

annual report 2007

European University Association



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FOREWORD

from the president



Professor Georg Winckler
EUA President

Europe needs strong universities as “dynamic agents” in the knowledge triangle of education, research and innovation, strong, autonomous and accountable institutions able to push forward and build on the reform and innovation that is already underway as we begin to consider the contours of the European Higher Education and Research Areas post 2010. This was EUA’s crucial message to policy makers in 2007, a year which saw the beginning of the debate on the future of the Bologna Process and next steps in the construction of the European Research Area.

At a time when not just Europe but the whole world is becoming a ‘knowledge society’ the contribution of Europe’s universities to shaping Europe’s future is becoming increasingly important and recognised by all stakeholders. Our vision for the future is set out in the Lisbon Declaration, agreed at the 2007 EUA Lisbon Convention in the presence of European Commission President, José Manuel Barroso. The Lisbon Declaration describes how universities are looking forward to playing a pivotal role in meeting the innovation goals set by the Lisbon Agenda, in particular through their commitment to the European Higher Education and the European Research Areas, and provided the basis for my presentation on your behalf to the Bologna Ministerial meeting held in London in May 2007.

However, to be successful, certain pre-conditions need to be fulfilled. The adaptability and flexibility required to respond to a changing society and to changing demands depends above all on increased autonomy and adequate funding. These are therefore key issues for EUA; they formed the basis for discussions in the EUA autumn 2007 Conference in Wroclaw and will constitute the main focus of the spring 2008 event in Barcelona.

Europe cannot hope to compete with education systems in other parts of the world if higher education and research budgets are not viewed as an investment in the future, and urgently increased. Our message in 2007 has been to call on governments to follow the European Commission’s recommendation to increase investment in higher education to at least 2% of GDP within a decade while working together with members on the crucial topic of financial sustainability. As with the need for greater autonomy, these are also tasks for the future where all partners must work together if the goals are to be met.

2008 promises to be another busy year for EUA. The association will continue to expand the scope of its policy involvement at European level while at the same time launching new membership activities. I am particularly pleased to announce our plans to launch the EUA Council for Doctoral Education, a new independent membership service designed to respond to the growing demand from universities for EUA to step up its support to members on this crucial topic.

On behalf of EUA Vice Presidents, Professor Christina Ullenius and Professor Jean-Marc Rapp, and the other members of the board, I thank you for your active and continued support of EUA. We look forward to working closely with you all in the coming years to make sure that EUA can continue to ensure that the voice of universities is heard at European level.

A handwritten signature in dark ink, appearing to read 'Georg Winckler'. The signature is fluid and cursive.

Professor Georg Winckler
EUA President

FOREWORD

from the secretary general



Lesley Wilson
EUA Secretary General

EUA has continued to grow in 2007, thus representing an ever larger number of universities and university associations across Europe with increasingly different profiles and needs. At the same time the association is called upon to present the views of universities in a growing number of policy discussions at European level, as you will see in the different sections of the present report.

In order to ensure informed input to policy discussions as well the best possible support to members, our goal has been to offer a variety of ways in which members can contribute and benefit from their membership of EUA: these included in 2007 the organisation of several large scale conferences for university leaders as well as more targeted, specialist events, including international meetings and study visits, and the possibility for members to participate in a range of projects and surveys and other specific membership services.

Thus, more than 1,500 higher education leaders participated in the three major conferences organised in 2007: the March Convention in Lisbon, the October autumn conference in Wroclaw and the Second European Quality Assurance Forum in Rome in November. These events provided opportunities for the heads of universities and other senior staff, policy makers, and higher education experts to exchange experiences and best practices on key issues as well as providing invaluable input into the different areas of our policy work outlined in this report.

Meanwhile, our flagship Institutional Evaluation (IEP) programme continued to grow in popularity with individual universities as well as being increasingly in demand to organise reviews at the level of national systems. Thus, in 2007, audits carried out included the evaluation of 10 institutions in Portugal and 24 universities in the Slovak Republic, building on the success of earlier operations in Ireland and in Catalonia in Spain. This underlines the increasing importance attached by individual universities and national and regional higher education systems to considering their performance in a broader European and international context.

Situating EUA activities at European level in the context of international developments has also been a defining element, more generally, of activities undertaken by EUA in 2007. Building on the EUA International Strategy published in 2006 and a growing interest from members in strengthening international cooperation and research collaboration, EUA organised, for example, its first series of events in Asia. These included visits to leading universities in Singapore and Malaysia and an Asia Europe Colloquium on University Governance and Management. This was followed up by a study visit to Australia. EUA will continue to pursue contacts with Asian universities in 2008 with the launch of a new EU funded project to develop an EU-Asia Higher Education Platform for academics and policy makers.

Finally, on behalf of all my colleagues in the EUA Secretariat, I would like to thank members for their contribution to our work in 2007, and look forward to further developing our cooperation, in response to your needs, in the year to come.

A handwritten signature in black ink, which appears to read 'Lesley Wilson'. The signature is fluid and cursive, written in a professional style.

Lesley Wilson
EUA Secretary General

EUA - THE VOICE of universities at european level

EUA's mission as the voice of Europe's universities is to influence the outcomes of European level policy debates on issues that will have an impact both at national level on the work of national university associations and for the association's over 750 individual member universities. Equally, EUA looks to support its members in understanding and responding to these developments in an ever-more complex and competitive global environment.

As the pan-European platform for universities, EUA is confirmed as the key partner for policy makers at European level in the increasingly broad range of public policy domains in which universities have a role to play.

Throughout 2007, EUA intensified its efforts to promote the development of common policies at European level in areas in which European universities have a vital interest. This annual report outlines the key areas where the organisation

has been active and describes how it has engaged with stakeholders to ensure that the voice of universities is heard and that individual members are aware of the impact that European policy debates have on their development.

The key priorities for universities and for EUA in the future were established in the EUA Lisbon Declaration that was adopted by the 700 university leaders present at the Lisbon Convention in March 2007.

700 participants
gathered at the
Lisbon Convention in
March 2007



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A. Building the European Higher Education Area through the Bologna Process

As the 2010 deadline for the European Higher Education Area draws nearer, EUA remains fully committed to supporting its members in implementing the key Bologna reforms and to making sure that university concerns are paramount as the Bologna Process moves forward. A particular concern for universities is to ensure maximum synergy between the European Higher Education and Research Areas.

2007 was an important year for the Bologna Process with the biennial Ministerial Meeting taking place in London in May. At this meeting of Europe's 46 Education Ministers, EUA presented not only the key priorities for universities as highlighted in the Lisbon Declaration but also the Trends V Report and a report on doctoral programmes in Europe.

The Trends reports have become an EUA trademark and are one of the association's most widely read publications. **Trends V** is based on a unique study – involving 900 universities across Europe – involving both quantitative and qualitative information on the state of implementation of the Bologna Process across Europe. Crucially, it also underlines on the main challenges being faced by universities across the continent in terms of implementing the reforms.

EUA continues to represent universities on the **Bologna Follow-Up Group** – which manages the process in between Ministerial meetings.

This was a particularly important task in 2007 as it involved making sure that university priorities were reflected properly in the preparation of the final Ministerial Communiqué. EUA therefore participated actively in the different Bologna working groups developing recommendations on specific topics, such as the social dimension, mobility, and the global dimension of Bologna, all of which are crucial issues for universities. EUA also took responsibility for providing information and making recommendations on doctoral programmes and worked together with other stakeholders (the so-called 'E4' group comprising higher education institutions, students and quality assurance agencies), to prepare the plans for the establishment of a European Quality Assurance Register for Higher Education to be established in 2008.

By being centrally involved at all levels, EUA was able to ensure that the voice of universities was heard, and reflected, in the London Communiqué adopted by Ministers at the end of the May 2007 meeting.

EUA's preparations are already well underway for the next Ministerial meeting in 2009 when crucial discussions will take place on the future of the Bologna Process after 2010 – the date the European Higher Education area is due to come into force.

One specific topic where efforts are still needed by all stakeholders in higher education to meet



EUA is fully committed to supporting its members in implementing the Bologna reforms

the objectives set is that of lifelong learning. Committed to making lifelong learning a reality in European universities, EUA has now begun to address this topic as matter of priority and is stepping up efforts to ensure that the role of universities in lifelong learning is understood and that universities are involved and considered as key partners in the European policy debate.

In December 2007, at a seminar in the Sorbonne organised jointly with the French authorities, EUA was asked by the French Prime Minister, François Fillon to prepare a lifelong learning

charter for Europe's universities highlighting the role of universities in society and their contribution to the establishment of a European labour market. This charter will be drawn up in the course of 2008 and a dialogue has already been started with different European stakeholders: the European Commission, social partners, employers, students, other educational organisations and providers. The Charter will be presented to an informal ministerial meeting under the French Presidency in Bordeaux, in November 2008.

EUA President Georg Winckler with the French Prime Minister (centre) and Minister for Higher Education (right)



B. Research and Innovation Universities in the European Research Area

EUA's policy actions and activities in this area are driven and led by a **Research Policy Group** chaired by the EUA President, Professor Georg Winckler, which has been particularly active in 2007. EUA builds on the positions developed by this group to represent university interests in key policy discussions at European level. In 2007 this involved both representing the views of universities on topics such as the initial actions of the **European Research Council** and on plans to introduce a **European Institute of Technology** and participating in a series of ad hoc groups established by the European Commission's Directorate General for Research on topics that are important for universities, notably in relation to researcher careers, philanthropic funding of research, knowledge transfer and the external funding of university-based research.

One of the key strategic **research policy debates** launched in 2007 was the European Commission's Green Paper consultation on the future of the European Research Area (ERA). With its members, EUA formulated a comprehensive position paper outlining particular issues of concern (and where urgent action is required) such as appropriate research funding instruments, and necessary requirements to enhance the attractiveness of research careers in Europe. It also outlined how universities should be involved in shaping the policy dialogue concerning the use of the European structural funds for science and technology purposes and in creating greater synergy across European and national RTD policies and funding.

Following the submission of the **EUA position on the ERA Green paper** in September 2007 and its contribution to the EU Portuguese Presidency

Conference on this topic in October 2007, EUA promoted and disseminated extensively its views within the European institutions and amongst other stakeholders. As an immediate follow-up action, in November 2007, EUA was invited by the appointed Identification Committee to propose prospective members of the new **European Research Area Board (ERAB)**. EUA worked also to ensure that university research perspectives and needs were brought into the deliberations of the series of expert groups established to make recommendations on follow-up actions to the ERA Green Paper consultations, in particular the expert group on “Strengthening Research Institutions” which had a particular focus on university-based research and was chaired by Professor Christina Ullenius (Karlstad University, Sweden, EUA Vice-President).

Another key area where EUA continues to be active through policy and project work is **university–enterprise collaboration**. Through the “Responsible Partnering initiative” developed together with the European

Industrial Research Management Association (EIRMA), the European Association of Research and Technology Organisations (EARTO) and the European Network of Knowledge Transfer Offices (ProTon Europe), EUA has continued to investigate the scope for actively supporting the development of universities’ innovative capacities through policy monitoring activities and the promotion of knowledge transfer to business and enterprise. Strongly linked to this work is the project, **DOC-CAREERS**, which examines doctoral programmes undertaken by universities in collaboration with business partners.

In December, EUA co organised with its partners a high-level conference on “Effective Collaborative R&D and Technology Transfer” the purpose of which was to take stock of the effectiveness of R&D collaboration and technology transfer involving research and business and map out where further improvements are required and how these can be achieved. Follow-up of the results of this work will be one of the continuing priorities for EUA in its 2008/9 work programme.



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C. The Internationalisation of European Higher Education and Research

Europe’s universities are operating in an increasingly competitive global environment. **EUA’s Lisbon Convention** in March underlined the enormous interest of members for developing both strategies and structures for international cooperation, exchange and research collaboration.

Since EUA developed its Internationalisation strategy in 2006 the association has sought not only to enhance the international visibility of the EUA, but also, through a series of activities, to develop dialogue, facilitate networking and further cooperation with major international partners, in particular university associations and

networks in other parts of the world. Through its involvement in the Bologna Process, EUA plays a key role in the international dimension of the European Higher Education Area, thereby communicating the developments and achievements of European higher education and research to a wide range of partners across the world.

In 2007, EUA successfully organised its first ever event in Asia. More than 25 universities from Europe were given a fascinating insight into Asian universities through a specially organised **study trip to South East Asia**, which included visits to Singapore's Nanyang Technological University, and, in Malaysia, the Open University, the University Kebangsaan, and the University Sains Malaysia.

Universities Australia organised a series of meetings with senior EUA representatives, with the aim of enhancing research and teaching links between Europe and Australia. As part of the week-long programme, EUA's delegation also visited the Australian Universities Quality Agency (AUQA), the Australian Research Council (ARC), and the National Health and Medical Research Council (NHMRC), and held discussions at the universities of Monash and Swinburne in Melbourne.

Amongst the other highlights of 2007 was EUA's involvement in the first-ever **global meeting on graduate education**, held in Banff, Canada, which brought together university associations from Europe, Australia, Canada, China and the United States. At the meeting,

Chinese Deputy
Minister of Education
Zhang Xinsheng
gives his views on
future developments
in higher education
to EUA members



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EUA members also participated in a special **Asia Europe Colloquium** on University Governance and Management (Kuala Lumpur, Malaysia 5-6 September) organised jointly by EUA, the Malaysian Vice Chancellors Committee, and the Asia Europe Foundation (ASEF). The events provided a flavour of the speed at which some Asian universities are developing their teaching and research activities, and demonstrated the high priority that governments attach to these issues. Looking forward, EUA will build on this work in 2008 with the launch of a new EU project to develop an EU-Asia Higher Education Platform for academics and policy makers.

In November, an EUA delegation met with Australian **Vice-Chancellors**, in a move designed to promote greater collaboration.

leaders reached agreement on a set of principles intended to serve as a general guide to advance and improve graduate education internationally. The conference grew out of discussions begun in 2006 between EUA and the US Council of Graduate Schools delegates and where it was agreed that in an environment of growing competition in graduate education, there was a need for increased international dialogue and co-operation.

EUA will actively pursue opportunities for international higher education collaboration across all continents in 2008.

D. Enhancing the Quality of European universities – the European dimension

In addition to supporting individual universities' efforts to develop, embed and mainstream an internal quality culture that fits their respective institutional mission and objectives, EUA has played a crucial role in development of the understanding of quality and quality assurance in the Bologna Process, in ensuring that the primordial role of universities themselves is recognised and in situating the debate in a broader European framework. The London Ministerial Communiqué reflects EUA's efforts in this direction.

At European level, EUA also continued, in 2007, to work closely with the 'E4' group (consisting of EUA, the European Association for Quality Assurance in Higher Education, the European Students Union, and the European Association of Institutions in Higher Education) at European level in order to enhance accountability procedures that strengthen the overall quality of Europe's universities' work. In particular, the E4 group was mandated by the 46 Ministers of Education taking part in the Bologna Ministerial meeting in May to establish a **European Quality Assurance Register for Higher Education**. EUA has played a central role in the development of this register – which aims to provide clear and objective information about

trustworthy quality assurance agencies that are working in Europe. It also aims to help improve the quality of European higher education and to promote greater student mobility by increasing trust between higher education institutions.

In November, close to five hundred higher education representatives, students, researchers in higher education and quality assurance agency staff gathered in Rome (15 - 17 November) to take part in the **2nd European Quality Assurance Forum** – an event co-organised by EUA. This initiative provides the QA and HE communities and stakeholders with an annual opportunity to promote a shared understanding of a European dimension for quality assurance. EUA is delighted to announce that it has received further funding for a QA 2008 Forum to be held in November 2008 at Corvinus University (Budapest) and which will focus on international trends in QA.



EUA - Enhancing the Quality of European universities

E. The governance of the European university system - focus on autonomy and accountability and sustainable funding for European universities

The EUA Lisbon Declaration states that for universities “the adaptability and flexibility required to respond to a changing society and to changing demands relies above all on increased autonomy and adequate funding”.

The conference highlighted the need for coherent national frameworks that balance autonomy and accountability, but avoid micromanagement by the state. As follow up to the conference, EUA has begun working on

The Autumn Conference in Wroclaw, Poland underlined the importance of university autonomy



These are the framework conditions that will provide universities with the space to find their place and define their missions and strategies accordingly; hence their increasing importance also for the work of EUA.

EUA's Autumn conference in Wroclaw highlighted the extent to which the issues of university autonomy and accountability are moving to the top of the European higher education agenda. 300 participants from over 40 countries, congregated at the Wroclaw University of Technology, Poland to discuss how these two interrelated issues could provide the appropriate conditions for strengthening Europe's universities.

a project to map developments in relation to autonomy and university governance across Europe in order to identify obstacles and success factors in specific countries.

To build on our work in this area, the EUA spring Conference in 2008 will, once more, take up elements of the governance theme, looking more specifically at strategies for enhancing the effectiveness and efficiency of higher education systems and institutions, and sharpening their institutional profiles.

These initiatives – in tandem with other EUA studies and projects – will create a platform where the outcomes of policy analysis, project results and events can be interwoven in such

a way as to shape the debate on governance and contribute to enhancing the autonomy of European universities. EUA will seek to influence policy makers in order to ensure that

being crucial to the future sustainability of all European higher education institutions and to demonstrate the links between governance, autonomy, costing/funding and accountability,



EUA President, Georg Winckler, with Tadeusz Luty, Rector of Wroclaw University of Technology

reforms provide the appropriate conditions for strengthening Europe's universities and enhancing their contribution to social, cultural and economic wellbeing.

Meanwhile, EUA is also stepping up efforts to raise awareness of the issue of funding as

in particular through its ongoing Funding project which is looking in particular at the issue of **full costing** of university activities.



EUA members discuss strategies for optimising institutional autonomy and ensuring accountability

SUPPORT AND SERVICES to EUA members

EUA's activities seek to balance policy development with the provision of support and services to the organisation's individual member universities and 34 national rectors' associations. 2007 has been another busy year in terms of developing **our member services** – events, project work and communications. The comprehensive series of 2007 events organised for members included the first EUA **briefing day** designed to update members on key areas of our project work, and focused on the results and findings of the Trends V project.

In addition to the flagship **Institutional Evaluation Programme (IEP)** which continues to grow and develop, and as a response to strong demand from members EUA also began to formulate plans to launch a new membership service: **the Council for Doctoral Education**, due to start in February 2008.

2007 also saw the completion of a number of important projects, with the publication of a series of reports on creativity, doctoral education, quality assurance, as well as the most recent Trends findings for presentation to the European Ministers for Higher Education at their May 'Bologna' meeting in London. A special publication detailing

EUA's broader contribution to the Bologna Process also helped create the maximum impact for universities at the Ministerial meeting in 2007. Each Minister was presented with a copy of the report.

At the end of 2007, the association launched a series of new projects that further explore key policy issues on the EUA agenda. These include an analysis of the changing role of Master's programmes in European universities, a new study looking at the Change Agenda for Quality Assurance for Higher Education and the development of an EU-Asia Higher Education Platform for academics and policy makers.

Institutions evaluated in the framework of the IEP in round 2006/2007

Individual evaluations

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 Girona Spain

Akdeniz University Antalya, Turkey

Ege University Izmir, Turkey

Gazi University Ankara, Turkey

Hacettepe University Ankara, Turkey

Yeditepe University Istanbul, Turkey

Evaluations in Slovakia

Academy of Arts Banská Bystrica

Alexander Dubček University Trenčín

Catholic University Ružomberok

College of Management Trenčín

Constantine the Philosopher University - Nitra

Jan Selye University Komárno

Pavol Jozef Šafárik University - Košice

Police Academy Bratislava

Slovak University of Agriculture - Nitra

University of Prešov Prešov

University of SS.Cyril and Methodius Trnava

University of Trnava Trnava

University of Veterinary Medicine - Košice

Portuguese institutions that have been selected by the Ministry of Science, Technology and Higher Education

Instituto Politécnico de Bragança

Instituto Politécnico de Leiria

Instituto Politécnico do Porto

Universidade de Coimbra

Universidade de Évora

Universidade Fernando Pessoa

Universidade Lusófona Humanidades Tecnologías

Academia Militar

Escola Superior de Hotelaria e Turismo do Estêril

Universidade do Algarve (follow up)

A. EUA Institutional Evaluation Programme (IEP)

Launched in 1994 as a strategic tool for change in higher education institutions, EUA's Institutional Evaluation Programme (IEP) continues to go from strength to strength. So far, more than 200 evaluations (including repeat evaluations and follow-ups) of more than 170 universities in Europe and worldwide have been carried out.

The IEP evaluations seek to strengthen institutional autonomy and strategic capacity and support quality development in universities. The **methodology** is one of most widely tested among international evaluation programmes currently available to universities. The IEP takes place over a whole academic year, involving a self-evaluation process resulting in a self-evaluation report, two site-visits and presentation of a final evaluation report, including specific recommendations for change, by the EUA team.

Thanks to its unique method, the IEP has proved to be extremely popular for both individual universities and as a response to specific demands at the level of national or regional higher education systems.

The 2006/7 round of evaluations included 13 individual European universities. In addition, EUA also worked on two national exercises in 2007. The first exercise, continuing into 2008, is being carried out in Portugal, and the second is a review of the higher education and research capacity in Slovakia, aimed at facilitating the development of a knowledge society in Slovakia. A total of 24 Slovak universities and 20 Portuguese institutions are being evaluated in the course of these system reviews. This work is due to be completed in 2008.

The 2007/8 round of evaluations kicked off in September with the annual Induction Seminar for the experts who visit and evaluate the universities during the year. New members of the IEP pool of evaluators received an introduction to the programme, its values and methodology, while all experts were updated on recent developments in higher education and discussed practical issues such as interviewing techniques and formulating recommendations.

Institutions to be evaluated in the framework of the IEP round 2007/2008

Universidad del Norte -
Colombia

Johannes Gutenberg
University Mainz - *Germany*

Corvinus University
of Budapest - *Hungary*

University of Palermo - *Italy*

Vilnius Gedeminas Technical
University - *Lithuania*

Technical University of Cluj-
Napoca - *Romania*

St. Petersburg State
University of Information
Technologies, Mechanics
and Optics - *Russia*

Universitat Pompeu Fabra
Spain

Abant Izzet Baysal University
Turkey

Anadolu University - *Turkey*

University of Yuzuncu Yil,
Turkey

Kadir Has University - *Turkey*

London Metropolitan
University - *UK*

Evaluations in Portugal

Escola Superior de
Enfermagem de Coimbra

Instituto Politécnico de Beja

Instituto Politécnico de
Castelo Branco

Instituto Politécnico de Saúde
do Norte

Instituto Politécnico de
Sétubal

Instituto Português de
Administração e Marketing

Universidade de Beira Interior

Universidade da Madeira

Universidade de Lisboa

Universidade Nova de Lisboa

B. EUA Council for Doctoral Education: a new membership service to advance doctoral education and research training

In 2007, the EUA Council began to formulate plans to launch a new membership service to promote doctoral education and research training in Europe.

The objectives of the new **EUA Council for Doctoral Education (EUA-CDE)** will include:

- Enhancing the quality of doctoral education in Europe by fostering debate and promoting the exchange and dissemination of good practice;
- Encouraging and supporting the development of institutional policies and strategies as well as the introduction of effective leadership and management practices;
- Strengthening the international dimension of doctoral programmes and research training through improved cooperation among its members and by establishing dialogue with partner organisations in other world regions;
- Identifying and monitoring emerging trends in doctoral education inside and outside Europe;
- Promoting the doctorate as a key professional

qualification and underlining the importance of young researchers for a knowledge-based society.

The new Council will be an integral part of EUA, functioning as an independent membership service under the responsibility of a Steering Committee that will be responsible for organising annual activities including conferences and workshops, preparing reports and studies, and disseminating information on latest trends in doctoral education in Europe and beyond.

Membership will be open to EUA full members and also to universities awarding doctoral degrees that are not members. The new Council will also seek active cooperation with partner organisations with similar interests such as national associations of doctoral education and young researchers' associations and other stakeholders.

To find out how you can join, please visit www.eua.be/cde

C. EUA Projects

Projects undertaken by EUA provide crucial support to all of our member institutions, enabling them to exchange ideas and enhance their knowledge on specific issues, and be involved in shaping European policy. This section provides a brief overview of progress with a selection of our ongoing projects, together with details of new projects that we have started in the course of 2007. Each of these can be tied into the key areas of our policy work:

Bologna Process: Trends V

In May 2007, EUA published the latest report in the Trends series which is an ongoing 'project' designed to gather reliable information about how universities are shaping the development of the European Higher Education Area across the continent.

The Trends V report provides the most comprehensive view available of the state of European higher education - as seen by higher education institutions themselves.

More than 900 European higher education institutions contributed to this report, either by responding to a wide-ranging questionnaire or by hosting visits of research teams, or through providing input in other meetings. The report was presented at the Conference of Ministers of Education meeting in London on 17/18 May 2007.



More than 900 universities contributed to the EUA Trends V report

Trends V shows the progress made by Europe's universities in implementing the Bologna reforms, and outlines the main challenges ahead. It is thus a significant publication for all those concerned with European higher education, whether universities and students, or governments, business and industry, or other stakeholders. In 2008 EUA will already begin working on the next Trends VI project that will be published in 2010 to coincide with the launch of the European Higher Education Area.

New project: Master's programmes in Europe

Building on the work of earlier projects that concentrated on joint Masters and their development, EUA has developed a new project to explore the state of Master's programmes in European universities as the Bologna Process moves forward.

The aim of the project is to examine how Master's programmes are being implemented across Europe, looking at good practice examples and identifying obstacles universities are facing. More specifically, it will tackle the issues of attractiveness and accessibility of Master programmes, and also look at how universities are using second cycle programmes as a means of contributing to lifelong learning. It is the intention that the results will feed into policy making and curricula development at institutional, national or European level.

The first phase of the project will involve a survey of higher education institutions, academics, students and employers. This will be followed

up through site visits at chosen universities to further investigate the trends and outcomes.

Bologna Promoters – Information Project on Higher Education Reform

This 18-month information project – undertaken by EUA as the result of a successful tender to the European Commission – was developed to support institutions in the implementation of the Bologna Process reforms.

Completed in July 2007, this EUA project involved working with some 350 'Bologna promoters', each acting in their national context to inform and advise institutions. This also included a wide range of supporting initiatives such as topical training seminars, and the development of information material for the promoters. EUA also developed a virtual working community for the promoters which is still being used today.

This successful project concluded in July with a major conference in Brussels.

The development of Doctoral programmes in Europe

Doctoral education is a major priority for European universities and for EUA. In the context of the Bologna Process doctoral education is crucial as it constitutes the third cycle of higher education as well as being the first stage of a young researcher's career. In this way doctoral education is particularly important in linking the European Higher Education and Research Areas, as was first highlighted in the 2003 Berlin Communiqué, based upon the work of EUA.

EUA's first project "Doctoral Programmes for the European Knowledge Society" (2003 – 2005) opened a dialogue between universities and policy makers on the reform of doctoral education and enabled the adoption, in a Bologna Seminar held in Salzburg in February 2005, of "ten basic principles" for the future development of doctoral programmes. The subsequent Bergen Communiqué (May 2005) further stressed the importance of enhancing synergies between higher education and research, and gave a mandate to EUA to prepare a report on the further development of the basic principles for doctoral programmes for the 2007 London Conference of Higher Education Ministers.

The subsequent report highlighted the main findings of EUA's work, based on the results of several workshops and a major conference held in Nice in December 2006 that brought together more than 400 academics from across Europe. It also included the results of a survey on the funding of doctoral education for the first time, using data received from national Ministries through the Bologna Follow-Up Group.

Doctoral education continues to be a major priority for our members and EUA will continue to pursue a series of projects on this area, in the context of the newly formed EUA Council for Doctoral Education (please see section on the Council for Doctoral Education for more information).

Enhancing doctoral career opportunities: DOC-CAREERS Project

Launched in 2006, the EUA DOC-CAREERS project has been specifically designed to explore the relations between doctoral training programmes and the career development, employability and employment prospects of doctoral candidates, in particular outside of academia.

The project's key activities in 2007 have been based around a series of workshops, the development of case studies and in depth consultation with key stakeholders (including industry, doctoral candidates, doctoral holders and universities).

The first two workshops focussed respectively on the issues of transferable skills for doctoral holders and university-enterprise collaboration in doctoral programmes while the final workshop held in November 2007 looked at "enhanced doctoral career opportunities". These three events allowed participants to share good practice on cooperation between non-academic partners and universities, but also to debate the best strategies for tracking the careers of doctoral holders.

The final DOC-CAREERS report is due to be published in 2008.

Creativity Project

Creativity is seen as being an essential factor for universities to respond to the demands of

DOC-CAREERS Project

DOC-CAREERS Steering Committee

- **Laudeline Auriol**, OECD
- **Emmanuel Boudard**, European Commission
- **Tim W. C. Brown**, EURODOC / University of Surrey
- **Andrew Dearing**, EIRMA
- **Josep Font Capafons**, Universitat Rovira i Virgili
- **Stephen Hagen**, University of the West of England
- **John Smith**, EUA
- **Lidia Borrell-Damian**, EUA

Creativity Project

Creativity Project Steering Committee

- **Prof. Pierre de Maret**, Former Rector, Université Libre de Bruxelles
- **Mr. Andy Gibbs**, Head of International Relations, Napier University
- **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

the knowledge society as well as to become a major force in shaping social and economic developments.

This is why EUA initiated a major project to explore further this concept in the higher education context, to help pinpoint best practices and to give recommendations for fostering creativity within higher education institutions. The project focused on four specific aspects: partnerships between institutions and external stakeholders; innovation in teaching and learning; creative cities/regions, and structures and leadership.

The results of this project that involved 32 institutions from 21 countries have now been published.

New project: Quality Assurance for Higher Education Change Agenda (QAHECA)

EUA, in partnership with ACQUIN (Accreditation, Certification and Quality Assurance Institute), the Higher Education Academy (UK), and the National University of Ireland in Maynooth, has now begun a new project entitled 'Quality Assurance for the Higher Education Change Agenda' (QAHECA). The project, aims to develop a new quality methodology which supports institutions in a rapidly changing environment, and specifically considers the mission of higher education to foster creativity and innovation and to do this by encouraging cooperation between institutions and quality assurance agencies.

Following a call for expressions of interest launched at the end of 2007, the QAHECA Steering Committee has now selected 30 participants – both higher education institutions and quality assurance agencies – to pursue this important work. Participants will be invited to contribute to drafting the new methodology, and then to test it within their own institutional and national contexts. Project results will be available in 2009.

EUA Funding Project – Towards Financially Sustainable Higher Education Institutions

EUA launched a major project in 2006 on this crucial topic. The goal is to learn more about the financial sustainability of higher education institutions in Europe, taking account of their very different institutional and national contexts. More specifically the project concentrates on looking at progress made towards full cost development in the participating universities and identifying the links to the broader discussion on autonomy, governance and accountability.

The first findings will be presented, validated and further developed at an experts' conference in February 2008, gathering 130 experts from over 30 countries.

Initial findings of the EUA work show the great diversity of terminology and understanding of financial terms and the different status of development in the ability to identify the full costs of activities.

QAHECA Steering Committee

- **Lothar Zechlin, Chair**, Universität Duisburg-Essen
- **Gerd Zimmermann**, Bauhaus-Universität in Weimar and ACQUIN
- **Anne Mikkola**, European Students Union (ESU)
- **Saranne Magennis**, NUI Maynooth
- **Bruno Curvale**, European Association for Quality Assurance in Higher Education (ENQA)
- **Graeme Roberts**, Higher Education Academy

- **Martin Prchal**, EAC (European conservatories)
- **Andrée Sursock**, EUA

EUA Funding Project: Expert Group

- Thomas A. H. Schöck**, Friedrich-Alexander-Universität Erlangen-Nürnberg
- Mehmet Ildem**, ISIK University
- Marleen Verlinden**, K.U.Leuven
- Bernard Remy**, K.U.Leuven
- Riana Demeulemeester**, K.U.Leuven
- Mary Dooley**, NUI Galway
- Lenka Koprivova**, Tomas Bata University
- Fernando Seabra Santos**, Universidade de Coimbra

Margarida Mano, Universidade de Coimbra

Michael Yuille, University of Liverpool

Wim Ruiter, University of Twente

Mats Ola Ottosson, Uppsala University

John Smith, EUA

Thomas Estermann, EUA

Hanna Kanep, Estonian Rectors' Conference

The move towards full costing has been driven on a European level by European Funding programmes and European policies, on a national level by competitive funding schemes and governmental restructuring of accounting rules, and in institutions by more managerial and strategic behaviour.

The project identified a number of obstacles for implementing sound costing systems, such as a lack of external financial support and lack of autonomy and showed that the

seek to develop best practices for institutional development and cooperation as a means of enhancing mobility of students and academics.

Project activities will include the organisation of a series of workshops and round tables in Asia and Europe as well as the creation of an interactive website that will act as an information and communication portal. In addition, two major-higher education fairs will be held in Asia, mirroring a successful series of EU-funded European Higher Education Fairs that have been



EUA projects explore key European policy issues

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necessary requirements for change need to be addressed on the European, national and institutional levels. The results of the project will be published in a comprehensive report in the autumn of 2008.

New Project: EU-Asia Higher Education Platform

EUA is leading a consortium (with the German Academic Exchange Service, DAAD, and the Netherlands Organisation for International Cooperation in Higher Education, Nuffic) that was selected in December 2007 by the European Commission to establish an EU-Asia Higher Education Platform for European and Asian academics and policy makers. The goal of this two-year project that is supported through the EU’s Asia Link programme is to provide a framework for enhancing information exchange, dialogue, and cooperation in higher education and research between the two regions. It will also

taking place over the past two years.

Bologna Handbook and New Internationalisation Handbook

The EUA Bologna Handbook, developed in cooperation with Raabe academic publishers in 2006 now has more than 1,200 subscribers. This publication that provides subscribers with four annual supplements analysing key Bologna topics is a practically-oriented and flexible publication designed to support higher education professionals, both academic and administrative, in introducing and implementing all aspects of the Bologna Process in their institutions.

Building on the success of this publication which was mentioned in the 2007 Bologna Ministerial ‘London Communiqué’, EUA has decided to continue with Raabe Academic publishers to launch a new Handbook for 2008 on the Internationalisation of European Higher

Education.

This new initiative which EUA is editing jointly with the Academic Cooperation Association (ACA) as the name implies, is designed specifically for those involved in developing and implementing internationalisation strategies and measures, including university leadership and international office managers. Due to

be published in summer 2008 as a loose-leaf binder collection, with regular supplements, the Handbook will be complemented by information available online.

If you are interested in either of these publications, please visit the EUA website, www.eua.be, for more details.

D. Information and Communications

One of the key objectives of EUA's information and communication strategy continues to be to increase 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 but also in a range of different policy areas.

EUA's events, together with its key communications activities (newsletter, website, publications and work with the European higher education media), ensure members and partners are fully informed about all areas of our work, as well as increasing our visibility on behalf of our members at European level.

Following the launch of our new website in 2006, and in line with the overall growth in EUA activities, EUA's communications work

has continued to expand in 2007. The new E-newsletter is now read by around 6,000 higher education stakeholders in Europe and across the world.

A particular priority in 2007 has been to intensify contacts with the higher education media. Thanks to these efforts the findings of major reports, together with the outcomes of principal meetings (such as the Lisbon Convention) have been reported by large sections of the European higher education press.

EUA is also called upon to present and discuss the key findings of its project and policy work and to represent European universities at important meetings, and conferences across Europe and beyond.

3 EUA Organisation

A. EUA Board 2005-2009

Prof. Georg Winckler, Rector,
University of Vienna (President)

Prof. Christina Ullenius, former Rector,
Karlstad University, Sweden (Vice-President)

Prof. Jean-Marc Rapp, former Rector,
Université de Lausanne
(Vice-President since October 2007)

Prof. Peter Gaetgens, former Rector,
Freie Universität Berlin

Prof. Pierre de Maret, former Rector,
Université Libre de Bruxelles

Prof. Gülsün Sağlamer, former Rector,
Istanbul Technical University

Prof. Frans van Vught, former
President and Rector Emeritus, University of Twente

Prof. Sir Roderick Floud, President Emeritus,
London Metropolitan*

Prof. Jaak Aaviksoo, Rector,
University of Tartu*

* resigned from the EUA Board in 2007.

B. EUA Council Members

as of February 2008

Austria

Dr. Ingela Bruner, Permanent Representative,
Universities Austria

Belgium

Prof. Bernard Rentier, President,
Rectors' Conference, French Community of Belgium

Belgium

Prof. Marc Vervenne, President,
Vlaamse Interuniversitaire Raad

Bulgaria

Prof. Borislav Borissov, President,
Bulgarian Rectors' Conference

Croatia

Prof. Danijel Rukavina, President,
Croatian Rectors' Conference

Cyprus

Prof. Andreas Demetriou, President,
Cyprus Rectors' Conference

Czech Republic

Prof. Jan Hron, President,
Czech Rectors' Conference



Denmark

Prof. Jens Oddershede, President,
Universities Denmark

Estonia

Prof. Peep Sürje, President,
Estonian Rectors' Conference

Finland

Prof. Krista Varantola, 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. Dr. Athanasia Tsatsakou, Permanent
Representative, 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. Kristin Ingólfðottir, President,
National Rectors' Conference in Iceland

Ireland

Prof. John Hughes, Permanent
Representative, Conference of Heads of
Irish Universities

Italy

Prof. Giuseppe Silvestri, Permanent
Representative, Conferenza dei Rettori delle
Università Italiane

Latvia

Prof. Tatjana Volkova, Chairman,
Latvian Rectors' Council

Lithuania

Prof. Romualdas Ginevičius, President,
Rectors' Conference of Lithuanian Universities

Luxembourg

Prof. Rolf Tarrach, Rector,
Université de Luxembourg

Netherlands

Prof. Sijbolt Noorda, Chairman,
Association of Universities in the Netherlands

Norway

Prof. Jarle Aarbakke, 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

Serbia & Montenegro

Prof. Dejan Popovic, President,
Conference of the Universities of Serbia

Slovak Republic

Prof. Vladimír Bálež, President,
Slovak Rectors' Conference

Slovenia

Prof. Rado Bohinc, President,
Association of Rectors of Slovenia

Spain

Prof. Angel Gabilondo Pujol, 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. Yusuf Ziya Ozcan, President,
Turkish Council on Higher Education (YÖK)

United Kingdom

Prof. Rick Trainor, President,
Universities UK

C. Membership Development

Twenty-two new members from thirteen countries joined the Association in 2007 bringing the total number of members to 790 at the beginning of 2008. Among these new members listed below are 15 full individual members, five associate individual members and two affiliate members.

New Members in 2007

FULL INDIVIDUAL MEMBERS

France

Université de Bretagne Sud
University of Technology of Troyes

Latvia

Latvia University of Agriculture

Romania

University of Agricultural Sciences & Veterinary Medicine

Slovakia

National Technical University in Zvolen

Spain

Universitat Internacional de Catalunya

Turkey

University of Kirikkale
Yeditepe University
Mugla University
Namik Kemal University

Ukraine

“Kharkiv Polytechnic Institute”
Kremenchuk Mykhailo Ostrogradskyi
Ternopil National Economic University

United Kingdom

Queen’s University Belfast
Univertisty of Wales, Bangor

ASSOCIATE INDIVIDUAL MEMBERS

Czech Republic

Vysoká škola Jana Amose Komenského s.r.o.

Romania

Christian University “Dimitrie Cantemir”

Turkey

Koc University
Kadir Has University

United Kingdom

University of Wales Institute, Cardiff

AFFILIATE MEMBERS

Spain

Associacio Catalana d’Universitats Publiques (ACUP)

USA

The World Bank

Resignations in 2007

FULL INDIVIDUAL MEMBERS

France

Université de Technologie de Compiègne

Germany

University of Potsdam

Poland

Medical University of Silesia

Spain

Universidad de Huelva

United Kingdom

Coventry University
Brunel University

ASSOCIATE INDIVIDUAL MEMBERS

Italy

Université de la Vallée d’Aoste

AFFILIATE

France

Europôle Universitaire de Rennes

Exclusions* in 2007

None

Reinstatements in 2007

Poland

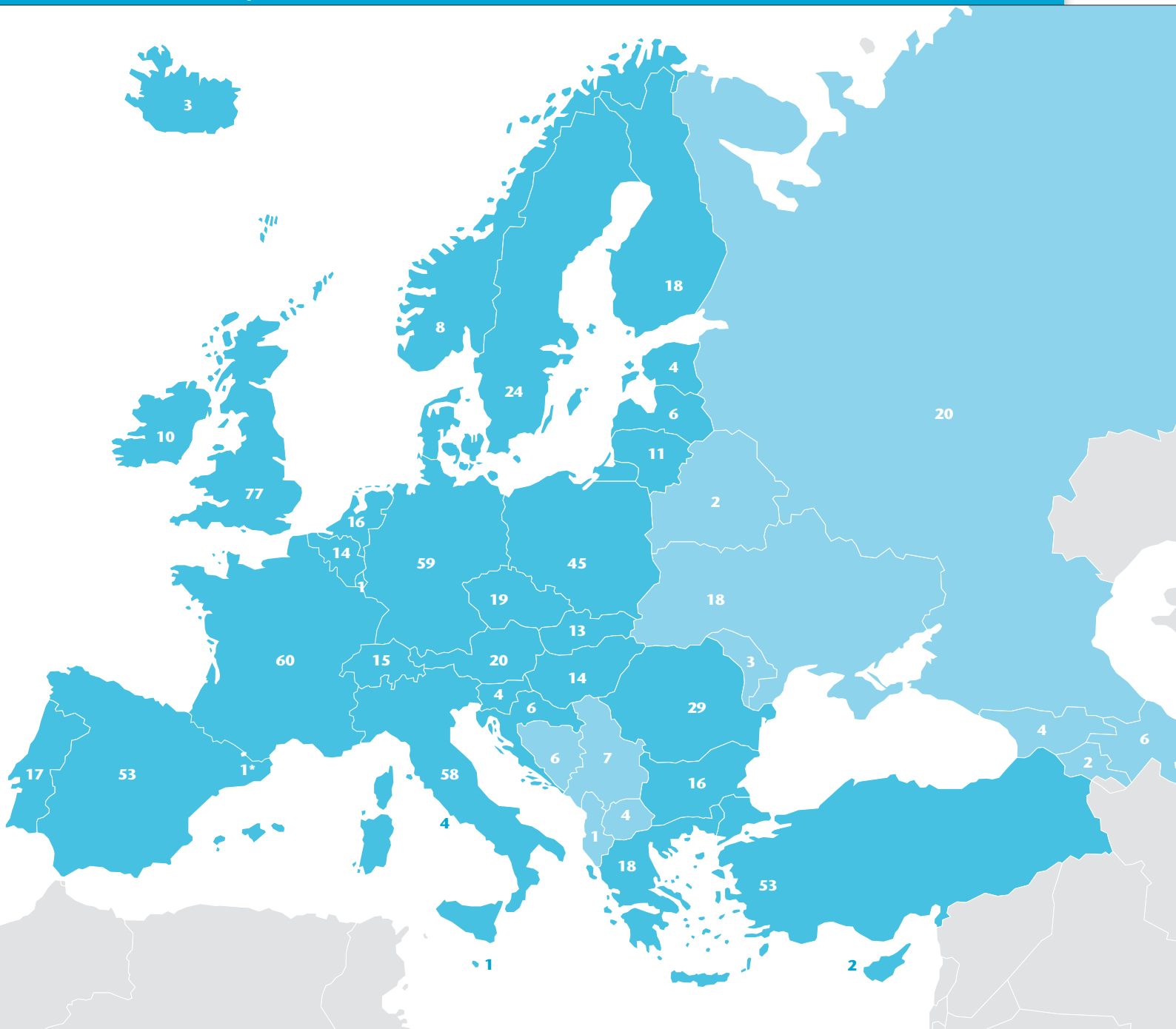
Wroclaw University of Economics

United Kingdom

University of Bolton

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

EUA Membership as of 13 March 2008



- Countries with EUA collective members
- Countries with no EUA collective members
- 1 Individual members (full and associate)
- * Andorra

EUA has 23 Affiliate members. They are not integrated in the above map as they do not necessarily correspond to national bodies (cf. www.eua.be for full list of members).

D. EUA Secretariat

as of December 2007

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

Michael Gaebel - Senior Programme
Manager

Sylvie Brochu - Programme Manager

Isabelle Damman - PA to the Secretary
General / HR Officer

Cléo Lemaire - Statutory meetings/
Membership Officer

Michael Hörig - Project 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

Research & Innovation

John Smith - Deputy Secretary General

Lidia Borrell Damian - Senior Programme
Manager

Thomas Estermann - Senior Programme
Manager

Alexandra Bitusikova - Programme
Manager

Gemma Jackson - Administrative Assistant

Information & Communications

Christel Vacelet - Director

Andrew Miller - Press and Communications
Officer

Annamaria Trusso – Editor

Lucia Giannini - Publications Officer

Réka Sipos - Events Manager

Emilie de Rochelée - Events Organiser

Candice Franck - Administrative Assistant

Administration & Finance

John Ashton - Financial Director

Daniel Oscinberg - IT Manager

Christiane Henrotaux - Accountant/
Financial Officer

Julien Georis - Accountant/Financial Officer

Giacomina Lai - Accounting Assistant

Françoise Van den Berghe - Receptionist

Yvette Mercier - Administrative Assistant

E. Financial Statement and Accounts

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

Partenaire de OIFFA* www.oiffa.ch
Organe de Révision des Fiduciaires Associées SA
Aigle, Genève, Lausanne, Monthey, Villars
*membre de la Chambre Fiscale



OGH Expertises

Entreprise de révision agréée en qualité d'expert-réviseur auprès de l'ASR

Report of the auditors
to the Members of

**EUA, European University
Association
Brussels & Geneva**

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 31st, 2007.

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.

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.

In our opinion, the accounting records and financial statements comply with the law and the EUA Articles of Association.

We recommend that the financial statements submitted to you be approved.

Geneva, February 25th, 2008



OGH Expertises
Comptables et Fiscales SA

Ingo GIANNI
Auditor in charge
Swiss Chartered Accountant

Enclosures :

- Annual Financial Statements including the balance sheet, the profit and loss account and the note.

PROFIT AND LOSS all euros

ACTUALS

	31/12/2007			31/12/2006
INCOME	Geneva	Brussels	Total	Total
Membership Fees	86,027	2,210,000	2,296,027	2,245,921
Grants & Subventions	181,548	190,264	371,812	441,714
EC Projects	0	1,067,093	1,067,093	1,286,444
EUA Projects	724,712	253,452	978,163	769,897
Financial and Other	59,994	93,245	153,239	115,603
Total Income	1,052,281	3,814,053	4,866,334	4,859,579
EXPENSES				
EC Projects	0	1,458,583	1,458,583	1,457,943
EUA Projects	688,364	622,197	1,310,561	1,035,230
EUA Projects Development	100,000	188,000	288,000	345,000
sub total Project	788,364	2,268,780	3,057,144	2,838,172
Salaries				
Staff Expenses	210,030	2,058,934	2,268,964	2,310,481
Provision Sal & Soc Chg	0	87,000	87,000	154,000
Fees	79,774	53,391	133,165	101,580
sub total Salaries	289,804	2,199,325	2,489,129	2,566,061
Recharged Salaries to EC Projects	0	-696,087	-696,087	-852,697
Recharged Salaries to EUA Projects	-86,518	-402,119	-488,638	-436,579
Recharged Salaries to EC Operating Grt	0	-109,506	-109,506	-163,811
sub total Recharged Salaries	-86,518	-1,207,712	-1,294,230	-1,453,087
Info & Communications	0	56,841	56,841	82,072
Office Costs				
Rent	0	171,000	171,000	171,000
Utilities	0	3,726	3,726	6,211
Office Maintenance	0	1,029	1,029	5,196
sub total Office Costs	0	175,756	175,756	182,407
Core Expenses				
Travel & Meetings	300	164,941	165,241	170,223
Maintenance and Repairs	0	0	0	276
Books and Periodicals	0	5,105	5,105	13,766
Printed Material	0	31,727	31,727	14,691
Copying	0	3,916	3,916	3,822
IT & Office Supplies	0	25,346	25,346	31,278
Insurances	135	10,166	10,300	8,143
Postage	0	16,021	16,021	9,950
Telephone, Fax	0	41,727	41,727	49,444
Fees , legal, audit, translation	0	9,013	9,013	10,174
Other Expenses	0	10,102	10,102	17,431
sub total Core	435	318,064	318,500	329,199
Depreciation	0	52,786	52,786	65,645
Financial Expenses	6,956	9,311	16,267	7,211
sub total Depr & Bank & W/O	6,956	62,097	69,053	72,856
EC Operating Grant	0	157,565	157,565	204,271
Recharged Expenses to EC Operating Grant	0	-48,059	-48,059	-40,460
Recharged Expenses to EC projects	0	-170,286	-170,286	-14,100
Recharged Expenses to EUA projects	-6,000	0	-6,000	0
Total Expenses	993,040	3,812,372	4,805,412	4,767,391
Result surplus/(Deficit)	59,241 €	1,681 €	60,922 €	92,188 €

BALANCE SHEET all euros		ACTUALS		
		31/12/2007		31/12/2006
ASSETS	Geneva	Brussels	Total	Total
FIXED ASSETS	0	0		
Office Equipment	0	176,046		
	0	176,046	176,046	217,955
RECEIVABLES				
European Commission	0	13,386		
Membership	182,063	21,749		
Debtors	187,130	79,805		
Inter Company account	0	169,681		
	369,193	284,621	653,814	1,351,140
CASH				
Bonds and Shares	0	63,315		
Term accounts	1,921,685	804,462		
Bank (Business Accounts)	1,159,367	611,167		
Cash at Hand	0	1,873		
	3,081,052	1,480,817	4,561,869	4,015,592
PREPAID EXPENSES	10,295	52,927	63,222	20,876
INCOME RECEIVABLE	329,556	616,681	946,237	1,018,611
Total Assets	3,790,096	2,611,092	6,401,188	6,624,174
LIABILITIES				
OWN FUNDS				
Net Asset brought forward	507,847	135,650		
Result Current Year 2007	59,241	1,681		
	567,088	137,331	704,419	643,497
PROVISIONS & ACCRUED EXPENSES				
Provision for Social Liabilities	90,000	510,000		
Provision for Projects development	350,000	403,000		
Other Provision	356,259	100,000		
Accrued Holiday Allowance	0	87,000		
Other Accrued Expenses	88,533	62,605		
	884,792	1,162,605	2,047,398	1,879,713
PAYABLES				
European Commission	0	969,523		
Payables	689,185	324,135		
Inter Company account	169,681	0		
	858,865	1,293,658	2,152,524	2,301,476
DEFERRED INCOME	351,585	17,496	369,082	853,247
INCOME / FEES RCVD IN ADV	1,127,766	0	1,127,766	946,241
Total Liabilities	3,790,096	2,611,092	6,401,188	6,624,174

NOTE	31/12/2007		31/12/2006	
ASSET BLOCKED AS GUARANTEE	0	9,262	9,262	10,212
GUARANTIES ISSUED FOR EC PROJECTS	0	420,000	420,000	254,085

Note: Total projects are broken down as follows: EC projects € 1,458,583, EUA projects for € 1,310,561 and € 288,000 in project development. EC projects include EUA salaries € 696,087 and Partners salaries for € 86,574; Travel: EUA € 165,145 and Partners travel for € 39,396; Other € 471,381. EUA projects expenses include salaries € 488,638, Travel € 485,074, Other € 336,849.

ANNEX 1

EUA Events and Meetings in 2007

Board meetings

- 25 January 2007, Vienna, Austria
- 27 March 2007, Lisbon, Portugal
- 13 April 2007, Brussels, Belgium
- 14 September 2007, Brussels, Belgium
- 24 October 2007, Wroclaw, Poland
- 13 December 2007, Paris, France

Council

- 26 January 2007, Vienna, Austria
- 28 March 2007, Lisbon, Portugal
- 13 April 2007, Brussels, Belgium
- 24 October 2007, Wroclaw, Poland

General Assembly

- 29 March 2007, Lisbon, Portugal
- 25 October 2007, Wroclaw, Poland

Statutes Review Group Meetings

- 3 February 2007, Brussels, Belgium
- 30 March 2007, Lisbon, Portugal
- 23 April 2007, Vienna, Austria

4th EUA Convention of Higher Education Institutions

Europe's Universities beyond 2010 - diversity with a common purpose, Lisbon, Portugal, 29-31 March 2007

EUA Autumn Conference 2007

The Governance of European Universities post 2010: Mission Diversity, Autonomy and Accountability, Wroclaw, Poland, 25-27 October 2007

EUA Briefing Day on Trends V

Club de la Fondation Universitaire, Brussels, Belgium, 7 June 2007

EUA Workshop on Doctoral Programmes

Brussels, Belgium, 11-12 October 2007

Second European Quality Assurance Forum Co-organised by EUA

Implementing and Using Quality Assurance: Strategy and Practice, Rome, Italy, 15-17 November 2007

Jointly-organised events

EUA Study Trip to South East Asia, 4-8 September 2007 including:

Asia-Europe Colloquium on University Governance and Management, co-organised by EUA, the Malaysian Vice Chancellors Committee and the Asia Europe Foundation

Strategic Leaders Global summit on Graduate Education, September 2007

Responsible Partnering between Research and Business: Progress and Challenges in Effective Collaboration and Knowledge and Technology Transfer, Co-organised by EUA, EARTO, EIRMA and ProTon Europe, Lisbon, 3-4 December 2007

High level debate on the future role of universities in society: Co-organised with the French government, Paris, 14 December 2007

ANNEX 2

EUA Policy Positions and Declarations

EUA policy position on the European Commission's proposals for a European Qualification Framework for Lifelong Learning (EQF-LLL) and the European Commission staff working document on a European Credit System for Vocational education and Training (ECVET)

I. Introduction

1. Universities are major players in lifelong learning (LLL) which has been a policy line in the Bologna Process since Prague in 2001. However, LLL has received less attention than other priority areas and major developments are taking place elsewhere, mainly in the EU context, in the framework of the Education and Training 2010 programme being implemented as a contribution to meeting the Lisbon objectives. The elaboration of the EQF for LLL and more recent discussions on the development of ECVET, a credit system specifically for vocational education and training are taking place within this framework in which there is no major involvement of the university sector.

2. This explains the importance of EUA taking a strong position on these developments that will have an impact on universities in the years to come. The objective of this policy paper is thus to outline the views of the European University Association and its members on the **European Commission's proposals for a European Qualifications Framework for Lifelong Learning and the ongoing, linked discussions on the development of a European Credit System for Lifelong Learning (ECVET).**

II. The European Qualifications Framework for Lifelong Learning

3. EUA welcomed in a previous policy position paper the European Commission's proposal for a European Qualifications Framework for lifelong learning (EQF-LLL), and the development of an *"overarching qualifications framework aimed at transparency, horizontal and vertical mobility and flexibility of learning paths."*¹ After a lengthy consultation process, a new proposal has been published which is now discussed by the European Parliament and Council².

Two separate frameworks

4. The proposal for the EQF-LLL follows on from the adoption in Bergen in May 2005 by 45 Ministers of Higher Education of a European Qualifications Framework for Higher Education that is presently being further developed. The QF for the EHEA is based on the Dublin Descriptors and ECTS ranges to define the different levels.

¹ EUA's position on the Development of a European Qualifications Framework for Lifelong Learning, 24/10/2005.

² Proposal for a Recommendation of the European Parliament and of the Council on the establishment of the European Qualifications Framework for lifelong learning, COM (2006) 479 final, 2006/0163 (COD).

5. EUA believes, in line with the approach adopted by the Bologna Process, that all higher education level qualifications (EQF levels 6,7,8) should be awarded by higher education institutions. It is the responsibility of higher education institutions to have procedures for the recognition and validation of prior learning in place. Therefore, the EQF for LLL should build upon the Bologna QF for higher education qualifications, allowing higher education qualifications to be described in more detail according to the Dublin Descriptors. The Commission mentions that its recommendation is compatible with the framework for the EHEA and its descriptors. However, it is questionable whether a footnote in an annex of a Recommendation will have any major impact on the actual implementation at the national level. The development of two parallel qualifications frameworks that relate to higher education will create confusion at the national level in terms of implementation, and will be very difficult for individual actors on the ground to understand. Moreover, it is potentially harmful for the external image of the European Higher Education Area as it will be difficult to explain to international partners why in the interests of transparency two different European frameworks will coexist.

The recognition of professional qualifications

6. The need for further clarification also exists at the level of the Commission in relation to the 2005 Directive on professional recognition³. The EQF-LLL proposal mentions that *“this Recommendation does not apply to situations covered by Directive 2005/36/EC of the European Parliament and of the Council of 7 September 2005 on the recognition of professional qualifications which confers rights and obligations on both the relevant national authority and the migrant. Reference to the European Qualifications Framework levels on qualifications should not affect access to the labour market where professional qualifications have been recognised in accordance with Directive 2005/36/EC⁴.”* It remains to be seen whether the lack of coherence will not

create confusion on the employers’ side. The aim of creating transparency and recognition is endangered by separate initiatives that only a limited number of specialists may understand.

The link between the European meta framework and National Qualifications Frameworks

7. The EQF-LLL is proposed as a ‘translation device’ that introduces neutral reference points and thus improves comparability between national educational systems. In this framework the main debate should take place at the national level, where National Qualifications Frameworks (NQFs) should be put in place taking account of the European meta-framework.

EUA emphasises the need for the development of NQFs and for keeping the European metaframework voluntary, and as light as possible.

Subsidiarity

8. Paragraph 3 of the EQF-LLL states that *“all new qualifications and “Europass” documents issued by the competent authorities” should “contain a clear reference to the appropriate European Qualifications Framework level⁵.”* This ignores the basic need for the learner to know how his/her qualification relates to the national qualifications system, a requirement for reaching the goal of mobility between educational sectors. *As the EQF-LLL is intended as a ‘translation device’, EUA’s view is that mentioning the EQF as a reference level should not be the primary concern. Rather, individual qualifications should be linked to a level in a national qualifications framework.*

The role of national centres

9. Further, clarification is also needed of the role of national centres to support and coordinate the relationship between the national qualifications system and the EQF-LLL. Will these centres replace the existing NARIC centres, or be established in addition? *EUA does not believe that it makes sense to create additional bureaucratic structures to support a simple translation device.*

³ Directive 2005/36/EC.

⁴ COM(2006) 479 final, p 14.

⁵ Idem, p 15.

10. The national centres are to be charged with applying the quality assurance principles set out in Annex II of the EQF-LLL⁶. However, the role of the EQF remains unclear, as quality assurance is the responsibility of the National Qualifications Framework which should therefore provide the trust needed to ensure mobility between educational sectors. Moreover, the Ministers of the 45 Bologna countries meeting in Bergen in 2005 already adopted the European Standards and Guidelines on Quality Assurance, jointly developed by the stakeholders, and that have been strongly supported by the Council and the European Parliament.

Sectoral qualifications

11. EUA is also concerned by the possibility foreseen to *“enable international sectoral organisations to relate their qualifications systems to a common reference point and thus facilitate the placing of these qualifications within national qualifications systems”*.⁷ Surely this should function ‘the other way around’, i.e. for a learner to be mobile between educational sectors at the national level, it is essential that sectoral

qualifications first and foremost relate to the national qualifications framework. European mobility becomes possible through alignment of the national framework with the European framework.

Conclusion

12. The added value of qualifications frameworks is without question. However, EUA expresses its concern first and foremost in relation to the current EQF proposal because it does not take sufficient account of the existence of the achievements of the higher education sector in creating a European framework through the Bologna process that is presently the basis, across Europe, for the elaboration of national qualifications frameworks. Secondly it appears to go far beyond its stated goal of being a “simple translation device” and thirdly it underestimates the importance of the work that has to be done at national level in creating a national qualifications framework.

III. ECVET

13. The EQF Recommendation mentions that the EQF will “facilitate the development of ECTS and ECVET” without providing details on how this will be achieved. EUA believes that the proposals set out in the current EC staff working document on ECVET will complicate issues further instead of facilitating them⁸.

Different principles

14. The European Credit system for Vocational Education and Training (ECVET) is based on one principle: learning outcomes. The credit system for higher education, ECTS, is based on two principles: notional workload and learning outcomes. A credit system for lifelong learning should be based on the same principles, so

that credit transfer and accumulation becomes possible across all sectors of higher education and vocational education and training (VET)⁹.

15. EUA takes note of the fact that the ECVET proposal is not based on the principles of learning outcomes in combination with workload, and that the ECVET proposal has been developed without considering the existing ECTS scheme. By developing two different systems of credit accumulation for VET and higher education, artificial barriers are being constructed, that will complicate mobility between the sectors at a time when the increasingly widespread use of ECTS has been facilitating such movement. The distinctions between those two sectors are often

⁶ Proposal for a Recommendation of the European Parliament and of the council on the establishment of the European Qualifications Framework for lifelong learning, COM(2006) 479 final, 2006/0163 (COD), p.15, 5b.

⁷ Proposal for a Recommendation of the European Parliament and of the council on the establishment of the European Qualifications Framework for lifelong learning, COM(2006) 479 final, 2006/0163 (COD), p.14, 10.

⁸ Commission staff working document European Credit system for Vocational Education and Training (ECVET). SEC(2006) 1431.

⁹ Recommendation from EUA and the National ECTS counsellors regarding the role of ECTS in the elaboration of a European Qualifications Framework, 18 June 2004.

blurred, programmes that are part of VET in one country are part of higher education in other countries (e.g. kindergarten teacher, nursing) and thus already use ECTS.

Credits for lifelong learning

16. The Commission aims to create a single credit accumulation system for Lifelong Learning. The parallel introduction of two non compatible credit systems will create confusion and possibly a struggle for the ‘best’ credit system which will work against the very transparency that credit systems aim to create. This must be avoided. The higher education sector has been addressing the challenges of ECTS since the late 1980s. Thanks to the Bologna Process that has involved the anchoring of ECTS in legislation in many European counties the implementation of ECTS has become widespread and it is crucial that this development continues. ECTS is perfectly capable of becoming a transfer and accumulation system for lifelong learning. It is widely used, the principles are fit for describing all types of learning and a single system is needed for the sake of clarity between educational sectors. The Scottish Credit and Qualifications Framework provides a good example of what a credit system for LLL might look like.

Conclusion

17. EUA members are committed to implementing the European Credit Transfer and Accumulation System (ECTS), as a key pillar of the Bologna Process. Since 2003 the number of institution using ECTS as a transfer system has increased from 68% to 75%, whereas the number of institutions applying ECTS as an accumulation system increased from 50% in 2003 to 66% in 2006¹⁰. These numbers indicate that it is a long and difficult road for higher education institutions to adopt a credit accumulation system, but that progress is being made. Creating uncertainty as the current ECVET proposal is doing will not benefit the implementation of ECTS.

18. EUA believes that it is crucial that achievements with the implementation of ECTS must be taken into account in the further development of ECVET. Every effort should be made to avoid two separate credit systems being developed within one lifelong learning strategy. This should also be the guiding principle in the forthcoming review of ECTS. EUA further believes that one of the main reasons for this development has been lack of structural stakeholder involvement in the process. It is unclear why universities, as important players in LLL, have not been involved in the development of the ECVET proposal until now.

IV. General conclusions

As providers of Lifelong learning programmes, universities are committed to shaping policy in this field, but for that purpose they need to be involved. EUA calls therefore upon the European Commission to actively involve all relevant stakeholders (institutions, students, staff) in their policy development. Lifelong learning is not a

theme that concerns only the VET sector or only higher education and therefore initiatives need to be compatible and coherent. The recent examples of EQF and ECVET show that this goal is still far from to be reached.

January 2007

¹⁰ Data from the upcoming Trends V study.

EUA policy position on quality

1. Background

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. The following outlines the position that EUA adopted since its foundation in 2001.

2. Starting points

EUA's work in the quality assurance area has been carried out while taking into consideration a number of requirements.

First, because of its European scope, EUA has been intensely aware of the diversity of the higher education sector – diversity of institutional missions and profiles, legal frameworks, etc. This implies that it is difficult to come to a one dimensional definition of quality for the purposes of quality assurance. Quality is contextual: its definition must take into account the specific institution and the national context of which it is part.

Second, Europe has the legitimate ambition to strengthen its higher education institutions, which are seen as central to the development of European society. If the goal is to ensure the vitality and creativity of research and education, this aspiration has a wide range of implications, particularly on institutional governance and quality assurance.

Third, EUA's concrete experience in quality, through the Quality Culture Project and the Institutional Evaluation Programme, has shown the inextricable link between institutional autonomy and accountability: the greater the institutional autonomy, the more robust are the internal quality processes and vice versa.

3. EUA's position on quality

EUA's position has been endorsed repeatedly by its members through the three bi-annual conventions held so far (Salamanca in 2001, Graz in 2003 and Glasgow in 2005).

3.1 Internal quality processes must be characterised by the following principles:

- Promote shared values and attitudes about quality rather than simply managerial processes and ensure that the internal evaluation processes develop professional attitudes and competence thus fostering creativity and innovation.
- Be fit for their purposes. While there is no single way to set up these processes, the cycles and scope of internal evaluations should be linked in a pragmatic and cost-effective way and attention should be paid to the global picture that emerges through the internal evaluation of the different activities.
- The role of leadership consists in communicating the need for these processes, framing them in consultation with the campus community – students, alumni, academic and administrative staff – and using their results in the strategic cycle.
- Ensure central data collection and analysis to measure institutional performance.
- Quality units are now standard in many institutions. It is important to ensure their appropriate leadership and staffing in order to avoid over-bureaucratisation.
- The link between autonomy and internal quality is fundamental: the greater the institutional autonomy, the more robust are the internal quality processes. In this context, the national conferences of rectors must play an important role in negotiating with the national authorities and QA agencies the scope of the internal and external evaluations and of institutional autonomy.

3.2 The principles for external QA processes that should avoid undue bureaucratic processes include:

- Seek a balance between autonomy and accountability by promoting institutional audits based on an evaluation of internal quality processes.

- A fitness for purpose approach, culturally adapted to countries and institutions.
- An improvement orientation that stresses the self-evaluation phase and confidentiality of parts of the process.

4. European discussions

EUA has been an active contributor to the European quality debate since the Prague meeting in 2001, which marked the creation of the E4 Group (ENQA, ESIB, EUA and EURASHE). This group sent to the Bergen ministerial meeting the text entitled "European Standards and Guidelines for Quality Assurance".

In the Bergen Communiqué, the Ministers asked ENQA together with EUA, EURASHE and ESIB to prepare a report exploring the practicalities of the European Register of QA agencies. The EUA proposals are as follows:

- The Register should be an unbiased, objective and reliable information tool about the quality of quality assurance agencies.
- The Register should be exclusive, that is, restricted to applicants that comply substantially with the criteria based on the European Standards and Guidelines.

- The Register Committee would use the results of the ENQA or nationally organised reviews of QA agencies, presuming they meet certain criteria (objective, unbiased, all partners in the evaluation teams) and provide all the necessary information. If information is missing, the Register Committee would reserve the right to ask for additional information.

- The Register Committee should include all major stakeholders (institutions, students, agencies, governments) because only a system of checks and balances would ensure trust and transparency.

- The operational cost and the secretariat supporting the Register will be light and minimal.

In conclusion, EUA supports the Register because it will be a reliable and useful information tool for higher education institutions, provided it is managed in partnership with the higher education sector and other stakeholders.

January 2007

The Lisbon Declaration

Europe's Universities beyond 2010: Diversity with a common purpose

I. Introduction

1. Strong Universities for Europe:

Europe's universities have, since their foundation over 800 years ago, championed enquiry, fostered a civilised and tolerant society and prepared young people for their role in society and the economy. Europe now expects its universities to perform an even wider role, enabling civil society to meet the challenges of the twenty-first century. Climate change, energy issues, increasing longevity, the rapid pace of technological change, growing global interdependence and rising economic inequality both within Europe and between Europe and other continents: all these require investigation, fundamental research as well as technological and social innovation which will solve problems as they arise and ensure economic success combined with social stability in many different societies. The universities of Europe, themselves diverse, are together ready to meet these challenges.

2. Universities and the Knowledge Society:

The central task is to equip Europe's populations – young and old – to play their part within the Knowledge Society, in which economic, social and cultural development depend primarily on the creation and dissemination of knowledge and skills. Modern societies, much more than the agricultural and manufacturing societies of past centuries, depend on the application of knowledge, high-level skills, entrepreneurial acumen and the exploitation of communications and information technology. It is these skills which Europe's universities are good at developing, through discipline-based education as well as more professional training, all based in the fundamental research which is the particular role of the university system. Universities therefore look forward to playing a pivotal role in meeting the innovation goals set

by the Lisbon Agenda and in particular through their commitment to the European Higher Education and the European Research Areas.

3. A diversified university system:

Universities recognize that moving from an elite to a mass system of higher education implies the existence of universities with different missions, and strengths. This requires a system of academic institutions with highly diversified profiles, based on equality of esteem for different missions. Institutions will increasingly offer different kinds of study programmes leading to a wide spectrum of graduate qualifications that allow progression routes from one institution to another and will develop research, innovation and knowledge transfer activities in line with their diverse missions.

4. The fundamental importance of university autonomy:

For universities, the adaptability and flexibility required to respond to a changing society and to changing demands relies above all on increased autonomy and adequate funding, giving them the space in which to find their place. The common purpose of contributing to Europe's development is not opposed to diversity; instead, it requires that each university should define and pursue its mission, and thus collectively provide for the needs of individual countries and Europe as a whole. Autonomy implies control of major assets such as estates, and of staff; it also implies a readiness to be accountable both to the internal university community – both staff and students – and to society as a whole.

5. Universities and an inclusive society:

Europe's universities accept their public responsibility for promoting social equity and an inclusive society. They are making great

efforts to widen the socio-economic basis of their student populations; they are dedicated to ensuring access and giving opportunities to succeed to all those who are qualified and have

the potential to benefit from higher education. Success in this task requires partnership with governments and other parts of the educational system.

II. Building the European Higher Education Area

6. Refocusing on key goals:

Universities are fully committed to building the EHEA, as the immense success of the rapid introduction of a three cycle higher education structure across Europe shows. At the same time Trends V also demonstrates that one of the paradoxes of the Bologna Process reforms is that while their goal is to respond to societal concerns, there has been until now insufficient dialogue with society. Thus universities and government, while continuing to improve understanding and better usage of the different tools, need to re-engage with the overall purposes of the reform in order to ensure that a stronger student focus, employability, mobility, attractiveness and social inclusion are firmly embedded as characteristics of the emerging EHEA.

7. A stronger student focus:

Universities are aware that additional efforts are needed to meet the challenges of the shift towards student-centred learning. This involves encouraging use of learning outcomes and being explicit about what graduates are expected to know and be able to do, but also encouraging critical thinking and the active engagement of students. A particular effort needs to be made to motivate and train academic staff to work within such a student-centred paradigm. Students and their representatives must be involved in working through the consequences of these new approaches.

8. ECTS:

Trends V shows the effective role of ECTS in structuring learning processes, when it is used properly on the basis of learning outcomes and student workload. It provides a basis for trust within and between institutions, cycles and disciplines, thus promoting the flexible and multi-faceted mobility that is a key objective of the Bologna Process. Universities strongly

urge the European Commission to build on the achievements of ECTS in the further development of proposals for a credit system for vocational education and training (ECVET). Every effort should be made to avoid the existence of two separate credit systems within one lifelong learning strategy. Universities wish to take a leading role in the further development of ECTS. EUA will take up this challenge as part of its continued support to universities in implementing the Bologna Process reforms through the Bologna Handbook and the organisation of dedicated seminars and other events; as the Trends V results demonstrate, this process will take time.

9. Creating a supportive learning environment:

Aware of the importance of adapting teaching and learning processes to the needs of increasingly diverse student populations, universities will, in partnership with governments, seek to ensure that high quality student support services, in particular guidance and counselling services, are accessible to all students. Reaching these objectives requires strategic commitment on the part of institutions at the highest level and financial incentives from governments in favour of wider access.

10. Employability:

Universities recognise that additional efforts are needed to make employers aware of the enormous efforts which are being undertaken to reform curricula. They will seek to engage more consistently in dialogue with employers, provide better information on the competences and learning outcomes of their graduates and put in place systems to track graduate employment. In conjunction with state and/or private agencies, they will address the question of how to provide more systematic career guidance support and

services to their students. Both institutions and governments should translate this broadly accepted policy commitment into action. Governments are urged to adapt their own public sector employment structures to take account of the new degree structures – an issue pointed out in Trends IV, but not yet resolved.

11. Lifelong Learning:

Universities understand the urgent need to make lifelong learning a reality in the years to come, both with regard to continuing education and training for well-qualified graduates and to initial education for disadvantaged groups. Experience shows that engaging in lifelong learning provides particular opportunities for strengthening local partnerships, diversifying funding and responding to the challenges of regional development. The Bologna tools, in particular the overarching Qualifications Framework for

the European Higher Education Area adopted by Ministers in Bergen, provide opportunities to offer more diversified programmes as well as facilitating the development of systems to enable the recognition of prior informal and work-based learning. EUA urges the European Commission in its proposals for a Qualifications Framework for Lifelong Learning to avoid the development of two parallel qualifications frameworks that relate to higher education as to do so will cause problems in implementation at national level and confusion among actors on the ground. EUA also calls upon the European Commission actively to involve universities in policy development on lifelong learning. This is an issue of major concern both to the higher education and the vocational training sector and thus requires initiatives that are compatible and coherent.

III. The Internationalisation of the European Higher Education Area

12. Internationalisation and the “Bologna Trademark”:

The Bologna Process is one of the great successes of Europe. It is being watched with increasing interest throughout the world and becoming a ‘European trademark’. The Bologna reforms make European HE attractive because they have an underlying philosophy and methodology and use transparent tools such as ECTS. These principles translate well to the international environment as they communicate a general understanding of higher education as a public good and place a strong emphasis on the academic values that underpin higher education.

13. Institutional strategies for internationalisation:

Universities are a major driving force in developing strategies and structures for international cooperation and exchange at institutional, national and European level. They are increasingly developing international strategies and profiles that encompass both

teaching and research activities, seek to balance cooperation and competition and target specific geographic areas. Graduate education has a particular role to play in promoting internationalisation at institutional level.

14. Further developing internationalisation:

Europe’s universities are committed to making Europe the destination of choice for students and scholars. EUA will continue its activities by: promoting and explaining the Bologna Process to international partners; contributing to policy discussions at European level; and, together with National Rectors Conferences, developing a dialogue with higher education associations in different world regions, thus laying a strong basis for long lasting partnership and cooperation. Universities, through EUA, should develop a code of conduct for international cooperation and exchanges in the EHEA. The European Commission and national governments are urged to support this internationalisation process through the development of flexible funding tools enabling institutions to implement long

term international strategies, and to take action to facilitate the mobility of students and scholars. In particular national authorities are urged to adapt immigration laws and visa regulations to enable these strategies to succeed. The active

participation of international partners in this dialogue will also be important in reaching the goals set.

IV. Promoting Research and Innovation

15. Linking higher education and research:

The provision of research based education at all levels is a particular strength of Europe and Europe's universities. Institutions offering research based higher education should ensure that a research component is included and developed in all cycles thus allowing students to acquire research experience and encouraging an interest in research as a possible career. This also applies in relation to the acquisition of a broad range of transferable skills that should be included not only at doctoral level but in curricula at all levels, thus promoting a new generation of leaders able to integrate multiple perspectives and be responsive to the needs of rapidly changing labour markets.

16. Embedding high quality doctoral programmes in universities:

EUA adopted 10 basic principles for doctoral programmes in Salzburg in February 2005. These have since constituted the framework for discussion on doctoral programmes in Europe and have been further developed in a report prepared for the forthcoming Bologna Ministerial meeting in London. This report underlines once more that original research has to remain the main component of all doctorates. Building upon the outcomes of this Report, EUA will establish a permanent framework for the further development, cooperation and exchange of good practices between doctoral programmes and schools across Europe's universities. Recognising that the attractiveness of a future career in research is determined largely at the doctoral stage, universities furthermore need to engage actively with national research councils and other funding agencies (including the European Commission) to improve the conditions of the financing of doctoral candidates and programmes, and the

future career development of researchers in both academic and non-academic sectors.

17. Developing institutional strategies for research:

Encouraged by the creation of the European Research Council, universities will work to strengthen further their institutional research strategies with a view to introducing strategic management approaches. These will reinforce the pooling of research expertise within the university and create working processes that maximise the opportunities offered by European and national research funding instruments (as the main element of university external research resources). While individual talent remains at the heart of the research process, team-building of critical mass in areas of university strengths and the optimisation of the creation and use of research infrastructures will remain crucial to success. The increased costs of research (including scientific infrastructure) will intensify the need to identify priorities.

18. Promoting innovation capacity:

Universities will seek increasingly to enhance their research and improve their innovation capacities by further developing partnerships with external partners, by professionalising their processes of knowledge transfer and by looking for synergy between regional, national and European research policy initiatives. Consortia-building and clustering in specific research domains between universities and other partners will continue to develop as a major feature of innovation, including regional innovation. For its part, EUA will promote the need for greater linkage between FP7 and national research funding and the European Structural Funds in support of research and innovation, and necessary infrastructure. Working with its National Rectors Conference members, EUA will

seek to engage with regional partners to work towards this goal of securing more funds for research and innovation activities from the EU Structural Funds.

19. University-enterprise collaboration:

For many years, universities have fostered extensive and successful collaborations with business enterprises – such good practices have formed the basis of the widely-recognised “Responsible Partnering Guidelines”. University-business collaboration is a process of “Co-Innovation” with knowledge transfer seen as a core mission of universities. EUA will continue to work to improve the university-business dialogue including, for example, in relation to doctoral programmes and in helping to develop the EU-proposed European Institute of Technology (EIT).

20. Cost accounting of research activities:

Universities are moving steadily towards the full cost accounting of their research activities and therefore expect European and national research funding agencies and programmes to provide full cost support to research contracts and grants. As a follow-through to its successful efforts in achieving improved indirect research costs support in the new FP7 eligible research

costs model, EUA, in cooperation with its members, will monitor the progress of the implementation of this model up to the mid-term review in 2010.

21. More flexible legal and regulatory conditions:

EUA will work with its National Rectors Conference members to discuss with national governments the need for more flexible and favourable legal and regulatory conditions (concerning remuneration, portability of pensions etc) for university-based researchers. This is necessary if Europe is to gain the potential full benefits from the new opportunities offered, for example by the funding schemes of the European Research Council.

22. Open Access:

Universities and the EUA, through its Working Group on Open Access, will continue to work towards realising “open access” principles in relation to the dissemination of research results. Universities wish to preserve their public role and responsibility as “guardians” of research knowledge as a public good – and hence strengthen the University-Society dialogue through optimum use of the benefits of digital technology.

V. Quality

23. Quality processes and institutional mission:

Quality processes should encourage a culture of risk-taking which attaches greater importance to success than to failure, in order to produce an institutional milieu favourable to creativity, knowledge creation and innovation. Universities reconfirm their commitment to continuous quality development and improvement in all aspects of their institutional mission. Institutional quality processes should be based on and adequately reflect institutional values and mission. External and internal quality systems should take into account these aspects as starting points of any evaluation.

24. The link to external accountability:

Universities fully embrace the responsibilities derived from their commitment to quality; they recognise the importance of complementing an internal quality culture with external accountability processes. External quality mechanisms should be linked to but not duplicate internal processes, so as to ensure their wide-spread acceptance within the university, benefit from synergies and keep bureaucracy at a minimum. To this end, institutions should play an active role – through their rectors’ conferences and in a dialogue with their governments and QA agencies – in designing their external accountability systems in line with institutional quality processes.

25. The European dimension of quality:

Similarly, the European QA dimension should be developed in a partnership with higher education institutions, students, QA agencies and governments. The proposed governance of the European Register of QA agencies – based on a partnership of stakeholders that ensures a system of checks and balances – will provide

the basis for trust and transparency and thus increase the attractiveness of the European Higher Education Area. Ministers are urged to adopt the proposals elaborated by the E4 group – ENQA, ESIB, EUA and EURASHE - over the last two years, thus demonstrating trust in the responsible stakeholder partnership underlying these proposals.

VI. Autonomy and funding

26. Autonomy:

Governments are urged to endorse the principle of institutional autonomy so as to accommodate diverse institutional missions and to include academic autonomy (curricula, programmes and research) financial autonomy (lump sum budgeting), organisational autonomy (the structure of the university) and staffing autonomy (responsibility for recruitment, salaries and promotion). Autonomy should be founded on adequate public funding and should also facilitate the strategic management of public and private income and endowments (from philanthropists, companies, alumni and students) by the universities themselves. Governments are urged to benchmark progress against target levels set in relation to both autonomy and funding of universities. Universities will strive to reinforce further leadership and strengthen professional management.

27. Increasing and diversifying funding streams:

EUA continues to be committed to identifying supplementary revenue streams for universities and to promoting modes of governance that support optimal transparency in financial management. The data collected by the EUA funding working group demonstrate the huge diversity of public funding mechanisms to be found across Europe. They vary enormously in volume, legal base, methodology, policy thrust, and in the degree to which central authorities control institutional budgets. EUA will continue its investigations to the point at which it can reliably profile European universities on the basis of an agreed template and elaborate a

general costing methodology. This requires more comprehensive mapping of current public funding models, of their legal and financial environments, and of the supplementary income streams available; it therefore touches directly on key features of both the Bologna Process, such as the social dimension (access, equity in student support, and affordability), the international dimension (attractiveness and competitiveness) and mobility (the portability of student support) and the Lisbon Strategy. The EUA supports the European Commission’s goal of increasing investment in higher education to at least 2% of GDP within a decade and urges all partners to work together to ensure that this target is met.

28. Private contributions to higher education:

EUA calls on governments to reaffirm that higher education is predominantly a public good. However, in the context of university funding and in response to the growth in student numbers and the high cost of maintaining excellence in a global context, EUA will continue to engage in the debate on the public-private partnership in funding higher education and will specifically address the issue of tuition fees. For example, lifelong learning requires funding models to be far more flexible than the older systems designed to address the needs of traditional full-time students. EUA will therefore work together with its members to study policy alternatives on the private (student or graduate) contribution to the cost of higher education taking into consideration the various national contexts.

VII. Conclusion

29. Strong Universities for Europe:

Europe's universities are a major force in shaping the Europe of Knowledge. They accept the responsibilities which this brings and, in return, ask that governments, and civil society in general, should recognize their responsibility to enable universities to secure the resources which will permit them to fulfil their mission not just well, but with excellence and in a way which allows them to compete with the higher education systems of other continents. Not just Europe, but the whole world, is becoming a "Knowledge Society" and the Lisbon Strategy, the creation of the European Higher Education

and Research Areas, together with the efforts of national governments, will require constant reconsideration in order to meet the challenge which this presents. These are exciting times for universities as they contribute to innovation through teaching and learning, research and knowledge transfer. Europe's universities welcome the opportunity which this gives them to help to shape Europe's future.

Brussels, 13 April 2007

Banff Principles on Graduate Education

Graduate education, involving both masters and doctoral programs, is the key to creating a knowledge-based economy. While graduate education is in transition globally, the Banff Summit is an important step towards establishing inclusive, international collaborative action to support and strengthen graduate education through the sharing of best practices.

As a result of our deliberations, we offer nine principles to guide our future collective and collaborative work to advance and improve graduate education.

- Respect and learn from the differences in programs and their modes of delivery directed towards our common goal
- Promote the quality of graduate programs
- Develop global career competencies and awareness in graduates
- Encourage innovation in programs and graduates
- Clarify and strengthen the role of the masters degree
- Promote high-quality inter-university collaborative programs across national boundaries
- Review and understand the global flow of graduate students and postdoctoral fellows (early stage researchers)
- Engage stakeholders, e.g. employers, policy makers and universities, to improve and advance graduate education in a global context
- Establish an inclusive global platform for discussion of best practices in graduate education

Agreed to on 1 September 2007 by:

Council of Graduate Schools

European University Association

Canadian Association for Graduate Studies

Deans and Directors of Graduate Studies (Australia)

The Association of Chinese Graduate Schools

European Commission's "Green Paper" on The European Research Area: New Perspectives

Viewpoint from the European University Association (EUA)

EUA welcomes the fact that the re-launching of the debate on the future of the ERA has further highlighted the urgent need to re-distribute the European Union budget to give more support to the role of higher education institutions in promoting research and technological development to meet successfully the revised Lisbon Objectives. The strengthening of the European Research Area through the development of new instruments that will enable Europe's universities to play a fuller role should be continued with added vigour.

Europe's universities are a central pillar in building the ERA through their main responsibility for providing the supply of trained researchers and through their core missions in fundamental and collaborative research. In performing these major functions Europe's universities play a crucial underpinning role in enhancing the economic competitiveness of Europe.

Universities are also the unique environments in which interdisciplinary skills are being developed to tackle the complex challenges facing human, social and economic development in the 21st century. In addition, the European "specificity" of its strong tradition in the social and human sciences rooted in its diverse cultural heritage offers Europe's strength in the medium to long term to develop new interdisciplinary scientific fields combining natural and human sciences as a competitive advantage in the global economy. Innovation will not be achieved unless its cultural and social aspects are thoroughly understood and addressed.

EUA expects, therefore, that Europe's universities as key stakeholders in the European Research Area will be brought fully into the process of putting into practice the proposed "Action lines" that will result from the current debate.

The EUA "Lisbon Declaration" as a starting point

EUA's response draws upon the outcomes of the 4th EUA Convention of Higher Education Institutions which, fittingly, was held in Lisbon, Portugal, on 29-31 March 2007. The "EUA Lisbon Declaration" provides the policy agenda for the work of EUA with its membership (currently 780 universities in 46 countries and national rectors' conferences in 34 countries across Europe) in the coming years. It was presented to the "Bologna Process" Meeting of Ministers of Education in London on 17-18 May 2007 and places key emphasis on the need for coherent policy linkage between the building of the European Higher Education Area and the European Research Area in responding to the challenges posed to Europe in a globalised world¹.

As in the case with EUA responses to other major European Commission policy communications, EUA has prepared this statement as an "overview response" which also takes account of the viewpoints offered by National Rectors Conferences and university networks during the ERA Green Paper consultation process. In doing so, this statement concentrates on the central issues raised in the "six main dimensions of the ERA" presented in the Green Paper rather than every specific question posed under each dimension (except in the case of "Strengthening Research Institutions" where the needs of universities as research institutions are addressed).

Continuity of EUA viewpoint with respect to its previous positions on ERA

At a previous point of the European Commission's reflection on progress in the development of the ERA in 2004, EUA issued its response to the European Commission Communication on "Science and Technology, the key to Europe's Future – Guidelines for Future European Union Policy to support Research"². The EUA position

¹ Lisbon Declaration. Europe's Universities beyond 2010: Diversity with a common purpose (EUA, May 2007).

² EUA Response to the EC Communication: Science and technology, the key to Europe's future – Guidelines for future European Union policy to support research (EUA, November 2004).

sought to introduce and establish the views of universities as key stakeholders in the debate on the future development of the ERA and the then planned 7th Research Framework Programme. The EUA position on the 2004 Communication has been cited by Mr. Jerzy Buzek, MEP and European Parliament Rapporteur on the 7th Research Framework Programme, as a key document in highlighting the importance and contribution of universities as institutions in building the European Research Area.

The EUA November 2004 position emphasized that the effective building of the European Research Area required the strengthening of the role of universities. It stated that:

“Universities are strategically placed at the interplay of RTD, educational and regional development policies at both national and

European levels. Through their multiple mission that encompasses teaching, research training, basic research, knowledge transfer to foster university-industry partnerships and public policy development, and not least, informing a wider “knowledge society”, they have, as institutions, a unique role to play in bridging the policy framework “gap” between actions in relation to education, training, research and regional development in the Enlarged Union. Further research policy and practice should take account of this unique role and thus of the potential added value brought by the universities to the European research effort in a mid to long term perspective”.

These above perspectives remain highly relevant in addressing the six main dimensions of the “European Research Area Vision” in the Green Paper.

I. General Comments on the ERA “Green Paper”

Three years on from the above EUA statement on the strategic importance of universities as institutions in building the European Research Area, EUA would wish to make the following general comments on how much the role of Europe’s universities has become integrated within the main elements of the European Commission’s “European Research Area Vision”.

(i) Key stakeholders

The Green Paper now clearly places universities as key stakeholders in achieving its vision of “Making ERA a Reality”. This new recognition and emphasis is welcomed by EUA as a most positive development in the debate on the future of the ERA.

(ii) Autonomy

Another important positive development to be welcomed in the Green Paper is the acknowledgement of the need for university autonomy in the management of its research mission. As stated in the EUA Lisbon Declaration, the principles of university autonomy must accommodate diverse institutional missions and include academic autonomy (curricula

and research), financial autonomy (lump sum budgeting), organizational autonomy (the structure of the university) and staffing autonomy (responsibility for recruitment, salaries and promotion). EUA believes that strong universities with a greater autonomy and accountability rather than universities over-regulated by national and European governmental agencies will be able to play their full part in responding to a changing society and its demands and in contributing to the revised Lisbon Agenda on Growth and Jobs.

(iii) Historical under-financing

In general, the central problem of the historical under-financing of universities in Europe compared to its main global competitors is understated. On this point, a clear connection is highly desirable in the ERA Green Paper to the EC Communication “Modernisation Agenda for Universities”³ stated need to reduce the funding gap by 2015 through aiming to devote at least 2% of GDP (including both public and private funding) to higher education and research. Without this increased level of investment the structural actions proposed in the Green Paper are unlikely to achieve the stated ERA goals.

³ EC Communication “Delivering on the Modernisation Agenda for Universities: Education, Research and Innovation” (EC Document, May 2006).

(iv) Public funding of research on a competitive basis

The Green Paper does not place sufficient priority on the importance of fundamental research and the need to strengthen the role and resources available to the newly-established European Research Council to enhance university excellence in Europe and enable universities to recruit and retain well qualified researchers. University-based research also requires well-funded competitive funding schemes at the national level to maintain and strengthen research capacity in established and new fields.

(v) Full cost funding of research

It is noted that there remains a significant lack of any reference in the “Green Paper” to the need to move towards full cost funding of research supported by external funding agencies as an essential condition to underpin the sustainability of universities’ research missions. However, the EU 7th Research Framework Programme with its new eligible research costs model is a step forward in the move towards full-cost support for research and also a major “driver” in the development of university finance and accounting systems to operate on full-cost accounting.

(vi) ERA and EHEA policy linkage

There is an urgent need for a greater linkage and dialogue in the policy development of the European Higher Education Area (EHEA) and the European Research Area (ERA), particularly in relation to achieving a sufficient flow and supply of competent researchers. EUA views it to be essential to ensure maximum synergies between the “Bologna Process” in building the EHEA and the parallel development of the ERA – “Viewed together, EU support through the Research Framework Programme and the wider Bologna Process represent a major investment in Europe’s education, training and research sector to meet the Lisbon and Barcelona goals, notably in combating the present lack of qualified manpower”⁴.

(vii) Doctoral reform and research career development

The Green Paper debate needs to connect more

with higher education reform underway in the Bologna Process, particularly given its extension to the 3rd Cycle (doctoral training reform and the further development of doctoral programmes for academic and non-academic careers). 3rd Cycle reforms are changing considerably the overall environment in which research training and research careers are being developed. Universities involved with the Bologna reform process are working to improve the conditions of doctoral candidates and their prospective career development which contribute in practical ways to addressing the core issues raised in the EC policy initiative of the European Charter for Researchers and the Code of Conduct for the Recruitment of Researchers.

(viii) Research, knowledge transfer and innovation

Universities recognize the need to create research environments where talented researchers are able to balance their interests to pursue fundamental research and explore successful collaborations with external partners in both public and private sectors. Holistic approaches are required to achieve such environments whose success build upon integrated strategies linking universities’ activities in education, research and innovation (the “knowledge triangle”). Universities are making increasingly major contributions through investment in knowledge transfer capacity (both professional expertise, patents and spin-offs), the development of collaborative postgraduate programmes, the production of scientific publications in applied fields, the promotion of entrepreneurial culture and the development of higher education degrees to provide highly skilled professionals for new labour market needs.

(ix) Research and teaching

Finally, and importantly as a general comment, the Green Paper does not give sufficient recognition to the role of research in fostering high level teaching at all levels in higher education institutions. Research is a strong force in driving quality issues in education and this should be acknowledged and promoted in the debate on the future development of the ERA.

⁴ EUA Response to the EC Communication: Science and technology, the key to Europe’s future – Guidelines for future European Union policy to support research (EUA, November 2004).

II. Specific Comments on the “Six Main Dimensions” of the European Research Area

Comments on all the dimensions addressed in the Green Paper are put forward below with more attention devoted to the dimension of “Strengthening Research Institutions” where the needs of universities as research institutions are addressed.

(i) Realising a single labour market for researchers

EUA believes that meeting this objective will require stronger linkage between ERA and EHEA policy development. EUA has focused its efforts so far on the early stage of research career development at the doctoral level. The attractiveness of a research career whether in academic or non-academic labour markets is largely determined at the doctoral stage. Hence the improvement of conditions both in terms of the research environment (equipment, supervision, collaboration with external partners, mobility opportunities to strengthen research expertise and career development) and financial and living conditions (grant support, research/teaching assistant status, taxation, social security and pension provision and contributions) at the doctoral level should be a *prima facie* concern. EUA argues that Europe needs a clearer vision for doctoral research training on these key issues that requires an urgent policy dialogue between European institutions and the national government ministries, national research councils, private foundations and industry and business enterprises which are the sources of the diverse funding of doctoral research across European countries⁵.

Such a dialogue should be the starting point for further consideration of policy options addressing differing opportunities and barriers facing researchers across the whole span of their career paths including the need to strive for a more balanced age structure of the research community (to combat Europe’s serious problem of an ageing researcher population) and gender representation (to reflect the

present imbalance and the increasing higher proportion of women entering higher education in Europe). The framework of the Open Method of Coordination (OMC) would offer the best opportunity to make progress on these issues and the future implementation of the principles of the “European Charter for Researchers and the Code of Conduct for their Recruitment” in the differing national and regional legislative contexts.

Strengthening the dialogue between universities/public research institutions and industry/business enterprises is essential also to “change the mindset” on both sides concerning requirements for employability and intersectoral mobility in research careers in both academic and non academic sectors. On employability, while an original research contribution lies at the heart of doctoral research, the continuing development of “transferable skills” components of doctoral research are proving essential in enhancing the employability of doctorate holders. Universities need to ensure also the “sustainability” of their research capacity in areas of strength and potential collaboration with enterprises. Hence medium to long-term, not short-term “one-off”, research collaboration is required in order to achieve greater creative synergy between education, research and innovation in which intersectoral mobility will be able to develop and flourish.

EUA has played an active role on the part of its university membership in the recent series of EU Presidency Conferences that have been held over the past two years on the Researchers Charter, Researcher Careers and Labour Markets, Crossing the Borders of Academia and Industry (held respectively in London, Vienna and Stuttgart) and the various related EU “expert groups” meetings. EUA believes that such EU-level activities should be continued as they were crucial in fostering knowledge exchange and awareness-raising on these central issues.

⁵ Doctoral Programmes in Europe’s Universities : Achievements and Challenges (EUA, September 2007).

Finally, the Green Paper should give greater recognition to the importance of the Marie Curie Actions which in their various new forms under the 7th Research Framework Programme have been developed with employability and intersectoral mobility needs in mind. However, there remains a strong need for the re-introduction within the Marie Curie Actions of a postdoctoral fellowship scheme which in previous FPs had been a valuable instrument in both research career development and in fostering exchange and mobility across Europe's universities. In building the European Research Area as an attractive global region for researchers the Marie Curie Actions need to be continued with increased funding in parallel development with other open competitive funding schemes such as the European Research Council.

(ii) Developing world-class research infrastructures

EUA has welcomed the creation of the European Strategic Forum on Research Infrastructures (ESFRI) and the results of its work through the "European roadmaps" identifying priorities for large scale research infrastructure investment across several scientific fields. University-based researchers should continue to benefit from the access granted to large scale infrastructures through European Community actions. Also, the challenge must be met of achieving the maximum available use of research infrastructure for education and training purposes.

EUA considers that the current European debate on developing new large-scale research infrastructures and their upgrading is not sufficiently linked to other components in building the ERA such as research career development and sustainability of university-based research and infrastructure. Discussions have tended to focus on the physical research infrastructure themselves (mainly new and large scale machines/equipment) with much less emphasis on the necessary related human resource needs and the implications of digital technology for future development and use of research infrastructures and their research data/resources.

Europe's universities offer many types of research infrastructures (large and small, including national digital repositories) in all fields; their collective capacities and needs should be assessed within the overall framework of developing a European strategy for research infrastructures. EU research funding schemes should include provision for the use and maintenance of university research infrastructure which is historically under-funded in many parts of Europe.

In this respect EUA believes that the policy linkage between FP7 research funding and the European Union Structural Fund investment (re-orientated to the Lisbon Agenda on "Growth and Jobs") holds crucial importance for research infrastructure renewal and upgrading in Europe's universities, particularly in EU new member states.

(iii) Strengthening research institutions

EUA wishes to give specific attention to the issues raised in this section of the Green Paper which address universities as research institutions. The underlying premise in this section of the Green Paper is that strengthening research institutions is the key to stimulating business RTD investment in Europe. The Green Paper argues that their potential is not fully realized due to significant dispersion of resources and activities, insufficient links with business and society, and rigidities in their functioning.

The Green Paper envisages five main means of tackling these challenges facing research institutions: (i) greater autonomy, professionalism in the management of research and transparent standards of accountability; (ii) linking public funding to output and performance; (iii) stimulating innovative public-private partnerships in research; (iv) creating virtual research communities using information and technology technologies (ICTs); and (v) establishing virtual centres of excellence through pooling research resources and research management capabilities.

EUA's response follows the sequence and logic of the questions posed in this section of the Green Paper.

“How can the resources of European research institutions be strengthened in the most cost-effective manner, in order to enable them to achieve excellence and compete on a world scale?”

As mentioned above in the section on EUA General Comments, the Green Paper does not place sufficient priority on the importance of fundamental research and the need to strengthen the role and resources available to the newly-established European Research Council as the most cost-effective manner to achieve university excellence in Europe and enable universities to recruit and retain well-qualified researchers. In addition, public-private partnerships will be stimulated further by such greater investment in the ERC because industry/enterprises will seek more to invest in excellent university-based laboratories and researchers as the “open innovation” model of industry/business research collaboration with public research organisations becomes more firmly established.

However, excellent universities can only exist and function effectively within the broader, complementary framework of the research capacity existing in a diversified higher education system. Concentration of funds for excellent institutions should not be at the expense of successful higher education institutions performing the essential and indispensable functions of the production and distribution of knowledge for economic and social development, and necessary skills for labour markets in their regions and beyond.

Concentration and diversification must also be sensitive to the need for openness to new entrants achieving quality results in their fields (particularly early stage researchers). Furthermore, from the perspectives of smaller European countries there remains a need to maintain an advanced knowledge base.

“How can research actors be better encouraged to create world-class virtual centres of excellence, such as in the context of the proposed European Institute of

Technology, the FP7 “networks of excellence” and national and regional initiatives, and to share structures that pool the research management capabilities of several institutions?”

Imbalances in the 27 Member States' RTD systems in terms of university autonomy, funding structures and procedures will persist as a major problem also inhibiting the development of “virtual centres of excellence” which could, all things being equal, be the best way forward. A concept of European coordinated funding would be required which would not depend on research actors applying for funds independently at national and regional levels. Otherwise there was the clear risk of limiting research actors in “virtual centres of excellence” to those countries and/or scientific fields where financial support schemes were available.

A better approach would be to study “success stories” in building existing “Networks of Excellence” under FP6 and consider in more depth the support mechanisms and partnerships required to bring about their sustainability and their openness to new entrants. In addition, existing “good practices” in European centres of excellence such as the European Molecular Biology Laboratory (EMBL) would merit careful analysis as models for future development – which strike a balance between both their dependence on member states for financial support and their relative independence from member states in the conduct of their research priorities and research management.

The pooling and sharing of research management and accounting capabilities, good practices and experiences needs to be addressed through a new instrument that builds upon the model of the ERANET and OMC-NET schemes but where universities as institutions are the consortia leaders and partners. Such a scheme would enable groups of universities with shared strategic research missions and profiles to intensify their collaboration across national and regional borders, and at the level of research management, finance and accounting provide strategic support for career development and mobility of university research managers and finance personnel which are missing elements in building the ERA.

“Is there a need for a European regulatory initiative to facilitate the creation of public-private partnerships?”

There is no real need for a regulatory approach because successful public-private partnerships are mainly developed in a “bottom-up” way on a voluntary basis in varying local, regional, national and European contexts. EUA, together with its partners, EIRMA, EARTO and ProTonEurope, have developed a set of guidelines entitled “Responsible Partnering” for research collaboration between public and private partners based on such existing good practices⁶. The “Responsible Partnering Guidelines” cover ten core areas that are crucial to successful collaboration concerning aligning interests, professional training and skills, consortia-building, intellectual property rights and patents and building lasting relationships in collaborative research.

EUA believes that the “Responsible Partnering” guidelines could be valuably embedded and developed further as a voluntary code of practice in new policy instruments designed to foster the creation of public-private partnerships such as the European Institute of Technology (EIT). The Responsible Partnering Guidelines have been recognised as a valuable European initiative in the recent European Commission Communication on “Improving Knowledge Transfer between Research Institutions and Industry across Europe: Embracing Open Innovation”⁷ and strongly recommended for further development and implementation by the recent “Aho Report” on “Creating an Innovative Europe”⁸.

“How can the EU and Member States best stimulate the emergence of European and global virtual research communities, exploiting fully the potential of computing, information and communication infrastructures?”

Virtual research communities are best developed by the researchers rather than “top down” by governmental bodies. In addition, of course,

computing, information and communication infrastructures involve expenditure and hence the question of establishing priorities vis-a-vis other public investments in research emerges as the primary question. Certainly the full potential of ICT technologies has not yet been realized and needs, for example, to be developed to enhance the virtual usage of common research infrastructures hosting scientific data bases in Europe and coordination efforts in this respect should be explored.

It can be argued that the full potential of ICT technologies can best stimulated to enhance greater “open access” to scientific results arising from publicly funded research in order to diffuse them and make them available to the research communities, the public and interested parties and stakeholders within EU, the developing world and world-wide. EU and Member States need, therefore, to take the initiative in developing the policy framework for open access to research results in consultation with the various stakeholders.

“Should action be taken to develop: (i) principles for autonomy and for the management of research by research institutions, notably universities; (ii) shared criteria for the funding and assessment of research institutions, notably universities, giving stronger weight to linkages beyond academia, as well as to output and performance factors?”

Setting at the European level shared principles and criteria for the autonomy, funding and assessment of research institutions is generally not regarded as being easily achievable or desirable because of the diversity of university missions across Europe. While it has its disadvantages, the Open Method of Coordination remains the optimal means for making progress in these areas – which would require involvement of government ministries beyond the confines of research, technology and higher education, and the participation

⁶ Responsible Partnering – Joining Forces in a World of Open Innovation. A guide to better practices for collaborative research and knowledge transfer between science and industry (EUA, EIRMA, EARTO and ProTonEurope, 2005).

⁷ EC Communication “Improving Knowledge Transfer between research institutions and industry across Europe: Embracing open Innovation” (EC document, April 2007).

⁸ Creating an Innovative Europe. Report of the Independent Expert Group on R & D and Innovation. (January 2006).

of universities on an equal footing as key stakeholders.

(iv) Sharing knowledge

As mentioned in comments above on the dimension of “strengthening research institutions”, EUA believes that the “Responsible Partnering” guidelines provide an existing proven basis for a European Framework for knowledge sharing between research institutions and industry/enterprises based upon identified good practice and models that reflect various national initiatives and offer flexible solutions for effective knowledge sharing. The four partners from the university sector (EUA), business (EIRMA), research and technology organizations (EARTO) and knowledge transfer offices (ProTonEurope) who have developed the “Responsible Partnering” guidelines will be reviewing progress in effective research collaboration (through case studies) at a specific event organized under the EU Portuguese Presidency to be held at the Gulbenkian Foundation in Lisbon on 3-4 December 2007. Within the context of this event the EU German Presidency’s proposal to develop an Intellectual Property Charter will be reviewed from the viewpoints of the respective stakeholders (on such key issues as the grace period, joint ownership regimes and importantly the need to rationalize administrative procedures, language translation etc).

On the issue of Open Access, EUA has established in 2007 an Open Access Working Group comprised of university-based experts in various research fields, and library resources and ICT development in relation to digital archiving and national repositories etc. The Working Group has presented input to the debates at the 2007 EU Conference on Scientific Publishing in the Digital Age (February 2007) on the need to find workable solutions to achieving more rapid dissemination of data and peer-reviewed publications arising from publicly-funded research. EUA believes that EU level policies and practices should move consistently in this direction and support new initiatives announced by the European Research Council and other funding agencies such as the Wellcome Trust.

(v) Optimising research programmes and priorities

The ERA-NET scheme has proven to be valuable in linking national and regional research programmes and their research teams and in some cases has led to the development of jointly-funded international research programmes. EUA believes that the success of such ERA-NET scheme rests on the voluntary, open framework in which cooperation and coordination has taken place. Universities wish to see a range of competing research funding schemes at the regional, national and European level and not an over-coordinated system in terms of funding and priority setting which may, in fact, limit new opportunities and inhibit innovative research and new entrants.

In addition, the transparency of new funding instruments involving industry/enterprises, governments, and universities and other public research organizations, such as the Joint Technology Initiatives and the European Institute of Technology, will be important in terms of the setting of research agendas and the openness of opportunities to bid for participation on a competitive basis. The new European Research Council is breaking new ground with peer review, quality assurance and project evaluation and EUA, together with other interested stakeholders, is supportive of their efforts and will continue to provide feedback and input from the university sector. The success of the ERC in these areas may provide useful benchmarks for future common principles at the European level but, for the present, the Open Method of Coordination of shared knowledge and experience on a voluntary basis would be more effective than attempts at top-down coordination by the European Commission.

(vi) Opening to the world: international cooperation in science and technology

Europe’s universities have traditionally fostered international cooperation reflecting their cultural and historical development, trading relations etc. The role of European Research Area policies in the future development of international cooperation in science and technology should work to build upon and link these developments with encouragement of

more joint approaches. EU instruments should primarily help to facilitate common approaches in areas of mutual interest and potential benefit for international scientific cooperation between European universities and those in both the industrialized economies and developing countries in tackling global sustainable

development challenges (e.g. through joint doctoral programmes and exchanges such as the new Erasmus Mundus proposals, to shared use of research infrastructures and equipment and the development of projects with multinational research teams).

III. Moving on from the ERA Debate: Requirements and Actions

EUA expects that Europe's universities as key stakeholders in the European Research Area will be brought fully into the process of putting into practice the proposed "Action lines" that will result from the current debate re-launching the European Research Area. Drawing upon its comments above, EUA has identified six core requirements that will need to underpin policy actions to achieve European added value in future instruments and initiatives in the successful development of the ERA.

1. A competitive ERA requires urgently an increased budget commitment from EU Member States

EUA believes that an increased budget commitment to the European Research Council is a cornerstone in creating a "European quality culture" in research that will enable Europe's universities to best play their role in achieving a globally competitive ERA. A highly visible, well-funded and independent ERC offering Europe's universities competitive funding schemes with high standards of peer review, quality assurance and evaluation is an essential priority and EUA is committed to playing its part in supporting and working with the ERC Scientific Council to achieve these goals. However, ERC will only succeed if there is a dual-fold approach on the part of EU Members States through greater priority given to investment in science and technology at the national and regional levels, particularly to remedy the historical under-financing of universities.

2. Greater university autonomy/ less over-regulation

EUA hopes that the debate on the future development of the European Research Area will be focused on creating effective instruments and

mechanisms to help enhance European research competitiveness on the basis of open and full dialogue with university stakeholders rather than to move in the direction of government-led over-regulation. EUA believes that strong universities with a greater autonomy and accountability rather than universities over-regulated by national and European governmental agencies will be able to play their full part in contributing to the revised Lisbon Agenda on Growth and Jobs.

While recognising, of course, the importance and necessity of regulatory requirements for high standards of management and accountability, there should be resistance towards a tendency for overregulation linked to the continued historical under-financing of Europe's universities (i.e. as a mechanism to re-distribute resources that are too scarce in comparison with our global competitors). Greater autonomy will provide universities with the necessary flexibility to respond to the challenges of diversifying their research and their funding missions in order to play more effectively their role in addressing society's needs and advancing Europe's competitiveness in the global economy.

3. Innovative use of the Open Method of Coordination – involving universities

Of the policy instruments currently available in the European Union context, the Open Method of Coordination (OMC), offers the best prospects for making progress in (i) tackling the serious challenge of rectifying the under-financing of higher education in Europe compared to its global competitors, and (ii) advancing the operational definitions and practices for achieving effective university autonomy while paying respect to the differing conditions at

play in the various member states. However, learning from the success of the Bologna Process, universities should be represented and involved on an equal footing in such OMC initiatives as key stakeholders thus allowing consensus to be reached among all parties on action required.

4. Recognition of universities as important stakeholders in EU Structural Funds investment

Universities should be involved more directly as key stakeholders in the shaping of the development of the synergy between EU R & D actions and the use of the EU Structural Funds for science and technological development to meet the revised Lisbon Agenda on “Growth and Jobs”. In particular, such synergy holds crucial importance for research infrastructure renewal and upgrading in Europe’s universities, particularly in EU new member states.

5. Increased involvement of university leaders in EU science advisory bodies

In reforming its independent science advisory bodies such as the European Research Advisory Board (EURAB), the European Commission should rectify the serious under-representation

of university leaders in such bodies given that Europe’s universities are key stakeholders in building a competitive Europe in science, technology and innovation.

6. More coherent linkage between future EU policy development concerning universities

As a final, but most important point, the ERA Green Paper provides a timely opportunity for the European Commission to consider and develop a more coherent strategic approach in the implementation of its policies that concern Europe’s universities. This is crucial in relation to research, education and culture, where it is urgent to link the development of the ERA and EHEA in order to achieve the success of both, but also in the policy domains of enterprise, regional development and external relations. At present, Europe’s universities are involved with respective EU Commission’s services covering all these fields (and others) but without sufficient coordination to achieve the maximum European added-value for all parties concerned.

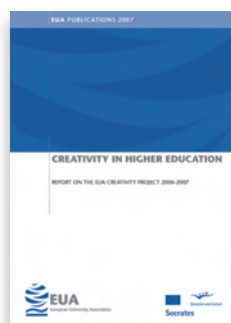
21st September 2007

ANNEX 3

EUA Publications and Reports in 2007

- **Lisbon Declaration - Europe's Universities beyond 2010: Diversity with a common purpose**
- **Trends V: Universities shaping the European Higher Education Area**
by David Crosier, Lewis Purser & Hanne Smidt, 2007
- **Doctoral Programmes in Europe's Universities: Achievements and Challenges**
- **EUA's Contribution to the Bologna Ministerial meeting**
(London 2007)
- **Creativity in Higher Education**
Report on the EUA Creativity Project 2006-2007
- **Managing the University Community: Exploring Good Practice**
- **Embedding Quality Culture in Higher Education**
A selection of papers from the 1st European Forum for Quality Assurance
- **EUA Annual Report 2006**

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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.

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