysis of research capacity at the national level. EUA also started the review of a sample of 10 Portuguese institutions.

The significant effort started in 2005 to expand the expert pool and strengthen its introduction to the Programme has continued in 2006. Particular attention is given to the annual seminar that introduces new pool members to the programme, updates all members on recent developments in higher education and provides them with an opportunity to develop lasting relationships that form the basis for effective team work. In addition, given the fast-changing European higher education environment, the pool has now started receiving a special newsletter to guarantee the prompt dissemination of information on new European developments.

Finally, the Steering Committee, in cooperation with ESIB, initiated a pilot to include students in evaluation teams at the request of the university. In 2006/2007 five students are serving as members on IEP teams.

### Grenoble Research Audit

EUA was asked by the four universities in Grenoble, France, to evaluate their research activities and contribute to the mid- and long-term (2020) research strategy in Grenoble. The audit objectives were to: identify current and emerging research strengths in Grenoble and ascertain the gap between the local and international perception of these strengths, make recommendations to improve the management and structures of research partnerships and their external visibility and define the boundaries of the region in terms of research partnerships.

The EUA will further develop this kind of activity for its members in 2007.

## 2.2. MANAGEMENT WORKSHOPS AND SEMINARS

One of EUA's core missions is to contribute to the development of individual institutions and to strengthen the sector as a whole. This is achieved through two activities – Managing the University Community series and the leadership seminars – which are geared to developing the institutional capacity for change, through improved leadership, management systems and internal quality culture and processes.

Since 2003, as part of the “Managing the University Community” series, EUA has been offering workshops based on case-studies and small group discussions. These are intended to give an opportunity to senior university leaders to identify and exchange good practice on topical issues of university management.

Two workshops in 2006 focused upon the topics of fundraising and key indicators and measuring university performance. These workshops have been very successful in terms of the attendance and the mix of academic and administrative functions represented, which contributed to the quality of discussions. A publication based on case-studies from these workshops will be available in 2007.

The leadership seminars aim at deepening the understanding of senior university leaders of a specific strategic issue. Building on an experience of over 20 years in running international management seminars for institutional leaders, in 2006, EUA launched a Leadership Seminar comprising two independent modules geared to the increasing demand from members concerned with developing their competence in leading their institutions in an international context. These were based on the themes of University Leadership in an international context and working with European organisations.

“Managing the University Community” workshops series and the Brussels leadership seminar were supported by the Socrates Programme and organised in collaboration with the Leadership Foundation for Higher Education in the UK and the Centre for Science and Research Management (ZWM) in Germany. A publication based on case-studies from these seminars will be available in 2007.

These activities will be complemented in 2007 with two briefing days to update members on significant developments in European higher education.



*Participants at one EUA leadership seminar*



## 2.3. PROJECTS

### a. Financing – Funding Project

Following the Glasgow Declaration, EUA established a Funding Working Group and launched a pilot study on institutional funding patterns with the aim of contributing to the funding debate at European level and to develop its own funding policy from an institutional perspective. There is a need to analyse the available data on HE funding across the European countries with an emphasis on the comparability and transparency of the underlying methodologies and an objective to contribute to the establishment of a common reliable statistical framework (drawing on the experience of OECD and Eurydice).

The initial meeting of the Funding Working Group took place in January 2006 in London. It was agreed to proceed on two levels, and to create both a Steering Committee (SC) at the level of institutional leaders of universities willing to participate in the pilot project in order to link the concrete project work to the institutional policy level, and an Institutional Experts Subgroup (IES) made up of financial leaders of participating universities. The latter has developed a template on institutional funding.

At the first TCE project meeting on November 14<sup>th</sup>, 2006, the IES working group finalised the template and discussed preliminary results of the pilot project. The first findings of the project demonstrate that national HE funding patterns are extremely diverse, and in some countries they even differ in different provinces and by the type of HEI.

The aims of the project are to collect examples of good practice in cost accounting from HEIs across Europe with a specific emphasis on full economic costs, thereby giving these institutions the opportunity to exchange experience, to develop a generic methodology for transparent costing and to formulate recommendations for institutions that have to cost and price their activities. The project explores the link between financial responsibility and institutional autonomy.

The project will continue with an interim report and drafting recommendations for universities to achieve transparent costing in all their activities.

## QUALITY CULTURE PROJECT

## Steering Committee

- *Prof. Henrik Toft Jensen* (Chair), University of Roskilde
- *Prof. Johann Gerlach*, Freie Universität Berlin
- *Prof. Werner Jungwirth*, Austrian Fachhochschul-Conference
- *Ms. Katja Kamsek*, ESIB
- *Prof. Dionyssi Kladis*, University of the Peloponnese
- *Prof. Michel Mudry*, ESEM, Université d'Orléans
- *Prof. Ivan Ostrovský*, Comenius University in Bratislava

## b. Higher Education and the Bologna Process

### Quality Culture Project

The Quality Culture Project, funded by the EU Socrates Programme, has its origin in EUA's 2001-2003 action plan and its policy position paper on quality (EUA Council, September 2001). The project aims at developing and embedding a systematic and coherent quality culture in universities. The initial project funding in 2002 was renewed twice. 130 institutions in 30 countries participated in the three rounds.

The choice of title – “Quality Culture” – was deliberately chosen by the EUA Council in order to convey a notion of quality as a shared value and a collective responsibility for all members of an institution, rather than a tool for management and control. The project focused upon the preconditions for introducing and developing an effective quality culture. The results point to the importance of institutional governance and community building, strategic thinking based on an appropriate institutional analysis, appropriate financial and human resources including staff development schemes, and the integral causal link between strong institutional autonomy and the effective development of a quality culture.

The project was implicitly recognised in the Berlin Communiqué (2003), which stated that “the primary responsibility for quality assurance in higher education lies with each institution itself”. This was reaffirmed in the Bergen Communiqué (2005) and in the European Recommendation for Further Cooperation in Quality Assurance in Higher Education (2006).

2006 saw the publication of a consolidated report of the three project rounds.

## CREATIVITY PROJECT

### Steering Committee

- Prof. Pierre de Maret (Chair), Rector, Université Libre de Bruxelles
- Andy Gibbs, Head of International Relations, Napier University
- Prof. Eric De Keuleneer, Solvay Business School
- Prof. Fuada Stankovic, Former Rector, University of Novi Sad
- Prof. Klaus D. Wolff, Former President, University of Bayreuth
- Prof. Rodolfo Zich, Former Rector, Politecnico di Torino

### Participating institutions

*Theme 1: Creative partnerships – HEIs, industry and external stakeholders.*  
*Université Toulouse 2 Le Mirail, France, Coordinator*

- Tallin University of Technology, Estonia
- Universidad de Zaragoza, Spain
- Utrecht School of Arts, The Netherlands
- Poznan University of Economics, Poland
- "Gh. Asachi" Technical University, Iași, Romania
- Guildhall School of Music and Drama, United Kingdom

*Theme 2: Creative learners – Innovation in teaching and learning.*  
*Roskilde University, Denmark, Coordinator*

- Ghent University, Belgium
- University of Art and Design, Helsinki, Finland
- University of Miskolc, Hungary
- Università Carlo Cattaneo, Italy
- Universidade de Aveiro, Portugal
- University Politehnica of Bucharest, Romania
- Malmö Academy of Music, Sweden
- Leeds Metropolitan University, United Kingdom

*Theme 3: Creative cities and regions – HEIs, NGOs and governments.*  
*University of Salford, United Kingdom, Coordinator*

- Central European University, Hungary
- University of Stavanger, Norway
- Warsaw University of Technology, Poland
- Istanbul Technical University, Turkey

### Creativity Project

As part of its membership activities, EUA launched a new project in January 2006 – Creativity in Higher Education – with support from the European Commission in the framework of the Socrates Programme.

The project addressed the question of how creativity and innovation can be enhanced in higher education and seeks to contribute to our understanding of the ways in which European society can regain its creative edge. The project's two main objectives were (i) to foster the development of creativity in European higher education institutions through good practice related to the four network themes of creative partnerships, learners, cities/regions and HEIs and (ii) to contribute to developing and improving an institutional culture of creativity.

The project focused upon ways to develop creativity in education and research by examining how to enhance the learning and research environment as well as the relationship of higher education institutions with public and private partners. In addition, it sought to identify institutional structures and processes that can promote creativity in higher education institutions.

A project report will be published in spring 2007 based on the results of the four networks with recommendations on lessons learned from the project.

### Bologna Handbook and other Information Activities

A subscription-only handbook on issues related to the implementation of the Bologna process in higher education institutions was launched in July 2006. This is published in English by Raabe Publishers with EUA as its Editorial Board. Updates are published every three months as well as a newsletter and other documents of interest. The objective of this handbook is to create a practically-oriented and flexible tool to support higher education professionals – academics and administrators at institutional, faculty and department levels – in understanding, introducing and implementing all aspects of the Bologna Process. The handbook includes articles on the full range of Bologna action lines written by practitioners and leading experts in each field that focus on the implementation of specific elements of the Bologna Process in higher education institutions and on the identification of examples of good practice. It has proved to be a very successful initiative with over 1500 subscribers, demonstrating the need for accurate and hands-on information at the crucial stage for the implementation of the Bologna Process.

### **Bologna Promoters – Information Project on Higher Education Reform**

The Information Project on Higher Education Reform, which is undertaken by EUA as the result of a successful tender for services to the European Commission, aims at supporting European higher education institutions in implementing reforms.

Started in January 2006, the project will last for 18 months to June 2007. The project is managed by EUA as the service provider and involves EAIE, ESIB, EURASHE and “Tuning Educational Structures in Europe” in its Advisory Board.

The project relies upon the work of some 350 Bologna Promoters, acting in their national context, to inform and advise higher education institutions, and to encourage dialogue and co-operation between the higher education community, national authorities and employers with a view to ensuring a sound understanding of the reforms and a shared commitment to their success.

Bologna Promoters are professionals active in higher education and can include Vice-Rectors, Deans, Senior Academics, Directors of Study, International Relations Officers, Higher Education Experts and Student representatives. On a peer-to-peer basis, they advise and work with their colleagues on the implementation of Bologna reforms.

The project initially involved 31 countries funded through the Socrates programme. In line with its commitment to supporting all 45 Bologna signatory countries in fulfilling their engagement to implement higher education reforms, EUA extended participation to 12 Balkan and Eastern European countries which were invited to join the project activities.

Through the organisation of topical training seminars and the development of information material for the Promoters, EUA and its partners make sure that activities at national level are placed in the context of the European-wide reform process and that a common understanding of the European dimension and rationale is shared among the Promoters.

A number of activities were carried out in 2006. A meeting of the National Academic Contact Points (NACPs) for the three-cycle system and a training seminar on the same topic were organised in April and June 2006 respectively. A meeting of the NACPs for quality assurance was held in October 2006 to prepare the training seminar on quality assurance in Europe that took place in November 2006.

Specific information materials were developed for the training seminars which involved between 100 and 130 Promoters. Brochures, Readers and PowerPoint Presentations were made available to Promoters as reference material that they can use for their own training and counselling purposes.

EUA also developed a Virtual Working Community designed as a cooperation tool and a collaborative space for Bologna Promoters, aiming at facilitating communication and exchange of information.

The current project will conclude on 2-3 July 2007 with a major conference in Brussels.

## c. Research and Innovation

### DOC-CAREERS Project

This new EUA project entitled "From Innovative Doctoral Training to Enhanced Career Opportunities" (DOC-CAREERS), financed by the Research Directorate-General of the European Commission, was launched as a follow-up of the EUA Doctoral Programmes Project (2004-2005). While this project studied the practice and experience of various doctoral training programmes across Europe, DOC-CAREERS has been conceived as a ground-breaking project to explore the relations between doctoral training programmes and the career development and employability prospects for doctoral candidates. DOC-CAREERS is also connected with the Responsible Partnering initiative.

Within the context of the ambitious Lisbon and Barcelona objectives, it is crucial to prepare young researchers for careers in industry and to open career development paths between private and public sectors by providing high quality research training. The project will examine examples of good practices in evolving new structures for doctoral training in Europe which will lead to enhanced career development through transferable skills acquisition and inter-sectoral mobility.

The project will run until the end of 2007 and the main issues that will be addressed are:

- The development of transferable skills and competencies in doctoral programmes to enhance employability and career perspectives in private and public sectors.
- The extent of existing university and industry collaboration in doctoral programmes.
- Mobility Strategies for Career Development (cross-border inter-institutional collaboration and inter-sectoral mobility).
- The requirement for more systematic collection of data at university level to provide the basis for analysis of doctoral holder career paths.

To reach the objectives of the project a dialogue will be established between universities and other stakeholders (Large and Small/Medium enterprises, service enterprises, research offices, professional networks, policy makers, NGOs, etc) during 2007. The two elements of the dialogue are a series of workshops and a consultation processes. Outcomes of the workshop discussions will be widely distributed for consultation and a final workshop will serve to validate recommendations, reach conclusions and as a potential platform for future developments.

## INFORMATION AND COMMUNICATIONS

The first years of existence of EUA were dedicated to establishing a satisfactory information flow to members through the website, newsletter and publications and to achieving recognition as the voice of universities by the main European partners active in higher education. The 2006 work plan took note of those accomplishments and defined three far-reaching objectives in terms of communications:

- Promoting the visibility of European universities and the role of EUA as a representative body at European level with an increasing number of partners in both higher education and research policies.
- Targeting communications more precisely and diversifying information to adjust and adapt to a growing and more complex membership.
- Improving expertise and enhancing credibility in policy discussions by increasingly becoming a reference source for information on European universities and their work.

To improve the visibility of the European universities agenda and its own work, EUA was active in lobbying around the 7<sup>th</sup> Research Framework Programme and the new lifelong learning programme through increased participation in European Commission working groups and establishing contacts with members of the European Parliament and the European press. EUA positions around the European Institute of Technology and the new rules of participation in the Research Framework programme received a wide exposure and led to positive results for universities as shown earlier in this report. In addition, a debate was organised in October with *European Voice* (a Brussels-based newspaper) to promote the agenda of European universities and its links with both the Bologna and the Lisbon processes.

However, advocacy and networking efforts were not restricted to the European Institutions. 2006 saw the creation of a new network of university representations in Brussels. The setting-up of either individual or regional university representations is a growing trend and shows the importance of university commitment to new partnerships and funding sources, European level included. As this trend develops, it is important for EUA to identify synergy and areas of common interest to ensure maximum efficiency of its lobbying efforts. Regular meetings are organised to ensure an adequate information flow.

Many university-related topics attracted European, national and specialised media interest during the year led by the adoption of new European programmes in research and higher education and the discussions around the proposal for a European Institute of Technology. Issues taken up in a national context such as the nomination of "excellence" universities in Germany, the question of higher education funding and diversity in the UK, the university governance in France had their place. Background information, briefing and interviews with EUA experts and president as well as regular press releases ensured EUA visibility and the promotion of the association's positions.

In addition, the record number of conferences (4) organised by EUA in 2006 favoured the establishment of new media relations and attracted attention to major topics such as the funding of higher education (Spring conference in Hamburg in March), universities' contribution to regional cooperation (Autumn conference in Brno in October), setting up a European quality assurance system and the reform of Doctoral programmes.



The exceptional number of conferences, workshops and seminars offered to members this year also required additional efforts in informing and marketing those events to ensure their success. As well as the EUA newsletter and website, promotion was ensured through distribution of leaflets, use of our network of partner organisations and presence at the annual conference of the European Association of International Education (EAIE).

EUA's visibility in the European Higher Education community and beyond is still growing as shown by the 10% increase in the number of the subscribers to the EUA bi-weekly newsletter (now 6500) and 30% rise in website visitors (reaching 40000 monthly visitors on average). Regular updates and the development of information on the Bologna process ensured a constant quality in the content of EUA information products. This increasing popularity, combined with the need for more interactivity with EUA members and an efficient management of future events, led to crucial development work on the website in 2006. Now in its initial stages, the new website offers a clearer structure, an improved search functionality and a more powerful technical infrastructure which allows members to register for events more easily, enables them to receive regular news on specific topics and to post information of interest for all members. They can also access a more user-friendly Members' directory. The second phase will allow for on-line responses to surveys on key topics and provide a better tool for identifying the needs and interests of different actors within member institutions.

Through its projects and publications, EUA has established itself as the main gateway for information on European universities, starting with the sharing of information on the Bologna process. This was developed further this year through the contract with the European Commission to coordinate information and training activities for the Bologna promoters and the Bologna handbook initiative (see section 2 for more details).

Several project reports and studies were published in 2006:

- *Guidelines for Quality Enhancement in European Joint Master Programmes*  
Results of the EMNEM – European Masters New Evaluation Methodology project.
- *Research Strategy Development and Management at European Universities*  
by Sybille Reichert.
- *Quality Culture in European Universities: A Bottom-Up Approach*  
Report on the Three Rounds of the Quality Culture Project 2002-2006.
- *The Rise of Knowledge Regions: Emerging Opportunities and Challenges for Universities*  
by Sybille Reichert.
- *2005 Annual Report.*

In addition, a new leaflet was designed to reflect EUA activities more accurately as well as a brochure presenting an overview of the Bologna process (*Europe's New Higher Education Landscape*). They are both made available during EUA events and to members and partners as needed.



# ORGANISATION

## 4.1. BOARD

2005-2009

- *Prof. Georg Winckler*, Rector, University of Vienna (President)
- *Prof. Sir Roderick Floud*, President Emeritus, London Metropolitan University (Vice-President)
- *Prof. Christina Ullenius*, former Rector, Karlstad University, Sweden (Vice-President)
- *Prof. Jaak Aaviksoo*, Rector, University of Tartu
- *Prof. Peter Gaehtgens*, former Rector, Freie Universität Berlin
- *Prof. Pierre de Maret*, former Rector, Université Libre de Bruxelles
- *Prof. Jean-Marc Rapp*, former Rector, Université de Lausanne
- *Prof. Gülsün Sağlam*, former Rector, Istanbul Technical University
- *Prof. Frans van Vught*, former President and Rector Emeritus



EUA Board 2005-2009

## 4.2. COUNCIL

as of 1 February 2007

- **Austria**  
*Prof. Dr. Christoph Badelt*, President, Austrian Rectors' Conference
- **Belgium**  
*Prof. Bernard Coulie*, President, Rectors' Conference
- **Belgium**  
*Prof. Benjamin Van Camp*, President, Vlaamse Interuniversitaire
- **Bulgaria**  
*Prof. Iordanka Kouzmanova*, President, Bulgarian Rectors' Conference
- **Croatia**  
*Prof. Mateo Milković*, President, Croatian Rectors' Conference
- **Cyprus**  
*Prof. Andreas Demetriou*, President, Cyprus Rectors' Conference
- **Czech Republic**  
*Prof. Petr Sàha*, President, Czech Rectors' Conference
- **Denmark**  
*Prof. Jens Oddershede*, President, Rektorkollegiet
- **Estonia**  
*Prof. Peep Sürje*, President, Estonian Rectors' Conference
- **Finland**  
*Prof. Ilkka Niiniluoto*, President, Finnish Council of University Rectors
- **France**  
*Prof. Jean-Pierre Finance*, President, Conférence des Présidents d'Universités
- **Germany**  
*Prof. Margret Wintermantel*, President, Hochschulrektorenkonferenz
- **Greece**  
*Prof. Christos Massalas*, Chairman, Greek Rectors' Conference
- **Holy-See**  
*Prof. Msgr. Mariano Fazio*, President, Conferenza dei Rettori delle Università Pontificie Romane
- **Hungary**  
*Prof. Károly Molnár*, President, Hungarian Rectors' Conferences
- **Iceland**  
*Prof. Kristín Ingoldottir*, President, National Rectors' Conference in Iceland
- **Ireland**  
*Prof. Iognáid Ó Muircheartaigh*, President, Conference of Heads of Irish Universities
- **Italy**  
*Prof. Guido Trombetti*, President, Conferenza dei Rettori delle Università Italiane
- **Latvia**  
*Prof. Tatjana Volkova*, Chairman, Latvian Rectors' Council
- **Lithuania**  
*Prof. Romualdas Ginevičius*, President, Rectors' Conference of Lithuanian Universities
- **Luxemburg**  
*Prof. Rolf Tarrach*, Rector, Université de Luxembourg
- **Netherlands**  
*Prof. Sijbolt Noorda*, Chairman, Association of Universities in the Netherlands
- **Norway**  
*Prof. Gunnar Stave*, President, Norwegian Association for Higher Education Institutions
- **Poland**  
*Prof. Tadeusz Luty*, President, Conference of Academic Schools in Poland
- **Portugal**  
*Prof. Fernando Seabra Santos*, President, Portuguese National Conference of Rectors
- **Romania**  
*Prof. Ecaterina Andronescu*, President, Romanian Council of Rectors
- **Slovak Republic**  
*Prof. Vladimír Bálež*, President, Slovak Rectors' Conference
- **Slovenia**  
*Prof. Andreja Kocijancic*, President, Association of Rectors of Slovenia
- **Spain**  
*Prof. Antonio Vázquez García*, President, Conferencia de Rectores de las Universidades Españolas
- **Sweden**  
*Prof. Göran Bexell*, President, Association of Swedish Higher Education
- **Switzerland**  
*Prof. Hans Weder*, President, Conférence des recteurs des universités suisses
- **Turkey**  
*Prof. Erdogan Tezic*, President, Turkish Council on Higher Education (YÖK)
- **United Kingdom**  
*Prof. Drummond Bone*, President, Universities UK





### 4.3. MEMBERSHIP DEVELOPMENT

Twenty-six new members from thirteen countries joined the Association in 2006 bringing the total number of members to 777. Among these new members listed below are 18 full individual members, 6 associate individual members and two affiliate members.

#### New Members in 2006

##### *Full Individual Members*

- **Germany**
  - University of Lübeck, Lübeck
- **Greece**
  - Ionian University, Corfu
- **Latvia**
  - Riga Stradiņš University, Riga
- **Lithuania**
  - Vilnius Pedagogical University, Vilnius
- **Poland**
  - Lublin University of Technology
  - Tadeusz Kościuszko Cracow University of Technology, Kraków
- **Portugal**
  - Instituto Superior de Ciências do Trabalho e da Empresa, Lisbon
- **Romania**
  - Academy of Economic Studies of Bucharest
- **Russia**
  - Russian State Social University, Moscow
  - Saint Petersburg University of Information Technologies, Mechanics & Optics
  - Tomsk State University, Tomsk
- **Sweden**
  - Mid Sweden University, Sundsvall
  - Swedish University of Agricultural Sciences, Uppsala
  - Mälardalen University, Västerås
  - Växjö University, Växjö
- **Turkey**
  - Abant İzzet Baysal University, Bolu
- **United Kingdom**
  - King's College London, London
  - University of Northampton, Northampton

#### *Associate Individual Members*

- **Greece**
  - University of Western Macedonia, Kozani
- **Romania**
  - Tibiscus University of Timisoara, Timisoara
  - Universitatea Spiru Haret, Bucharest
- **Sweden**
  - Kungl. Musikhögskolan i Stockholm/ Royal College of Music
  - Södertörn University College, Huddinge
- **Turkey**
  - Mehmet Akif Ersoy University, Burdur

#### *Full Collective Members*

The Hungarian Rectors' Conference was established as a legal successor of the Confederation of Hungarian Conferences on Higher Education in line with the provisions of a new law on Higher Education.

#### *Affiliate Members*

- **Ireland**
  - Irish Universities Quality Board, Dublin
- **Slovak Republic**
  - Association of the Carpathian Region Universities, Kosice

#### **Resignations in 2006**

##### *Full Individual Members*

- **France**
  - Université Paul Cézanne, Aix – Marseille III
  - Université Paris-Sorbonne Paris IV
- **Germany**
  - Georg-August-Universität Göttingen
- **Poland**
  - Cardinal Stefan Wyszyński University, Warsaw
- **Spain**
  - Universidad del País Vasco, Leioa
- **United Kingdom**
  - Staffordshire University
  - University of Ulster
  - University of Bolton

#### **Exclusions\* in 2006**

- **Azerbaijan**
  - Azerbaijan Medical University, Baku
- **France**
  - Université Paul Valéry Montpellier III
- **Poland**
  - Wrocław University of Economics
- **Turkey**
  - Nigde Üniversitesi
- **Ukraine**
  - Odessa National I.I. Mechnikov University
  - Odessa State Economic University
  - Odessa State Medical University

#### **Reinstatements in 2006**

- **Belgium**
  - EUPEN, Ghent
- **France**
  - Université Michel de Montaigne Bordeaux III
- **United Kingdom**
  - University of Wolverhampton
- **Ukraine**
  - Odessa National I.I. Mechnikov University

\* for successive non-payment of the annual membership fee.

## 4.4. EUA SECRETARIAT

*As of December 2006*

*Lesley Wilson* – Secretary General  
*Andrée Sursock* – Deputy Secretary General (Institutional Development)  
*John Smith* – Deputy Secretary General (Research)

### Policy, EUA Governance and External Relations

*Lesley Wilson* – Secretary General  
*David Crosier* – Programme Development Director  
*Magdalena Habiak* – Statutory Meetings/ Membership Officer  
*Michael Gaebel* – Senior Programme Manager  
*Michael Hörig* – Project Officer  
*Charoula Tzanakou* – Project Officer  
*Sylvie Brochu* – Programme Manager  
*Johanna Laing* – Intern  
*Annamaria Trusso* – Editor  
*Isabelle Damman* – PA to the Secretary General/HR Officer  
*Hanne Smidt* – Consultant  
*Lewis Purser* – Consultant

### Quality Assurance Policy & Institutional Development

*Andrée Sursock* – Deputy Secretary General  
*Karin Riegler* – Senior Programme Manager  
*Violeta Atanassova* – Programme Officer  
*Harald Scheuthle* – Programme Officer  
*Bernadette Conraths* – Consultant  
*Carolyn Dare* – Consultant

### Research & Innovation

*John Smith* – Deputy Secretary General  
*Lidia Borrell-Damián* – Senior Programme Manager  
*Alexandra Bitusikova* – Programme Manager  
*Gemma Jackson* – Administrative Assistant



### Information & Communications

*Christel Vacelet* – Director  
*Berbel Baert* – Publications Officer  
*Elizabeth Tapper* – Press Officer  
*Cléo Lemaire* – Communication Assistant  
*Réka Sipos* – Events Manager  
*Emilie de Rochelée* – Events Officer

### Administration & Finance

*John Ashton* – Financial Director  
*Daniel Oscinberg* – IT Manager  
*Mayli Koos* – Financial Officer  
*Julien Georis* – Financial Officer  
*Françoise van den Berghe* – Receptionist

## 4.5. FINANCIAL STATEMENT AND ACCOUNTS

<p>OGH Expertises Comptables et Fiscales SA 114, rue du Rhône Case Postale 3174 1211 Genève 3 tel +41 (0)22 787 07 73 fax +41 (0)22 786 41 91 Mobil +41(0)79 203 45 19</p> <p><small>Partenaire de ORFA* - www.orfa.ch Organe de Révision des Fiduciaires Associées SA Aigle, Genève, Lausanne, Montreux, Villars *membre de la Chambre Fiduciaire</small></p>	 <p>OGH Expertises</p>
<p>Report of the auditors to the Members of</p> <p><b>EUA, European University Association Brussels &amp; Geneva</b></p>	
<p>As auditors of EUA European University Association, we have audited the accounting records and the financial statements (balance sheet, profit and loss account) for the year ended December 31<sup>st</sup>, 2006.</p> <p>These financial statements are the responsibility of the EUA secretariat. Our responsibility is to express an opinion on these financial statements based on our audit. We confirm that we meet the legal requirements concerning professional qualification and independence.</p> <p>Our audit was conducted in accordance with auditing standards promulgated by the profession, which require that an audit be planned and performed to obtain reasonable assurance about whether the financial statements are free from material misstatement. We have examined on a test basis evidence supporting the amounts and disclosures in the financial statements. We have also assessed the accounting principles used, significant estimates made and the presentation of the overall financial statements. We believe that our audit provides a reasonable basis for our opinion.</p> <p>In our opinion, the accounting records and financial statements comply with the law and the EUA Articles of Association.</p> <p>We recommend that the financial statements submitted to you be approved.</p> <p>Geneva, February 16<sup>th</sup>, 2007</p>	
 <p>OGH Expertises Comptables et Fiscales SA Ingo GIANNI Auditor in charge Swiss Chartered Accountant</p>	
<p><small>Enclosures : - Annual Financial Statements including the balance sheet, the profit and loss account and the note.</small></p>	

## PROFIT AND LOSS all euros

	ACTUALS 31/12/2006			31/12/05
	Geneva	Brussels	Total	Total
<b>INCOME</b>				
Membership Fees	43 663	2 202 258	2 245 921	2 281 788
Grants & Subventions	153 856	287 858	441 714	235 106
EC Projects	0	1 286 444	1 286 444	1 441 064
EUA Projects	758 249	11 648	769 897	538 834
Financial and Other	25 888	89 715	115 603	62 178
<b>TOTAL INCOME</b>	<b>981 656</b>	<b>3 877 923</b>	<b>4 859 579</b>	<b>4 558 970</b>
<b>EXPENSES</b>				
PROJECTS				
EC Projects	0	1 457 943	1 457 943	2 032 758
EUA Projects	475 516	559 714	1 035 230	546 854
EUA Projects Development	215 000	130 000	345 000	25 000
<b>sub total Project</b>	<b>690 516</b>	<b>2 147 656</b>	<b>2 838 172</b>	<b>2 604 612</b>
SALARIES				
Staff Expenses	216 792	2 093 689	2 310 481	1 901 832
Provision Sal & Soc Chg	0	154 000	154 000	129 000
Fees	54 450	47 130	101 580	129 986
<b>Sub total Salaries</b>	<b>271 242</b>	<b>2 294 819</b>	<b>2 566 061</b>	<b>2 160 818</b>
Recharged Salaries to EC Projects		-852 697	-852 697	-611 258
Recharged Salaries to EUA Projects	-49 158	-387 421	-436 579	-201 344
Recharged Salaries to EC Operating Grt		-163 811	-163 811	
Info & Communications	0	82 072	82 072	86 830
OFFICE COSTS				
Rent	0	171 000	171 000	147 250
Utilities	0	6 211	6 211	5 143
Office Maintenance	0	5 196	5 196	4 417
<b>Sub total Office Costs</b>	<b>0</b>	<b>182 407</b>	<b>182 407</b>	<b>156 810</b>
CORE EXPENSES				
Travel & Meetings	5 073	165 150	170 223	193 118
Conferences	0	0	0	6 817
Maintenance and Repairs	276	0	276	0
Books and Periodicals	3 642	10 124	13 766	5 255
Printed Material	0	14 691	14 691	16 497
Copying	0	3 822	3 822	3 602
IT & Office Supplies	0	31 278	31 278	29 575
Insurances	157	7 986	8 143	10 973
Postage	141	9 808	9 950	12 863
Telephone, Fax	0	49 444	49 444	35 303
Fees, legal, audit, translation	7 480	2 694	10 174	6 312
Other Expenses	10 120	7 311	17 431	13 260
<b>Sub total Core</b>	<b>26 889</b>	<b>302 310</b>	<b>329 199</b>	<b>333 575</b>
Depreciation	0	65 645	65 645	58 585
Financial Expenses	1 148	6 062	7 211	9 562
Sub total Depr & Bank & W/O	1 148	71 707	72 856	68 146
EC Operating Grant	0	204 271	204 271	0
Recharged Expenses to EC Operating Grant	0	-40 460	-40 460	-111 275
Recharged Expenses to EC Projects	0	-14 100	-14 100	-4 000
<b>TOTAL EXPENSES</b>	<b>940 637</b>	<b>3 826 753</b>	<b>4 767 391</b>	<b>4 482 915</b>
<b>Result surplus/(Deficit)</b>	<b>41 019 €</b>	<b>51 170 €</b>	<b>92 188 €</b>	<b>76 055 €</b>

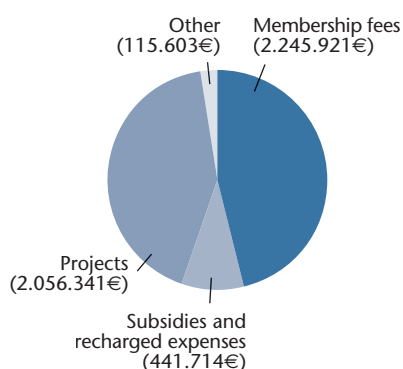
## BALANCE SHEET all euros

	31/12/2006		31/12/05	
	Geneva	Brussels	Total	Total
<b>ASSETS</b>				
<b>FIXED ASSETS</b>				
Office Equipment	0	217 955		
	<b>0</b>	<b>217 955</b>	<b>217 955</b>	<b>142 225</b>
<b>RECEIVABLES</b>				
European Commission	0	716 084		
Membership Debtors	95 495	31 061		
Inter Company account	257 312	66 872		
	184 316			
	<b>537 123</b>	<b>814 017</b>	<b>1 351 140</b>	<b>2 224 040</b>
<b>CASH</b>				
Bonds and Shares	0	45 305		
Term accounts	108 306	754 462		
Bank (Business Account)	2 243 687	863 058		
Cash at Hand	0	775		
	<b>2 351 993</b>	<b>1 663 599</b>	<b>4 015 592</b>	<b>3 106 044</b>
<b>PREPAID EXPENSES</b>	<b>10 924</b>	<b>9 952</b>	<b>20 876</b>	<b>15 981</b>
<b>INCOME RECEIVABLE</b>	<b>68 584</b>	<b>950 027</b>	<b>1 018 611</b>	<b>114 936</b>
<b>TOTAL ASSETS</b>	<b>2 968 624</b>	<b>3 655 550</b>	<b>6 624 173</b>	<b>5 603 225</b>

## LIABILITIES

<b>OWN FUNDS</b>				
Net Asset brought forward	466 828	84 481		
Result Current Year 2005	41 019	51 169		
	<b>507 847</b>	<b>135 650</b>	<b>643 497</b>	<b>551 309</b>
<b>PROVISIONS &amp; ACCRUED EXPENSES</b>				
Provision for Social Liabilities	90 000	554 000		
Provision for Projects development	250 000	215 000		
Other Provision	225 200	100 000		
Accrued Holiday Allowance	0	94 000		
Other Accrued Expenses	74 718	276 795		
	<b>639 918</b>	<b>1 239 795</b>	<b>1 879 713</b>	<b>1 433 227</b>
<b>PAYABLES</b>				
European Commission Payables	0	1 802 035		
Other Payables	21 370	293 754		
	<b>21 370</b>	<b>2 280 106</b>	<b>2 301 476</b>	<b>2 104 184</b>
<b>DEFERRED INCOME</b>	<b>853 247</b>	<b>0</b>	<b>853 247</b>	<b>385 073</b>
<b>INCOME FEE RCVD IN ADV</b>	<b>946 241</b>	<b>0</b>	<b>946 241</b>	<b>1 129 431</b>
<b>TOTAL LIABILITIES</b>	<b>2 968 623</b>	<b>3 655 550</b>	<b>6 624 174</b>	<b>5 603 225</b>

Source of income as of 31 December 2006



NOTE	31/12/06		31/12/05	
Asset blocked as guarantee	0	10 212	10 212	8 962
Guaranties issued for EC Projects	0	254 085	254 085	0

\* Note: Total projects are broken down as follows: EC projects €1 457 943, EUA projects for €1 035 230 and €345 000 in project development. EC projects include EUA salaries €852 697 and Partners salaries for €117 216; Travel: EUA €110 341 and Partners travel for €77 333; Other €300 356. EUA projects expenses include salaries €436 579, Travel €390 587, Other €208 064.

# ANNEX 1

## EUA EVENTS AND MEETINGS IN 2006

### Presidency Meetings

22 February	Copenhagen, Denmark
17 May	Vienna, Austria
10 July	London, United Kingdom
30 November	Gothenburg, Sweden

### Board Meetings

26 January	Brussels, Belgium
29 March	Hamburg, Germany
9-10 June	Brussels, Belgium
6 September	Salzburg, Austria
18 October	Brno, Czech Republic
14-15 December	Brussels, Belgium

### Council Meetings

27 January	Brussels, Belgium
30 March	Hamburg, Germany
30 June	Brussels, Belgium
19 October	Brno, Czech Republic

### General Assembly

31 March	Hamburg, Germany
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### Statutes Review Group Meetings

28 August	Brussels, Belgium
30 October	Brussels, Belgium
13 December	Brussels, Belgium



### **EUA Conferences**

"Funding Strong Universities: Diversification, Student Support and Good Governance"  
30 March-1 April 2006, Hamburg, Germany

"European Universities as Catalysts in Promoting Regional Innovation"  
19-21 October 2006, Brno, Czech Republic

### **EUA Managing the University Community Workshops**

"Fundraising for Universities: Exploring Options"  
17-18 February 2006, Istanbul, Turkey

"Institutional Performance Indicators: Which ones are Needed to Steer the Institutions?"  
1-2 December 2006, Strasbourg, France

### **EUA Leadership Seminars**

"University Leadership in an International Context: Building, Leading and Implementing an International Strategy"

11-14 June 2006, Lausanne, Switzerland

"Working with European Organisations: For the Best Strategic Benefit of the Institution"  
9-10 November 2006, Brussels, Belgium

### **First European Quality Assurance Forum Co-organised by EUA**

"Embedding Quality Culture in Higher Education"

Hosted by the Technische Universität München, funded by the Socrates Programme and co-organised by EUA, ENQA, ESIB and EURASHE

23-25 November 2006, Munich, Germany

### **Events organised in the framework of the Information Project on Higher Education Reform**

Meeting of the National Academic Contact Points for the Three Cycle System  
24-25 April 2006, Brussels, Belgium

Training Seminar on the Three Cycle System  
22-23 June 2006, Napier University, Scotland, UK

Meeting of the National Academic Contact Points for Quality Assurance  
3-4 October 2006, Brussels, Belgium

Training Seminar on Quality Assurance  
22-23 November 2006, Technische Universität München, Germany

### **EUA-BFUG Doctoral Programmes Follow-Up Project**

Workshop "Doctoral Programmes in Europe: Supervision and Generic Skills Training"  
23-24 March 2006, Brussels, Belgium

Workshop "Doctoral Programmes in Europe: Doctoral/Graduate/Research Schools, Master – PhD link"

26-27 October 2006, Brussels, Belgium

### **Bologna Seminar Co-organised by EUA**

Bologna Seminar on "Doctoral Programmes in Europe"

Hosted by the University of Nice and organised by EUA and the French Ministry of Education and Research

7-9 December 2006, Nice, France

# ANNEX 1

## **Joint Seminar on Doctoral Education**

Joint seminar on “Doctoral Education in a Global Context”  
Organised by EUA and by the Council of Graduate Schools (CGS)  
3-5 September 2006, Salzburg, Austria

## **Conference about Higher Education in South East Europe Co-organised by EUA**

“Strengthening Higher Education and Research in South East Europe: Priorities for Regional and European Cooperation”  
Organised by EUA and by the University of Vienna, with the support of the Austrian Presidency of the European Union  
2-3 March 2006, Vienna, Austria

## **EUA- CUIB Meeting**

Meeting between EUA and CUIB (Consejo Universitario Iberoamericano) in preparation for the EU-Latin America/Caribbean Summit  
Hosted by the University of Oviedo and the Prince of Asturias Foundation  
10-11 April, Oviedo, Spain

## **2006 Transatlantic Dialogue Co-organised by EUA**

“Access, Funding and Affordability”  
Organised by EUA, ACE (American Council of Education) and AUCC (The Association of Universities and Colleges of Canada)  
6-9 October 2006, Barcelona, Spain

## **Research Policy Working Group**

6 March 2006, Vienna, Austria  
22 May 2006, Vienna, Austria  
18 September 2006, Vienna, Austria

## **Working Group on FP7 Rules of Participation and Research Support Cost Models**

27 February 2006, Brussels, Belgium.  
5 May, 2006, Prague, Czech Republic (together with Workshop on Implications of FP7 Cost Model for Universities in EU New Member States) University of Prague and the Czech Rectors’ Conference

## **Responsible Partnering Guidelines Initiative (EUA, EIRMA, EARTO, PROTON)**

Session on Responsible Partnering convened at European Business Summit  
16-17 March 2006, Brussels, Belgium  
“2<sup>nd</sup> Validation Workshop on Responsible Partnering”  
Organised in cooperation with the European Commission, DG Research  
29 May, 2006 Brussels, Belgium

# Conclusions and Recommendations for Action adopted by participants in the meeting: “Strengthening Higher Education and Research in South East Europe – Priorities for Regional and European Cooperation”

## INTRODUCTION

The Western Balkans countries have great potential in spite of the scale of the challenges still facing universities. Despite the problems, governments, higher education institutions and students share the common objective of creating a European Higher Education and Research Area, and of supporting the fundamental premises of the Lisbon Strategy that knowledge societies and economies can only be realised through strong and socially responsive higher education institutions. While these goals are shared throughout Europe, they are particularly pertinent for the Western Balkan countries. **Growth and the creation of jobs is of the utmost urgency and action is required now if this is to be achieved. Therefore priority has to be given to increasing investment in higher education and research now as a key long-term strategy for the region, in order to meet both the current and emerging needs of citizens. All stakeholders should be involved in this process. Universities accept the challenge; action is required by governments at national, regional and European level.**

## I. IMPLEMENTING THE BOLOGNA PROCESS

A strategy to improve dramatically the numbers of students acquiring quality higher education degrees is essential if the Western Balkans countries are to be able to compete and cooperate in Europe. Developing higher education systems offering more opportunities and a more diverse tertiary education provision should become the basis for European and regional cooperation. Indeed universities in the region fully accept their responsibility in enabling this European future to be realised, and recognise that structures and models that were appropriate in the past need to be adapted for the future.

**Ministers in the region are strongly encouraged** to follow up their commitment to European objectives by taking the necessary consequent action. Public funding should be provided to institutions to support European priorities, with incentives for successful implementation of Bologna objectives and to prepare adequately the participation of higher education institutions in the new programmes of the European Commission. Support should also be given to national teams of Bologna promoters to implement the key tasks of developing and disseminating knowledge about European higher education reforms and developments.

As part of their European commitment, **Ministers from the region are also encouraged** to consider areas where regional cooperation could be strengthened for the benefit of all. This is particularly important in relation to reaching the Bologna goals of developing quality assurance systems, and promoting the mobility of students, academic and administrative staff.

The universities in the region **urge EU Ministers to reinforce** their commitment to the social dimension in a perspective of cooperation and support between Bologna signatory countries. Inequality of opportunity exists not only within higher education systems, but also between them, and increasing the volume of targeted action to support institutions and students from the region in European cooperation programmes is urgently required.

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## II. RESEARCH AND INNOVATION

The proposals in the recent EU Communication on the Western Balkan countries to increase efforts to support research and researchers are very welcome. Nevertheless the universities in the region consider that these efforts will need to be intensified if they are to be sustainable and stop the flow of qualified researchers out of the region.

One of the biggest challenges of successfully integrating into the ERA is the establishment of R&D infrastructures. This will contribute to the improvement of cooperation, communication and networking between European universities, research institutions and funding organisations. The universities in the region **recommend targeting specific support to R&D infrastructure development in line with the immediate priorities of the Accession and Pre-Accession countries.**

Furthermore **the universities recommend strengthening the participation of universities, research institutions and researchers from the Western Balkan countries in the 7<sup>th</sup> Framework Programme** through appropriate instruments. Given the importance of capacity building and human resources development, **special attention should be paid to reinforcing support to national contact points, and to the training of research managers.** New scholarship and mobility schemes should be established to enhance exchanges of researchers, teachers and students both between the Western Balkans and other European countries and within the region.

The role of higher education institutions in the knowledge triangle of education, research and innovation will increasingly depend on their closer cooperation with industry. Special support schemes should be developed to enhance applied research cooperation opportunities between higher education institutions in the region and developing technology oriented SMEs.

In view of the success of the SEE-ERA.NET (the European network for integration of the WBC into the ERA) project in establishing a sustainable network of institutions from the EU Member States, Accession and Pre-Accession countries, **partners are encouraged to support a new research cooperation support scheme with and within the region as a follow-up initiative.**

## III. CONSEQUENCES FOR INSTITUTIONAL REFORM AND DEVELOPMENT

Implementing this higher education and research agenda implies rethinking the role of governments in relation to universities, as well as action at university level. Governments need to be encouraged to exercise trust in institutions, and to provide incentives for reform.

It supposes that higher education institutions develop increasingly in a European context through reinforcing cooperation, strengthening the European dimension, and taking account of good practice in a number of ways. This will require institutions that are autonomous and accountable to society, and committed to improving their governance structures and management, including taking care to involve students systematically.

Finally, to underpin and sustain this process, **governments in the region should continue to amend higher education legislation to integrate universities into one legal entity in order to accelerate the coherent implementation of the Bologna and European research agendas.** They should also seek to professionalise public management of higher education, for example through the creation of competent intermediary bodies for specific tasks, such as funding, research management and quality assurance.

Vienna, 3 March 2006

# A Vision and Strategy for Europe's Universities and the European University Association

## I. STRONG EUROPEAN UNIVERSITIES

1. The strength of Europe and its universities lies in the interplay of diverse cultural and multiple linguistic traditions and heritage. This diversity has sometimes led to violent conflict. But now that Europe is committed to peaceful collaboration and growing integration, its universities are a major source of creativity, achieved both through cooperation and productive competition. They are also equipping the peoples of Europe for a prosperous future<sup>1</sup>.

2. Universities are able and willing to help to shape that future. They educate a large proportion – soon to be about half – of the peoples of Europe; their research underpins every European industry; they are the major employers in many towns and regions; they stimulate innovation and technological change; they question, criticize and form policy. They think, create and work for the long term, but also make a vital contribution to the short term.

3. Europe's universities have recently shown that they are able to respond rapidly to new challenges and new circumstances. Since the 1960s in western Europe, since the 1990s in eastern Europe, student numbers have grown enormously – sometimes by three or four times – transforming the system from one catering to a small segment of society to a mass system. Research output has grown markedly, while universities have assumed many new tasks such as knowledge transfer to society at large and industry in particular and increased support to the development of their regions. At the same time, universities have been at the forefront of the information technology revolution and contribute substantially to the innovative potential of a nation.

4. Europe's universities, as mainly public institutions serving the common good, therefore assert a grand aim: to support, for the benefit of all, the continued development of the culture, society, technology and economy of Europe. They are heirs to a tradition of enquiry which is rooted in several faiths and in the rationalism of the Enlightenment; it prizes fearless criticism of received ideas in order to advance knowledge. As international institutions by their very nature and basic discourse, Europe's universities welcome the globalization of knowledge and regard themselves as part of the world community of scholarship and research.

## II. THE PUBLIC ROLE OF EUROPEAN UNIVERSITIES

5. Europe faces many challenges:

- The European Union must continue to develop its institutions and internal market, now the largest in the world, as well as to deepen its formal relations with neighbouring European countries. Europe's countries must learn to work even better together.
- Europe must respond to increasing globalization and the development of economic competitors by increasing its own innovative potential and competitiveness, while also accepting a responsibility to assist other areas of the world to share in the fruits of economic progress which Europe now enjoys.
- Demographic changes, in particular the ageing of many populations, are likely to foster further internal migration and immigration; at the same time, they will add to the emphasis on lifelong learning which is required by the rapid development of technology and extensions of working life.

<sup>1</sup> This document adopts a broad definition of universities as meaning all institutions engaged in higher education and research.

## ANNEX 2

- Environmental issues, such as the interplay between climate change and the use of energy, require urgent action, scientific, technological and political.
- As labour becomes relatively scarcer and more expensive, it will be ever more important to maintain living standards and foster economic growth through further technological innovation. Economic growth is at the foundation of the development of the European social model.
- For the same reason, as well as for the good of society as a whole, Europe must overcome social exclusion and ensure that all its citizens play, to the full extent of their capacity, a role in society and the economy<sup>2</sup>.

6. Europe's universities and their staffs and students will engage in policy-making to meet all these challenges. Through their research and teaching in all fields of scholarship, universities will not only provide the evidence needed for sound policy formation but will use their expertise to contribute to discussion and debate in national and European policy-making<sup>3</sup>.

### III. A EUROPEAN HIGHER EDUCATION SYSTEM

7. As dynamic institutions universities promote excellence and innovation by teaching, research, and knowledge transfer and thus contribute crucially to the evolution of the whole of society. In the so-called "knowledge society" they are no longer the preserve of a small section of society instead, they are committed to ensuring access to all who can benefit from academic education.

8. Europe's universities will work with governments and student bodies to ensure that all Europeans who have the capacity to benefit from a university education also have the opportunity to access and complete that education. This implies adequate measures of support – both financial and educational – for students, as well as provision of counselling and educational and careers guidance. With sufficient funding, the universities commit themselves to develop and provide such support to underpin higher education and to fit students for the world of work.

9. The universities recognize that a mass system of higher education implies the existence of universities with different traditions, missions, and strengths. Some will continue to emphasise academic excellence and to aspire to rival the best research-based universities of the world, others will concentrate more on teaching or on knowledge transfer to their regions or local industries. Our vision of European universities of the future is that of a system of academic institutions with highly diversified profiles, providing a wide spectrum of graduate qualifications and facilitating mobility of staff and students. The European universities intend to further develop this European higher education system, in which institutional diversity will be made visible and recognisable, and in which universities are able to develop their own missions and profiles.

10. Challenging times imply challenges to established structures. Europe's universities have inherited, and sometimes welcomed, structures and hierarchies which divide higher education and research rather than encouraging institutions to work together. Such divisions have no place in a modern and inclusive Europe; Europe's universities – like those in the United States – will instead take their place in a system of higher education institutions, which incorporates progression routes from one institution to another but is based on equality of esteem for diverse missions.

<sup>2</sup> European Commission 2005 "European values in the globalised world" COM (2005) 525 final, Brussels 20/10/2005.

<sup>3</sup> This was the challenge posed by President Jose Manuel Barroso at the EUA Congress in Glasgow in March 2005.

11. Europe should not expect to get any of its universities on the cheap. The universities require adequate funding. Both public and private sources must be available, if universities are to carry out their work to the best international standards. Most European governments are unable or unwilling to finance, through taxation, the expansion of higher education that has recently occurred or that is to come. As expansion continues, it is inevitable that it will depend on an increase of private funds; universities must continue to ensure that this is compatible with fair access and social justice. Universities recognize, also, that they must demonstrate their efficiency and effectiveness in return for either public or private funding.

12. Mission diversity, strategic capability, and accountability can only be developed if universities have the freedom to do this. The higher education system must therefore be based on autonomous institutions, with freedom to control and manage their own resources and to compete as well as collaborate, accepting the responsibility to make the most efficient use possible of the resources which they command; this requires that universities are trusted to act responsibly. Old state bureaucratic systems which prefer control over trust must be swept away so that universities can respond rapidly and efficiently to the needs of society and the economy.

13. Diversity requires, also, close attention to the quality of teaching and learning and of research. Universities are the guardians of their quality – it is fundamental to their existence and their value – but they accept the need to demonstrate that quality exists, albeit in many different forms. It is very important, however, to avoid the reinvention of bureaucratic systems in the guise of regulation and quality control.

14. Universities perform a multiplicity of public roles, but their *raison d'être* is teaching, research and the transfer of knowledge.

## Teaching and learning

15. The universities of Europe reaffirm their commitment to teaching and learning, to the Bologna process and the creation of a European Higher Education Area (EHEA). They will prepare students for the labour market, for further competence building throughout their lives and for active citizenship. The Bologna process has set in motion a complex cultural and social transformation process; it is changing long-accepted notions of higher education and emphasising the importance of lifelong learning.

16. The Bologna process requires a fundamental reconsideration of the nature of the curriculum and of pedagogic methods in every discipline, to ensure a student-centred approach and the achievement of appropriate learning outcomes at every level and in every subject. Universities commit themselves individually to the constant examination and reinvigoration of academic curricula through robust internal quality processes; collectively, they will continue working in partnership with external quality assurance agencies at European level to enhance accountability procedures that strengthen the overall quality of Europe's universities.

17. The Bologna process is only a start and Europe's universities expect to develop further – individually and together – after 2010. Universities and their staff will, in the next decade, adapt to a world in which most of the accumulated knowledge of centuries is available on every desktop and every mobile phone. Technological change has, as yet, hardly impinged on teaching methods. Traditional means of teaching – such as lectures to large inert audiences – will increasingly be enriched by interactive learning; textbooks will be supported by use of databases and other online tools; classes will be taught, wherever their physical location, by experts from across the world. Face-to-face tuition and learning has many virtues; it will survive, but as part of a wider armoury, in which the university as a physical presence will be blended with virtual means of tuition and access. At the same time the physical mobility of staff and students will continue to be an essential element of the European higher education landscape.

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18. Because Europe's universities serve the countries of Europe and also the world, they must work to preserve a wide range of courses which provide for short- and long-term needs of the economy and of society. Europe will continue to need scientists and engineers, nurses and doctors, students of the languages of other continents, and students in the humanities and social sciences. Because universities think over centuries, they must collectively (and with the support of governments) accept responsibility for maintaining subjects even if they appear temporarily unattractive to students.

### Research

19. Europe's universities believe that research, whether curiosity-driven or application oriented is the fundamental basis and companion of teaching. Even if governments, for short-term economic reasons, are increasingly selective in the allocation of funds for research, the universities will continue to assert the need for all university staff to engage in research, teaching and knowledge transfer, to the mutual benefit of each.

20. Europe's universities are determined to play their full part in the creation of a European Research Area (ERA) and to continue progress towards the full participation of the European Union's 'near neighbours' within that area. Universities welcome the realization by governments, and by the Union, that discovery, training and knowledge transfer are essential underpinnings for economic growth and for improving the competitiveness of Europe as a whole. They will strengthen their efforts to improve the doctoral programmes, postdoctoral provision, research training and career possibilities that they are uniquely placed to offer to young scientists, and to intensify not only their competition – recognizing that it is a powerful spur to discovery and innovation – but also their collaboration through formal and informal networks at institutional, faculty and individual levels.

21. Technological change will affect research as well as teaching. Open access to research findings will diminish existing monopolies on knowledge. Virtual networks of researchers, physically located in many different countries, will develop as researchers seek out the best people with whom to work. It is important that facilities for research, as for teaching, are widely available throughout Europe so as to minimize the possible effects of unidirectional "brain-drain" while maximizing exchange of students and researchers within Europe.

### The transfer of knowledge

22. Knowledge serves the world but it can also be "activated"<sup>4</sup> to serve individual countries or regions, within a world in which barriers of different kinds to communication and trade in goods and services are reducing.

23. Many of Europe's universities were created to serve their regions and local or regional business and industry and they welcome the opportunity to do this in modern conditions. European companies and universities have made less than optimal use of each other as potential partners. This is part of a general under-investment by Europe in knowledge creation and innovation<sup>5</sup>. The universities must play their part in rectifying this position by becoming more responsive to the needs of their business, enterprise and other regional partners while at the same underlining that their main focus remains to produce highly qualified graduates. Universities will become more entrepreneurial, when and if they are given the freedom to do so. Industry, and the financial sector, must also learn to work with universities rather than simply taking their knowledge; in particular, they must pay a fair price for the expertise and ideas that they obtain.

<sup>4</sup> Soete, Luc 2005: "Activating Knowledge", a paper prepared for the UK Presidency of the EU.

<sup>5</sup> Soete, Luc op. cit. 2005:6: "It is the dramatic difference between the US and our private funding investments which is actually most striking. Only Sweden attracts a similar amount of private funds into knowledge investment, primarily research as the US does. In the EU as a whole we fail to convince our firms and our citizens to invest in knowledge. It is a failure which is first and foremost a failure to 'activate', to open up higher education to private funding."



## IV. EUROPE'S UNIVERSITIES IN THE WORLD

24. Europe's universities are part of the worldwide community of scholarship and research. The staff of European institutions collaborates with staff from universities throughout the world, in both research and teaching. Europe also welcomes hundreds of thousands of students from other parts of the world; most later return to their home countries but retain connections with their European university. Increasingly, Europe will export its expertise, for example by delivering programmes or setting up branches of European universities in countries around the world.

25. Such developments hold dangers but also opportunities and responsibilities. Already, Europe is importing many staff from less prosperous areas of the world. The movement of excellent staff, to wherever they will work best, must not be inhibited, but Europe shares a responsibility to develop the university systems of other countries. Just as joint degrees are developing within Europe, sharing the experience of different institutions, so joint teaching and research must develop, aided by information technology, over even longer distances.

## V. THE MISSION OF EUROPE'S UNIVERSITIES

26. Given the vision and strategy presented above, the European universities see it as their mission to perform, as essential part of the knowledge society and economy, the tasks of invention, innovation, teaching, learning, research, knowledge transfer and the fearless criticism of ideas, in the service of Europe and the world.

## VI. A STRATEGIC MISSION FOR THE EUROPEAN UNIVERSITY ASSOCIATION

27. In the context of the vision for Europe's universities the European University Association (EUA) formulates its strategic mission as follows: The European University Association (EUA) intends to be a strong voice for Europe's universities and to speak on behalf of the sector; it will serve their needs and ensure their full engagement in the development of the cultural and social dimension as well as the innovation potential and economy of Europe.

28. In order to fulfill this mission the EUA will assist the European universities to further develop their ideals, skills and capabilities in the context of the challenges that Europe is facing. The EUA sees it as its task to help the European universities to jointly work on the implementation of the strategy for Europe's universities as described in the first part of this paper. To be able to do so the EUA will design rolling work programmes and financial forecasts in which concrete actions will be formulated and budgets prepared on an annual basis.

29. The following issues will be addressed in these work programmes:

- i) The EUA will develop its own strategy, in conjunction with its members, to become the central source of information on Europe's universities and their work and to articulate the voice of European universities at the highest level, so that policy-makers and others have access to well-informed advice on all matters of economic, social, scientific and technological development. EUA will also fulfil this function towards universities, university associations and other partners in other regions of the world.
- ii) The EUA will examine its own membership criteria and structures. It will seek, in collaboration with other partners, to achieve an organisation which will create a strong voice for European higher education.
- iii) The EUA will document the financial and other needs of students for study as well

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as academic and other support both in their own and other countries. EUA will establish the funding base and financial needs of Europe's universities, develop models of funding from diverse sources and urge governments and the private sector to implement such models.

iv) The EUA will encourage the implementation of a vigorous quality culture in institutions, while being mindful to respect the requirements of promoting diverse and innovative institutions, and will continue to participate actively in the development of European QA policies, in partnership with ENQA, ESIB and EURASHE.

v) The EUA will continue to participate actively in the governance of the Bologna process. It will reinforce its European dimension through cooperation based on a shared commitment to quality. It will encourage its implementation in institutions, in particular by encouragement of curricular change, and improvement of study programmes in all three cycles. The unique research training role of European universities means that particular attention will be paid to the reform of doctoral programmes.

vi) The EUA will support the European Research Area. It will work with the responsible bodies to ensure appropriate structures and the efficient and effective working of future EU Framework Programmes. EUA will support the successful implementation of the European Research Council, underline the importance of the necessary infrastructure in universities across Europe, contribute to the strengthening of human resources and work to incorporate the ethical framework of the Code of Conduct for researchers. EUA furthermore emphasises that research and the integral link between teaching and research underpins the work of all universities, even if the intensity of research varies between them. The necessary concentration of research funding should not go so far as to damage scholarship and knowledge transfer and the research potential of Europe as a whole.

vii) The EUA will continue to develop and share knowledge of modes of industrial and regional partnership. It will encourage universities to explore networks and collaboration to serve such partnerships. It will work to increase mutual understanding between universities and business, at national, regional and local levels and to establish knowledge transfer as a third role of universities on a par with teaching and research.

viii) The EUA will support its members in addressing issues of institutional effectiveness, efficiency, and internal governance. It will develop strategic management approaches for increasing institutional effectiveness and improving the professionalisation of institutional management on a broad range of issues. And it will develop costing models that allow for efficiency and accountability.

ix) The EUA will work with the university associations of other continents to increase understanding of each other's systems and to ensure that freer trade in services does not diminish the quality of higher education and research.

EUA, 12 March 2006

## EUA Statement on FP7 Rules of Participation Proposals for Support Rates and Cost Models

The European University Association (EUA) approaches this issue from the starting position of its Glasgow Declaration resulting from the Third Convention of Higher Education Institutions (April 2005) which identified the conditions for sustaining Europe's Universities as "Strong Universities for a Strong Europe". On funding needs for strong institutions, it states that:

"Universities are working to diversify their funding streams. They are committed to exploring combined public/private funding models and to launching a structural and evidence-based discussion within EUA and its stakeholders. They will develop full economic cost models and call on Governments to allocate funds accordingly".

Universities recognise, therefore, their responsibility to address fully the definition and content of "full economic research costs" in relation to the differing circumstances at the national and regional level governing the financial support for university infrastructure and running costs, and to develop their accounting systems accordingly. For its part, the European Commission should also recognize that it has a key role to play in building-up university research infrastructure (both through direct and indirect research costs funding) to enable them to participate fully in achieving the European Research Area. EUA has welcomed, therefore, the European Commission's commitment to the principle of the reimbursement of both direct and indirect eligible research costs in its proposal for the FP7 Rules of Participation.

EU Research Framework Programmes remain a central and important source of external research funding for universities that has had a major positive impact in fostering collaborative research across universities, research institutions, business enterprises, non-government organizations, user groups and other societal stakeholders. EUA has welcomed the opportunity, therefore, to be involved in the "Sounding Board" established by the European Commission Research Directorate which has been concerned to bring forward proposals for the "Simplification" of application, evaluation and contract procedures and the rules of participation. EUA has supported the many improvements that have been proposed to these procedures that seek to reduce administrative burdens on universities and SMEs.

On the issue of project costs re-imburement, however, EUA has indicated through the submissions of its views to the "Sounding Board" that the proposed elimination of the cost reporting models used under FP6 would cause concern for many universities who had adjusted their accounting practices to those models and were used to them. In particular, those many universities that presently opt for the "additional costs model" hold serious reservations that the level of research cost re-imburement to be offered under the proposals for FP7 Rules of Participation will not match that achieved under FP6.

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EUA believes that there is a strong case for a “transition phase” in which universities have sufficient time to develop further their accounting systems to be able to operate fully within the proposed FP7 eligible research costs model. The most critical issue will be the level of the flat rate for indirect research costs re-imburement in the case of those universities that are not yet able to identify fully such costs. Without such a transition period, there is a real danger that university participation will decline in FP7. The “transition phase” should take the following preferred form:

- The fixing of the flat rate payment (on research and development activities for public bodies and higher education institutions) for indirect research costs at 60% of total direct costs.

Such a transition phase should be offered as an incentive to universities to develop their accounting systems to be able to operate on full eligible cost principles by the end of FP7.

EUA is willing to present working models based on FP project experience from several EU countries to demonstrate that the above proposal would ensure an equitable and fair transition phase for universities while at the same time providing them with incentives to identify their full costs. EUA welcomes further dialogue on this issue and, in doing so, is concerned particularly to foster the enhanced participation in FP7 of EU New Member States universities who have not had extensive experience of FP cost re-imburement models and whose local conditions in terms of employment regulations and indirect research costs support differ from Western European EU States.

EUA, 30 March 2006

## EUA Policy Position on the European Commission's "Communication to the European Council on the European Institute of Technology (EIT)"

### The European University Association:

*Underlines the importance of the rationale* presented for the establishment of the EIT, namely the need to help create a better environment in Europe for maximizing the benefits from public and private investment in research and development.

*Supports the overall objective set of creating a new space for creativity in research and training in Europe* that is uninhibited by restrictive national regulations and administrative barriers and hence able to achieve greater potential in terms of fostering public private partnerships, entrepreneurship and innovation.

*Believes that the proposed legal construction for the "knowledge communities", as presently defined, is the wrong mechanism for reaching the goals behind the creation of the EIT:* knowledge communities of university departments, faculties and laboratories – rather than universities as institutions – together with companies and research institutions, and established as separate legal entities will not achieve the synergetic effects intended but rather contribute to the institutional and intellectual fragmentation of Europe's universities at a time when strong, autonomous and accountable institutions are crucial if universities are to play their role as the "locus where education, research and innovation meet".

*Considers that universities' legitimate interests as Europe's core institutions in the "Knowledge Triangle" must be brought into the centre of the further development of the concept,* and that it is the responsibility of universities to engage firmly in the further debate on the EIT that in a relatively short period has become a major EU policy priority.

### EUA undertakes:

- *To reiterate the preconditions already set out in its earlier submission to the EIT public consultation,*
  - establishment of the European Research Council with an annual budget of €1.5 billion;
  - securing fresh money outside of Category 1A, preferably with matching contributions from public and private funding sources.
- *To investigate solutions that*
  - strengthen existing institutions and avoid fragmentation of Europe's universities including in relation to the granting of degree awarding powers;
  - demonstrate added value in relation to proposed FP7 instruments and hence clarify where the "substantial core public funding" is coming from in relation to "other competitive Community funding sources";
  - ensure that relevant national experiences of business enterprise collaboration are taken into account;
  - explore alternative, innovative and European approaches to achieving the overall objectives identified in the EIT proposal if the legal and financial problems involved with the current EU Communication cannot be resolved.
- *To engage actively in the further EU discussions of the EIT Communication on behalf of its university membership.*

*Recommends in parallel that the EC Communication on the Universities* – under discussion since the Hampton Court summit and addressing the key issues important for maximising the potential of universities and reinforcing their position – is presented to the European Council in the near future and urges *maximum synergy between this process and further work on the EIT, as a further means of reinforcing the position of Europe's universities rather than increasing the risk of fragmentation.*

Hamburg, 30 March 2006

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## EUA Comments on the European Commission's New Communication on the European Institute of Technology: Further Steps Towards its Creation

The European University Association (EUA) welcomes the open and productive consultations initiated by the European Commission on its proposal to launch the new initiative of a European Institute of Technology. The new Communication of 8 June 2006 indicates that the European Commission is taking account of the reservations about the original proposal expressed by EUA. The EUA position on the February 2006 Communication on EIT had endorsed the overview of the challenges facing Europe to which the EIT initiative was addressed, but had critically questioned the appropriateness of the proposed legal construction of the "knowledge communities" and secondment operational mechanisms which, it was felt, risked bringing about greater fragmentation of Europe's Universities.

EUA comments on the June 2006 Communication are grouped in three categories; firstly, we address those areas where improvements in the revised text have been made in relation to our earlier critical concerns; secondly, we draw attention to key questions on which clarification is required; and thirdly, we provide further input on key aspects of the EIT proposal.

### I. AREAS OF CONSENT

#### Universities as "shareholders" in EIT

EUA has placed emphasis that the impression of "building walls" around faculties/departments/laboratories within universities should be avoided as it would work against the EIT goal of creating new dynamic interdisciplinary environments for achieving synergies across education, research and the open innovation process. The new Communication appears now to recognize that universities as a whole should be "shareholders" engaged in the structured dialogue with the EIT Governing Board as partner organizations in making strategic decisions. There should be no ambiguity on this central point. A partnership approach is needed with universities and other host institutions of the EIT Knowledge Communities in the spirit of achieving "win-win" collaborations.

#### Flexible EIT staffing arrangements

On "Staffing arrangements between the EIT and Knowledge Communities", the new Communication offers greater flexibility in these arrangements and lists several staffing "options" that may apply ranging from direct employment to dual affiliation. Such greater flexibility is welcomed because it should facilitate the necessary integration of EIT knowledge communities within their university environments to ensure that full benefits are received by them as partner organisations for the medium to long term.

## II. QUESTIONS TO BE CLARIFIED

Firstly, it remains to be further defined what are the relationships between the “European Institute of Technology” and the “Knowledge Communities”. Are the “Knowledge Communities” co-owned by the (mother-) EIT and by others, i.e., universities or industry? The EIT is described briefly as a “light, effective and operational entity” with a “legal personality” and the Governing Board at its central core. EIT is further outlined as “an autonomous body with an innovative structural and operational model and a strong European identity” but its strategic activities and relationships with the Knowledge Communities themselves are un-stated. Further specification and consultation on the distinct roles of the EIT, its legal framework, the work and tasks of its Secretariat vis-à-vis the Knowledge Communities will be a crucial requirement.

Secondly, there remains ambiguity over what balance the EIT will have with respect to “operational” or “funding” activities. In Section 2, “Structure and Governance” it is said that “EIT is an institution which selects and funds “Knowledge Communities” – whereas in Section 8 EIT is stated as “a knowledge operator not a funding mechanism”. A requirement for “substantial public funding” is now mentioned but with no indication of its source. Ambiguity over where EU funding from competitive sources will come from, therefore, also persists. An explicit statement that funds will not be diverted from the EU 7th Research Framework Programme (2007-2013) to the EIT initiative would be a welcome development.

Finally, the form of the legal instrument establishing EIT is left unexplained. A lot of faith and trust is left in the hands of the proposed Governing Board. It is stated only that the chosen legal instrument would provide the “broad framework of objectives and operational rules within which the EIT Governing Board should be free to define the detailed organisation and operation”.

In particular, the nature of the legal instrument will be crucial to determine the feasibility of the awarding of degrees from the EIT and/or “Knowledge Communities”. How the EIT legal framework would accommodate and relate to national regulatory, in particular, quality assurance frameworks governing the awarding of university degrees and their differing specifications is a major issue that is left open. The proposed creation of EIT degrees will have to demonstrate that real added-value for graduates would be achieved. The preference should be to award joint degrees, enhancing the reputation of both the EIT and the participating universities, which could serve as a model on how to overcome inconsistent and bureaucratic national regulations that now impede Intra-European joint programs. Such an approach would build upon the achievements, and keep to the spirit of the Bologna Process reforms.

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## III. FURTHER EUA INPUT ON KEY ASPECTS OF THE NEW COMMUNICATION

### Knowledge Communities

Knowledge Communities will need to be able to respond to the open innovation process and rapidly changing research agenda requiring interdisciplinary and non-linear approaches. Knowledge Communities (which should be perhaps more appropriately re-named "Innovation Communities") should have the flexibility to allow individuals to move to other opportunities within their host institutions, and be open to new entrants bringing other expertise. The optimum lifetime for an EIT Knowledge Community should be 10 years with a mid-term review. The possibility of renewal for a further 5 years could be possible but with specific attention devoted to avoiding the risk of the establishment of a "conservative" structure without sufficient input of new expertise and perspectives particularly from younger professionals.

### Governing Board

The proposed establishment of an Identification Committee to consider the profile and criteria for the selection of the membership of the proposed Governing Board, on the model of that established for the ERC, would be an appropriate and proven method to follow. Given the need for a "demand-driven" agenda for the EIT, the Chair of the Identification Committee should be drawn from the industrial and business communities. Members of the Identification Committee should be selected for their demonstrated innovative capacities in their respective careers in different employment sectors.

The Governing Board, once established, should preferably allow an open process for the identification and selection of topics for EIT Knowledge Communities rather than adopt a strictly "top down" choice of topics. This is not to say that the Governing Board should not indicate priorities but they should be in broad topic fields with an emphasis on risk-taking rather than risk-averse approaches.

Governing Board members should be drawn from all three domains of the "Knowledge Triangle" concept underpinning the EIT initiative. Independence of members from EU Member State Governments would be a crucial requirement.

### EIT and ERC

A clear distinction between the role and mission of the ERC and EIT must be established. The ERC should support and stimulate individual and team-based fundamental research. It will be research-driven, with an emphasis on strengthening the "supply-side" by excellent research. The EIT initiative should be innovation-driven (excellence in innovation) and meet the overall demands to innovate industry by fostering productive "partnerships" between industry/business enterprises, universities and research institutions.

### The need for continuing dialogue with partners

The EUA believes that the valuable consultation dialogue initiated with European Stakeholders should continue as an open and transparent process throughout the crucial development stage of the EIT concept.

Brussels, 10 July 2006



## Asturias Declaration

*On 10-11 April 2006, the Consejo Universitario Iberoamericano (CUIB) and the European University Association (EUA) gathered in Oviedo (Spain), at a meeting hosted jointly by the University of Oviedo and the Prince of Asturias Foundation to establish priorities for higher education and research cooperation in the years to come and to prepare a joint declaration as input to the EU-LAC summit meeting that will take place in Vienna on 11/12 May 2006.*

### I. PREAMBLE

#### Considering that:

- The UNESCO World Declaration on Higher Education (Paris, 1998), the Bologna Declaration (1999), the Brasilia Statement for Science and Technology Cooperation (2002), the Guadalajara Declaration (2004), and the Salamanca Declaration (2005), underline the importance of higher education and research as a public responsibility, as well as the benefits of international cooperation.
- The CUIB, in its constitutive act (2002) aims to foster cooperation with universities from other regions and underpins the role of universities in processes of regional integration.
- The EUA Glasgow Declaration (2005) reaffirms these principles and acknowledges that European integration must be accompanied by strengthened international cooperation based on a community of interests.
- CUIB and EUA, representing the universities in their respective areas, signed a Framework Agreement on the 27<sup>th</sup> May 2004 with the objective of uniting efforts to build a common area for higher education and research between EU and LAC universities.

### II. AIMS AND OBJECTIVES

#### Latin American, Caribbean and European universities:

- Commit themselves to forging a strategic alliance between universities in these regions, *for their mutual benefit* and in the interests of solidarity, in order to establish a shared knowledge area, based on the principles of sustainable development and respect for their rich heritage and cultural diversity.
- Recognise that this cooperation serves a multiplicity of objectives: reinforcing common heritage and traditions; promoting excellence; fostering competitiveness and innovation through knowledge transfer and capacity building.
- Seek to play a crucial role as engines for development within their respective countries and regions, on the basis that their primary objective is to promote the education and training of knowledgeable, enterprising and resourceful people.
- Share a commitment to the social underpinning of economic growth and the ethical dimensions of higher education and research, and reiterate the importance of upholding the principle of public responsibility for higher education.

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## III. PRIORITIES

### ■ Supporting the development of human resources

EU and LAC societies require highly skilled populations, which have to be developed by close attention to human resources and the preparation of future generations of researchers and teachers in higher education. Particular attention must be paid, through the facilitation of mobility, to the needs of countries not currently able to generate sufficient numbers of doctoral students able to form the next generation of university teachers and researchers.

### ■ Promoting information sharing on reform process in Europe, Latin America and the Caribbean

Mutual knowledge and understanding is crucial for building successful partnerships. Thus EUA and CUIB will promote and facilitate information sharing on convergence processes in Europe, in particular the Bologna reforms, and similar processes underway in Latin American and Caribbean higher education systems.

### ■ Developing innovative inter-institutional research collaboration and partnerships

EU and LAC universities have similar responsibilities for providing broad research-based education in response to society's growing need for professionals with a wide range of skills, and for enhancing research and innovation; therefore they commit to promoting long-term inter-institutional research collaboration, across a wide range of academic disciplines.

### ■ Enhancing cooperation with business and enterprises

Joint cooperation should encompass the encouragement of dialogue with industry and its main stakeholders in EU and LAC countries as a means of contributing to the training of young professionals in LAC. Such cooperation should include support for the creation of research parks and research/technology centres as one way of promoting sustainable national and regional development.

### ■ Increasing the two-way mobility of students, researchers and academic staff

EU and LAC universities reiterate the importance of mobility of academic staff, researchers and students in fostering a common knowledge area and believe that reciprocal mobility should be increased and become an integral part of all partnership agreements. This requires ensuring that appropriate arrangements for the recognition of study periods spent abroad are in place.

### ■ Strengthening quality assurance

EU and LAC universities consider that strengthening cooperation in quality assurance will serve to develop a firm basis for mutual trust and will improve transparency while respecting the diversity of national contexts, thus facilitating recognition and the development of joint programmes.

### ■ Language learning

Universities need to be able to communicate at different levels in order to develop sustainable partnerships. CUIB and EUA therefore underline the importance of including provision for language learning as an essential component of all joint programmes and activities.

## Prerequisites for developing long-term partnerships

Universities are committed to promoting democracy, enhancing cultural, social and technological innovation and contributing fully to building the knowledge-based societies of the future. In order to fulfill these aspirations and to underpin cooperation in the different areas set out above, the EUA and CUIB reiterate the importance of *strengthening the autonomy and responsibility of universities* and of *ensuring sustainable and diversified funding*. They furthermore draw attention to the importance of enhancing institutional leadership in order to ensure that the appropriate professional management systems and arrangements are in place to implement successfully joint cooperation agreements.

## IV. RECOMMENDATIONS

- *Governments* should give greater priority to the support of initiatives agreed in the Summit conclusions and should involve all partners in the follow-up arrangements. This requires adequate follow-up of EU-LAC summits, continuing senior officials meetings for science and technology, and ALCUE follow-up group meetings, as well as ensuring synergies between them and involving higher education institutions in these processes in an adequate way.
- *Governments, the European Commission and private funding bodies* should allocate increased funding to promote enhanced cooperation in higher education and research as a matter of priority. *The European Commission is encouraged to strengthen existing initiatives* open to universities in Latin American and Caribbean countries such as Alpha, Alban and Erasmus Mundus – for example through the opening of a Latin-American and Caribbean “window” in Erasmus Mundus along the lines of the recently agreed “Asian “window” – in the priority areas identified, as well as to increase opportunities for involvement in the 7<sup>th</sup> Framework Programme for Research. All such initiatives should take account of Latin American and Caribbean realities and favour endogenous growth. Governments should ensure that the appropriate legal frameworks are modified to allow LAC countries that are part of the ACP group to participate in all EU-LAC higher education and research initiatives.
- *Universities* should develop joint programmes as a priority area for collaboration; while the central element should remain the advancement of knowledge through research, activities should also take account of changing labour market needs.
- *Universities* should also make better use of existing national, regional, EU and LAC instruments and mechanisms for research cooperation and *governments* are asked to introduce additional measures to increase possibilities for collaborative research between universities in the two regions as a matter of priority.
- *Universities* must also use to the full the opportunities offered by existing networks and cooperation schemes at national and European level *to facilitate academic staff, researchers and student exchange* between EU and LAC countries. *Governments* and universities should provide particular incentives for continuous two-way mobility of doctoral candidates and young researchers/academic staff, building on the example of the Marie Curie programme, as a particularly effective means of building stable inter-institutional partnerships between universities. *Governments are urged to take action to solve barriers to mobility* such as restrictive visa requirements, residence permits, internship and labour-market regulations.

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## V. CONCLUSION

The CUIB and the EUA, representing universities in their respective regions:

- Commit themselves to the principles, priorities and recommendations for action included in this Declaration and to establishing an action plan for their implementation.
- Urge the EU-LAC Heads of State meeting on 11/12 May in Vienna to accept their responsibilities: in recognizing the importance of and providing the necessary support for strengthening higher education and research cooperation between their two regions as a means of promoting cultural, social and technological innovation, and to working together with universities to ensure rapid progress in the implementation of the recommendations made.

Oviedo, Asturias, 11 April 2006

Georg Winckler  
EUA President

Rodolfo Alarcon  
CUIB President

Lesley Wilson  
EUA Secretary General

Felix Garcia Lausin  
CUIB Secretary General

# Final Conclusions of the Bologna Seminar on Doctoral Programmes: Matching Ambition with Responsibilities and Resources

## I. INTRODUCTION

**1. Starting Point-The Bergen Communiqué:** Ministers meeting in Bergen in May 2005 recognised that in order to *improve the synergies between the higher education sector and other research sectors and between the EHEA and the European Research Area* “doctoral level qualifications need to be fully aligned with the EHEA overarching framework for qualifications using the outcomes-based approach. The core component of doctoral training is the advancement of knowledge through original research. Considering the need for structured doctoral programmes and the need for transparent supervision and assessment, we note that the normal workload of the third cycle in most countries would correspond to 3-4 years full time. We urge universities to ensure that their doctoral programmes promote interdisciplinary training and the development of transferable skills, thus meeting the needs of the wider employment market. *We need to achieve an overall increase in the numbers of doctoral candidates taking up research careers within the EHEA. We consider participants in third cycle programmes both as students and as early stage researchers.*

**2. Mandate:** The European University Association, together with other interested partners, is asked to prepare a report under the responsibility of the Follow-up Group on the further development of the basic principles for doctoral programmes, to be presented to Ministers in 2007.

### 3. Methodology:

- Steering Committee: EUA, Austria, France, ESIB, EURODOC.
- Terms of Reference endorsed by the BFUG.
- Design of a specific “inner circle” of events, & also taking account of an “outer circle” of other events & analyses.
- Consolidation of the work at the **Nice Bologna Seminar** followed by the preparation of a draft report for the BFUG in early 2007.

## II. TAKING ACTION TO FOLLOW UP THE BASIC PRINCIPLES ADOPTED IN SALZBURG

The Bergen Communiqué took account of the 10 basic principles adopted in Salzburg. The further development of these ten basic principles requires action and commitment from all the partners in the (Bologna) Process: governments, institutions, and their staff in partnership with doctoral candidates and other early stage researchers.

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## Setting the scene

In formulating the conclusions and recommendations that follow participants underlined the importance of the uniqueness of the doctoral cycle that provides training by and for research and is focused on the advancement of knowledge through original research. Participants furthermore reiterated the crucial role of the doctoral cycle in contributing to meeting Europe's research goals and in linking the European Higher Education and Research Areas.

1. *While doctoral programmes are unique they should not be considered in isolation but in relation to the implementation of the three Bologna cycles as a whole: a research component, and the development of transferable skills, need to be adequately included and developed throughout the cycles.*

2. *A range of innovative doctorate programmes are emerging to respond to the changing demands of a fast-evolving labour market. Employability of doctoral researchers both within and outside academic institutions, as well as individual and societal needs for lifelong education and training, have acted as a catalyst to the development of new programmes, including professional doctorates, more industrial collaboration and increased European and international cooperation.*

3. *Doctoral programmes are a key component of European higher education in a global context; questions of internationalisation and mobility, and the establishment of joint degrees at doctoral level, are central to institutional strategic development.*

4. *Greater attention is needed to the social dimension of the third cycle. Equity is a major concern. Equality of access to, and ability to succeed in, the third cycle must be a consideration, whether inequality derives from gender, ethnicity, financial situation or other circumstances.*

5. *Doctoral programmes are also crucial for fostering innovation and creativity in society, and it is vital to invest both in high quality disciplinary research and in inter-disciplinary and intersectoral programmes.*

6. *The need for greater and targeted investment in the third cycle is clear, and should be addressed as a matter of urgency. It should not be forgotten, however, that this also implies investment in the first two cycles. It is important, in particular, to ensure that second cycle (master) degrees are not only driven by market demand given the integral link between the second and the third cycle.*

## The role of higher education institutions

Higher education institutions fully accept their responsibility to develop and deliver high quality doctoral programmes. This requires autonomous institutions able to develop strategies and policies in line with their own missions and goals and *create the necessary framework conditions at institutional level that enable critical mass.*

### *Providing structure and organisation*

Accepting responsibility for the provision of high quality doctoral programmes involves introducing the appropriate structures within institutions. Organisational structures chosen must demonstrate added value for the institution, in particular in seeking to:

- Counteract the isolation of the early stage researcher, from other disciplines, or from the larger peer group, or the larger scientific community.
- Establish transparency of expectations, quality and assessment standards (supervision etc.).
- Create synergies regarding transferable skills development (at institutional or at inter-institutional level).

Different solutions may be appropriate to different contexts and the choice of structure is a matter for each institution, based upon the specific institutional aims which these structures are supposed to meet.

Recent developments and an analysis of practice across Europe points to the emergence of two main models of high quality, internationally oriented and networked doctoral/research/graduate schools as organisational structures:

- Structures including master & doctoral candidates & providing crosscutting administrative, training and development support, or,
- Structures including doctoral candidates only, around a research theme or a cross-disciplinary area & possibly including several institutions.

#### ***Developing attractive research career perspectives for early stage researchers***

It is similarly the role of higher education institutions to take responsibility for:

- Promoting attractive research careers and career perspectives for doctoral researchers in collaboration with partners outside academia, thus promoting the development of clear career paths inside and outside academia and between academia and other sectors of employment.
- Creating attractive conditions for research, in accordance with the provisions of the European Researchers' Charter & the Code of Conduct for the Recruitment of Researchers.
- Concentrating funding to create more effective PhD training.

#### ***Post-doctoral researchers***

European higher education institutions need to pay attention not only to the career development of doctoral researchers but also to the strategic need to make research careers attractive for post-doctoral researchers and to facilitate their career development. Clear academic career structures and a variety of career perspectives in academia as well as in industry, commerce and the public sector are needed, both for individuals and for Europe to compete on the global stage, taking account of the recommendations made under 4.1.

#### ***Ensuring access and admission***

In a fast-changing environment, it is essential to maintain flexibility in admissions to doctoral programmes, and full institutional autonomy: diversity of institutional missions and context, and the growing importance of lifelong learning, mean that there are good reasons for different entry requirements in institutions and programmes provided fairness, transparency and objectivity is ensured.

The Bologna commitment that the second cycle gives access (= right to be considered for admission) to the third cycle should be maintained, but access to the third cycle should not be restricted to this route.

#### ***Enhancing the internationalisation of doctoral programmes***

Mobility is an integral part of doctoral education at many universities. Higher education institutions should support enhanced mobility at doctoral level within the framework of inter-institutional collaboration as an element of their broader international strategy. Institutions, but especially public authorities, need to address legal, administrative and social obstacles, for example concerning visas, work permits and social security issues.

Both international and transsectoral and interdisciplinary mobility should be recognised as bringing added value for the career development of doctoral researchers and other early stage researchers.

Joint doctorate degrees, European doctorates and co-tutelle arrangements should be further developed and considered as an important instrument of international inter-institutional cooperation.

# ANNEX 2

## Improving the quality of doctoral programmes

### *Diversifying doctoral programmes*

A number of diverse routes to the doctorate have been developed in Europe in recent years. These recent developments include doctorates tailored towards specific professions (so-called “professional” doctorates), joint doctorates and the European doctorate, and a variety of university-industry collaboration based doctorates.

All awards described as Doctorates should (no matter what their type or form) be based on a core of processes and outcomes. Original research has to remain the main component of all doctorates. There should be no doctorate without original research.

Core processes and outcomes should include the completion of an individual thesis (based upon an original contribution to knowledge or original application of knowledge) that passes evaluation by an expert university committee with external representation.

### *Professional doctorates*

So-called “professional” doctorates are doctorates that focus on embedding research in a reflective manner into another professional practice. They must meet the same core standards as ‘traditional’ doctorates in order to ensure the same high level of quality. It may be appropriate to consider using different titles to distinguish between this type of professional doctorates and PhDs.

In order to ensure a broad discussion on this topic it will be important to ensure the dissemination of information on the rapidly growing number of professional doctorates – particularly in the UK but also in other countries – across the entire European higher education sector.

### *Supervision, monitoring & assessment*

The importance of supervision, monitoring and assessment, as outlined in the Salzburg principles, must continue to be stressed, and universities encouraged and supported in the development and dissemination of good practices in the management of research degrees. Arrangements need to be based upon a transparent contractual framework of shared responsibilities between candidates, supervisors and the institution, and, where appropriate other partners, as indicated in the Salzburg recommendations. Attention should be paid in particular to ensuring: multiple supervision, the continuous professional skills development of academic staff and performance reviews of supervisors.

Multiple supervision should be encouraged, also at international level, through tutoring and co-tutoring by academic supervisors in different European countries.

Assessment of the thesis should be done by an expert university committee with external representation. The impact of the supervisor on the outcome of the process should be limited. This does not preclude participation of the supervisor in the examining body, especially when this is a large body or when the thesis defence is public.

### *Transferable skills development*

Transferable skills development, which should already be an integral part of first and second cycle study programmes, is also important in the third cycle, and should be developed in the context of overarching institutional support structures at doctoral level. The main goal should be to recognise and raise awareness among doctoral candidates of the skills they acquire through research, thus improving their employment prospects both in academia and on the broader labour market.

Ensuring that adequate funding is devoted to transferable skills development is crucial. It is likewise important to ensure that reference to transferable skills development is included in institutional quality assessment procedures.



## Public responsibility

### *Status and conditions of doctoral and postdoctoral researchers*

Universities and public authorities in Europe share a collective responsibility to address the status and conditions of doctoral and post doctoral researchers. Doctoral candidates are early stage researchers who are vital to Europe's development and, as stated in the Salzburg principles, should have all commensurate rights.

Appropriate status and working conditions should also be recognised as essential for post doctoral researchers for whom clear academic structures and a variety of career perspectives are also needed. Post-doctoral researchers should be recognised as professionals with a key role in developing the European knowledge society, as underlined in the European Researchers' Charter and Code of Conduct for the Recruitment of Researchers. This implies that:

- The duration of the post doctoral phase without a clear career perspective should be limited to five years.
- They should be eligible to apply for national and international grant schemes to fund their research.
- Initiatives like the Independent Researcher grant scheme of the ERC should be encouraged.
- If the number of researchers is to rise and be covered by appropriate salaries, governments should invest more in research and social infrastructure for researchers in order to make the European Research Area more attractive.

### *Funding<sup>1</sup>*

Ensuring appropriate and sustainable funding of doctoral programmes and doctoral candidates as well as higher education institutions and their infrastructure is the 10<sup>th</sup> and final Salzburg principle, and quite simply needs to be implemented, given the crucial role of doctoral education and training as the key formative stage of a research career in both academia and non-academic sectors of employment and that because the attractiveness of a future career in research is determined largely at the doctoral stage. Hence the importance of ensuring status and financial support of the doctoral candidate, and of offering adequate incentives.

On the basis of the **provisional analysis of the questionnaires received from BFUG members** it is recommended that:

- Funding for doctoral candidates should be stable, covering the full period of the doctoral programme, and provide sufficient means to live and work in decent conditions.
- Funding should be sufficiently attractive to encourage suitably-qualified candidates from lower income groups, as well as sufficiently flexible to support the needs of part time students over a longer period of study.
- There is an urgent need for greater consultation and coordination at the national level between government ministries, research councils and other funding agencies (including European Institutions) on doctoral programme financing and career development.

Nice, 9 December 2006

<sup>1</sup> This section is based upon the provisional analysis of the questionnaires received from BFUG members. The final results will be incorporated into EUA's report to the BFUG and will feed into the specific recommendations for action that will be made.





The European University Association (EUA) is the representative organisation of universities and national rectors' conferences in 46 European countries. EUA plays a crucial role in the Bologna process and in influencing EU policies on higher education, research and innovation. Thanks to its interaction with a range of other European and international organisations EUA ensures that the independent voice of European universities is heard wherever decisions are being taken that will impact on their activities.

The Association provides a unique expertise in higher education and research as well as a forum for exchange of ideas and good practice among universities. The results of EUA's work are made available to members and stakeholders through conferences, seminars, website and publications.

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