

European University Association

annual
report
2010



EUA

European University Association

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CONTENTS

FOREWORD FROM THE EUA PRESIDENT	5
FOREWORD FROM THE EUA SECRETARY GENERAL	6
INTRODUCTION: EUA – 10 YEARS BUILDING STRONG UNIVERSITIES FOR EUROPE	7
SECTION 1: COMMON POLICIES FOR EUROPEAN UNIVERSITIES	9
How does EUA formulate ‘common European’ policies?	10
Bologna and the European Higher Education Area (EHEA)	11
The European Research Area (ERA)	14
Governance, autonomy and funding	16
Europe in a global context – Interregional Dialogue	18
SECTION 2: EUA PROJECTS – PROVIDING EMPIRICAL EVIDENCE TO SUPPORT POLICY-MAKING AND INSTITUTIONAL DEVELOPMENT	21
European Higher Education Area (EHEA)	21
European Research Area (ERA)	23
Governance, Autonomy and Funding	24
Europe in a Global Context – Interregional Dialogue	25
SECTION 3: ADDITIONAL ‘A LA CARTE’ MEMBERSHIP SERVICES – EUA-CDE and EUA-IEP	26
EUA Council for Doctoral Education (EUA-CDE)	26
EUA Institutional Evaluation Programme (EUA-IEP)	28
SECTION 4: COMMUNICATING ON A EUROPEAN LEVEL WITH MEMBERS AND KEY STAKEHOLDERS	31
SECTION 5: EUA ORGANISATION & MEMBERSHIP DEVELOPMENT	33
A: EUA Board	33
B: Council Members	34
C: Membership Development	36
D. The EUA Secretariat in Brussels	38
E. Financial Statements and Accounts	40
ANNEXES	42
Annex 1: EUA Meetings and Events in 2010	42
Annex 2: EUA Policy Positions and Declarations in 2010	44
Annex 3: EUA Publications 2010	57
Annex 4: Steering Committees/Working Groups/Management Teams	58

FOREWORD

FROM THE EUA PRESIDENT



Jean-Marc Rapp,
EUA President

From the perspective of European universities, 2010 was an important year. It marked the formal launch of the European Higher Education Area (EHEA) after a decade of reforms, celebrated through a Bologna meeting of European Higher Education Ministers, universities, students and a range of stakeholders held in Budapest and Vienna. There was also a consensus that success in the future lies in the hands of universities with their responsibility for the implementation of these major reforms on the ground and in the classrooms. At the same time the European Research Area (ERA) took on formal status as a structural element for European research through its inclusion in the EU Lisbon Treaty that came into force in 2010. Universities are also key actors in making a success of the European Research Area.

EUA's task is to make sure that universities are at the centre of the EHEA and the ERA. The Trends 2010 Report that was presented to Ministers in Vienna in March 2010 did precisely this, by setting out the important changes that have taken place over the last decade and the challenges for the future. It was based on data provided by more than 800 universities thus demonstrating EUA's role as the only organisation that brings together such a large and diverse group from the university sector and Europe-wide, that is able to create shared policies and on this basis to represent and lobby effectively for the interests of Europe's universities.

The profound impact of the reforms of the last decade on universities also emerged clearly from the discussions that took place at our 2010 Annual Conference, hosted by the University of Palermo. The event entitled "Diversities and Commonalities – the changing face of Europe's universities" highlighted in particular the crucial role of university leaders in steering their institutions in difficult times, requiring universities to sharpen their missions and individual profiles in response to growing demands and the continued economic crisis. Indeed, in response to the growing impact of the financial crisis on universities, EUA has stepped up its efforts to monitor developments across Europe, providing comparative information that is valuable to members and partners alike across Europe. We will continue to provide this service in 2011, the year of our 10-year anniversary which will be celebrated at the University of Aarhus.

On behalf of my fellow Board members I would to thank all of you for your continued active support of EUA. It is our intention to ensure that EUA remains in future the strong, influential and united voice for European universities that it has become over the last decade.

Professor Jean-Marc Rapp

EUA President

FOREWORD

FROM THE EUA SECRETARY GENERAL



Photo © Harald Fuhr

Lesley Wilson,
EUA Secretary General

EUA has continued to develop and grow in 2010, ending the year with 850 members and affiliates from 47 countries, with 25 new individual full members from 10 different countries, including 10 Universities of Applied Sciences from Germany and Austria, and 4 individual associate members.

Given the growing diversity in mission and profiles of our membership a major attempt has been made to propose a range of different opportunities for members to contribute to policy development, take part in projects and participate in events on a broad range of topics. Our major events held in 2010 brought together around 1,500 participants from across Europe and further afield. Conferences such as

- the annual June meeting of the Council for Doctoral Education (CDE),
- the September meeting held in Bologna as part of the EUDIS project that focused on strategies for ensuring the financial sustainability of universities,
- the Annual EUA Conference hosted by the University in Palermo in October that debated the 'diversity and commonalities' of European universities, and finally
- the annual European Quality Assurance Forum, organised with our 'E4' partners, in November in Lyon,

have all provided unrivalled opportunities for the heads of universities and other senior staff, policy makers, and higher education experts to exchange experiences and best practice on key issues as well as providing invaluable input into the different areas of our policy work outlined in this report.

Similarly the broad range of projects set out in Section 2 for which EUA has been successful in securing external funding have meant increased opportunities for members to take part in activities that correspond to their own specific interests and concerns, be it inside Europe or internationally.

Towards the end of the year we also launched a comprehensive questionnaire asking for your feedback so that we can improve our services still further in future. This is part of a comprehensive strategic review of our activities that will be finalised in 2011 on the occasion of the celebration of our ten years of existence.

Finally, it has also been a busy year for the Secretariat as we moved house in the middle of the year, and are now pleased to welcome you in our new premises situated at 24, Avenue de l'Yser, 1040 Brussels. On behalf of all my colleagues in the EUA Secretariat I would like to thank you for your contribution and your support. We look forward to further developing our cooperation, in response to your needs, in the year to come.

Lesley Wilson
EUA Secretary General

INTRODUCTION: EUA – 10 YEARS BUILDING STRONG UNIVERSITIES FOR EUROPE

Formed in 2001, the European University Association (EUA) represents and supports 850 higher education institutions in 47 countries. Members of the association are European universities involved in teaching and research and national associations of rectors. EUA also has formal affiliations with a variety of other organisations active in higher education and research.

EUA plays an essential role in shaping tomorrow's European higher education and research landscape thanks to its unique knowledge of the sector and the size and diversity of its membership. The association's mandate in the Bologna Process, contribution to EU research policy-making and relations with intergovernmental organisations, European institutions and international associations, ensure its capacity to represent and debate issues which are crucial for universities.

EUA is building strong universities for Europe through targeted services aimed at supporting their development. These focus on:

- **Developing common policies** in areas where universities have a vital interest in working together at European or international level
- **Communicating these policies to a wide range of stakeholders and partners to ensure that the voice of universities is heard** and also that individual members are aware of and can contribute to policy debates affecting their development



EUA's new office as of July 2010

- **Offering a coherent programme of events and other services** to support all member institutions. Such events and activities seek to develop universities' knowledge and expertise **through projects that involve and benefit institutions** and inform policy making at all levels. They also **strengthen the leadership, governance and management capacities** of universities through mutual learning and exchange.

This annual report highlights the different areas of EUA's work and how the organisation itself functions. The first

two sections are dedicated to EUA's policy work at the European level, and the project activities underpinning these policies. Section 3 focuses on two additional 'à la carte' membership services: the Institutional Evaluation Programme and the Council for Doctoral Education which benefit hundreds of universities across Europe. Section 4 of this report is then devoted to the way EUA communicates

with its wide membership and an increasingly diverse range of stakeholders.

The final section gives background on EUA's governance structure, membership development and the 2010 financial statements. In the Annexes, you will find details of the most important events, and the EUA position statements and reports published during 2010.

Looking ahead to 2020 after 10 years of rapid development

In mid 2010, EUA launched a strategic review to refine, and if necessary redefine EUA's strategic objectives. The aim is to articulate a vision and strategy for the next decade that will make EUA a stronger, more mature, efficient, effective and professional organisation.

It was felt that such a review was necessary to take stock of 10 years of rapid development of the association, to take account of the major changes taking place in the higher education sector, inside universities, and in EUA itself, and to be able to fix priorities for the next decade.

The review will involve different stakeholder groups and a broad consultation of members. All actions will be completed by mid 2011 and will be discussed with members at the General Assembly taking place in Aarhus in April 2011.

SECTION 1: COMMON POLICIES FOR EUROPEAN UNIVERSITIES

The underlying aim of EUA's work is to develop and advocate common policies for European universities that will contribute to creating a coherent higher education and research system for Europe built on strong, autonomous and well-funded universities able to act in an increasingly complex and global environment. To achieve this objective, EUA seeks to:

- **Define and shape the agenda** at European level by building long-term relationships with European political actors on the broad range of policy areas important for universities
- **Strengthen its position as the privileged partner** for a broad range of stakeholders at European level by seeking systematic involvement in all relevant consultation and decision-making processes
- **Enhance the profile of universities** by monitoring, reporting and following up on EU and other policy documents and legislative texts through debate and targeted campaigns

- **Develop strategic partnerships and coalitions** on issues of common concern, both at European and at international level
- **Underpin policy development through project work involving members on priority themes:** by collecting and analysing data and good practice from a broad cross section of universities that feeds into policy development and underpins EUA's lobbying and advocacy activities.

This report focuses on the policy actions, projects and other activities pursued during 2010 that have been designed to take forward the priorities set out in the [EUA 2009 Prague Declaration](#).



EUA Council Meeting,
Palermo, Italy

HOW DOES EUA FORMULATE 'COMMON EUROPEAN' POLICIES?

The strength of EUA's policy work is based on the input of its diverse range of members which include national university associations from 34 countries and more than 800 individual institutions from all the countries in the European Higher Education Area. In order to reflect the strength of this diversity, EUA policy development takes place through the three main statutory bodies: the Board, the Council, and the General Assembly (all members) all of which together represent a wide range of views and expertise from across Europe. A full list of Board and Council members can be found in Section 4 of the report and a full list of all EUA members on the [directory on the EUA website](#).

The EUA Board, made up of eight current or former rectors, and the EUA President met five times in 2010. It is responsible for developing the Association's policy and work programme and for the preparation of all the meetings of the EUA Council, the principal forum for discussion of the Association's policy positions on higher education and research.

The EUA Council brings together the President and Secretaries General of the 34 National Rectors' Conferences. In 2010 the Council also met several times during the year to debate and formulate policy positions on key issues such as the EU priorities and funding instruments post 2013, the Salzburg II Recommendations on doctoral education, quality in European higher education and a new White Paper on Europe-Africa higher education cooperation. The Council also votes on all new members joining EUA,

and approves the EUA budget and work programme for the association.

To strengthen policy-making, the present EUA Board has established a number of sub-committees and thematic working groups to advance reflection and action in particular policy areas:

- **Research Policy Working Group (RPWG)** which focuses on influencing European policies and on strengthening the role of universities as research institutions, in particular in the European Research Area. This also addresses issues related to the development and implementation of the European Framework Programmes, and is responsible for dialogue with the European Research Council (ERC) Scientific Council, European Research Area Board (ERAB), European Institute of Technology (EIT) and other similar bodies. The RPWG operates under a mandate from Council and reports back to Council on its activities.
- **European Energy Research Alliance**, a key actor of the EU Strategic Energy Technology Plan (SET-PLAN): as partner in this initiative with the European Commission and national research institutes, EUA has developed a **"European Platform of Universities engaged in Energy-related research" (EPUE)** which was launched in November 2010. This platform provides contributions to the European Energy Research Alliance through mapping of research capacity across disciplines in both project activities and postgraduate training in the field. A group of national scientific experts nominated by national university associations and a small EPUE

Steering Group guide this activity and report to the EUA Council.

On the strength of common policies spanning an ever greater number of areas EUA is able to represent universities and lobby actively on behalf of its members in a growing number of policy fora.

The association is increasingly asked to present its policies and projects to

partners in Brussels, across Europe and at international level, as well as to participate in meetings and working groups together with members, governments and representatives of other stakeholder groups.

In this context, this section of the report will outline the main policy areas where EUA is active for universities and some of the key highlights and achievements in 2010.

BOLOGNA AND THE EUROPEAN HIGHER EDUCATION AREA (EHEA)

EUA has a mandate to represent European universities in the Bologna Process and has a formal role as a consultative partner in this process. To ensure the university viewpoint is reflected in the Bologna policy frameworks, EUA represents members at the biennial Ministerial meeting and contributes to the various working groups that have been established covering topics such as: implementation and data collection, Qualifications Frameworks, mobility, the Social Dimension, European higher education in a global setting, recognition, transparency tools, and stocktaking.

The meeting of European education ministers in March 2010 marked the official launch of the European Higher Education Area (EHEA) and the end of the first phase of Bologna. It was therefore also a key opportunity for policy makers to define and reaffirm the agenda for the next decade of European Higher Education cooperation.

At the meeting, EUA's President Jean-Marc Rapp presented the key findings from the EUA [Trends 2010 report](#), which analysed the implementation of Bologna and its impact over the last decade. Based on responses from 821 universities, 27 National Rectors' Conferences, and site visits to 16 countries, the report outlined the degree to which the European higher education landscape had changed in the last decade due to a variety of factors including demographic change and pressures related to globalisation as well as to policy changes at the European level (not only through Bologna, but also the Lisbon strategy and the EC modernisation agenda) and at the national level. Like the five previous reports in the Trends report series it also analysed the implementation of the Bologna 'tools' in universities (e.g. new degree structures, credit transfer and accumulation systems, and diploma supplement) and progress towards the underlying aims of the Bologna Process, such as improving quality of teaching, graduate employability, and mobility of students and staff.



Presentation of the Trends 2010 report, Vienna, Austria

Whilst there have been a number of successes in the first decade (such as the implementation of new degree cycles, reviewing curricula and creating a 'European identity' for higher education), the [Trends 2010 report](#) highlights a number of challenges looking forward to the next decade. Professor Rapp underlined to Ministers a number of the pressing challenges that needed to be overcome. These include:

- implementing the Bologna reforms as a package (as opposed to 'à la carte')

- investing higher education institutions (HEI) with the ownership of the reforms so they can be implemented properly
- communicating better to a wider public the benefits of these significant changes
- understanding that curricular changes take time to be implemented properly
- funding the development of student-centred learning
- and recognising that the Bologna reforms are being implemented in a context of significant and profound changes in institutions.

He also underlined that both the EHEA and the European Research Area (ERA) create opportunities and responsibilities for European universities. It would be important to strengthen the links between the European higher education and research areas to enhance one of the singular strengths of European higher education – "the unique role of universities in ensuring a close interface between education, research and innovation." EUA will be taking forward all of these issues before the next meeting of Ministers in Romania in 2012.

Bologna and Alignment with Professional Qualifications

One of the EHEA's main elements is the overarching framework of qualifications based on three cycles. However, many qualifications are professional as well as academic. More than 800 regulated professions are covered by EU legislation, which enables mobile professionals to practise and to establish in EU Member States other than the one in which they obtained their qualification. With the significant exception of the field of law, these professions fall within the scope of Directive EC/2005/36 on the Recognition of Professional Qualifications.

The Directive distinguishes between seven sectoral professions (medical doctor, dentist, nurse, midwife, veterinary surgeon, pharmacist, architect), transitional professions (where length of experience, rather than formal qualification, is the factor of paramount importance), and the general system into which all other regulated professions fall. Its substance derives mainly from earlier Directives, dating back to the 1970s. It takes no

cognisance of the content of the Bologna Process or of the fact that “Bologna” has been enshrined in the national law of most EU Member States.

EUA has been monitoring the implications of the non-alignment of the Directive and the Bologna Process, with particular regard to length of qualification, curriculum design and the definition of learning outcomes, mobility and quality assurance and has published a series of reports on these issues. In October 2010, in the run-up to the formal review of the Directive, EUA convened a meeting of nearly 100 representatives from higher education, the Commission (DG MARKT) and from the European Parliament Committee on Internal Market and Consumer Affairs to discuss the way the Bologna Process reforms interact (or not) with Directive 2005/36/EC on the recognition of professional qualifications.

Enhancing Quality in the European Higher Education Area

The quality of European higher education is at the heart of European higher education reforms and governments have committed to supporting the development of quality assurance (QA) at the university, national and European levels. In 2005, Ministers adopted the European Standards and Guidelines for Quality Assurance in the European Higher Education Area (ESG) that had been proposed by the key stakeholder organisations including EUA.

EUA is extremely active in the field of quality development and quality assurance, in particular through its ‘E4’ partnership with European associations representing Quality Agencies (ENQA), Students (ESU) and other higher education institutions (EURASHE) and is a founding member of the European Quality Assurance Register (EQAR) for higher education.

In 2010, EUA carried out a major study examining the internal ‘quality culture’ within European universities, and how this has developed within the framework of the Bologna reforms. The findings of the [first part of this study](#) were presented

at the 5th edition of the European Quality Assurance Forum for Higher Education (which EUA organises with the E4 group), which brought together around 450 higher education stakeholders (from approximately 50 countries) to discuss the latest developments and trends in quality assurance.



5th European Quality Assurance Forum, Lyon, France

The Forum was also an occasion for stakeholders to debate the role of the Standards and Guidelines for Quality Assurance in the European Higher Education Area (ESGs) in promoting the European dimension of quality

assurance. After five years of experience with implementing and applying the ESGs, there have been suggestions from some stakeholders that the ESGs should be revised. On this basis, the E4 group is undertaking a new study to map the experiences of various stakeholders with regard to the ESGs and their views on whether revision is needed. This work will result in a report to be submitted to the HE Ministers at the Bologna Ministerial Meeting in 2012 and will make a recommendation on the appropriateness of a revision for the ESGs.

In 2010, EUA Council also adopted a revised [policy document for EUA on quality and quality assurance](#) in the European Higher Education Area. The position is based on the Association's long-term work and experience in this

field and argues strongly in favour of a notion of quality and promoting quality assurance processes that are based on institutional responsibility for quality and recognise the autonomy of universities and the diversity of the sector.

EUA believes that the ultimate goal of all quality assurance – both internal and external – is to enhance quality thus promoting trust among stakeholders. In this context, the policy position focuses on the need to promote cultures of quality at the system as well as the institutional level and encourages the governments for their part to ensure that external quality assurance frameworks focus on promoting quality cultures aiming at institutional development rather than attempting to measure quality in quantitative terms.

For more information about the projects underpinning this policy work please go to section 2 of this report or visit www.eua.be/projects

THE EUROPEAN RESEARCH AREA (ERA)

EUA's policy work in this area emphasises universities' pivotal role in the research and innovation process by bringing empirical evidence from EUA members' experiences to inform the policy-making process in Europe. Led by the Research Policy Working Group (RPWG), EUA seeks to take a proactive approach towards the European institutions in order to improve the framework conditions required to ensure that Europe's universities play a full part in building the European Research Area.

EUA therefore provides European policy actors with expertise on a range of issues – such as research strategy and funding, collaborative research with external partners, doctoral training programmes, research career development and international cooperation. It also participates on behalf of universities in key fora and expert groups established by the European Commission Directorate General for Research (DG RTD) that address European Research Area policy development.

In the spring of 2010, the EUA President held a meeting with the new EU Commissioner for Research and Innovation, Maire Geoghegan-Quinn (on the invitation of the new Commissioner) which provided EUA with the opportunity to draw her attention to current research and innovation priorities for Europe's universities. This meeting was held in the run-up to the publication of the Commission's Innovation Union Strategy – one of the flagship initiatives of the Europe 2020 European Strategy for Smart, Sustainable and Inclusive Growth. The Innovation Union will also play a crucial role in the development of the next Framework Programme (FP8), that will begin in 2014 and which will provide a major source of external research funding for Europe's universities.

In the run-up to this year's interim evaluation of the current Framework Programme (FP7), EUA has made the case for increased investment in research and innovation instruments at the European level.

EUA has also stressed, for example, that universities require sustainable funding conditions which cover full costs of research including indirect costs. It has also been at the forefront in Brussels in the policy debate on the development of the FP7 Rules of Participation taking part in stakeholder meetings with the European Commission and Parliament.

EUA presented empirical evidence from its member universities highlighting the need for simplification of the rules and procedures in European funding programmes. In both these debates, EUA is pleased to report that progress has already been made on both these issues. For example, the European Commission

has been asked to implement a number of simplification measures in the current Framework Programme, including acceptance of usual accounting practices and of the use of average personnel cost methodologies of the beneficiaries. For future programmes, the EU Council has asked the Commission to maintain different funding rates for different types of beneficiaries and supports universities in their efforts to implement full costing systems, two key requests of EUA. Building on this work, EUA will continue to take an active part in the process as the Commission moves to the implementation phase of the simplification process and in the definition of the next Framework Programme.

EUA has also been active in the area of university-business cooperation: an increasingly important part of universities' missions and an important element of ERA policy development. Through its role in the Responsible Partnering Initiative, which includes representatives from the European Industrial Research Management Association (EIRMA), European Association of Research and Technology Organisations (EARTO) and the European Knowledge Transfer Association named ProTon Europe, EUA promotes university-industry cooperation based upon good practice experience. In 2010, EUA actively promoted the revised [Responsible Partnering Guidelines](#) and also contributed to the EC-initiated University-Business Forum and the dialogue with the European Institute for Innovation and Technology.

Through its work, EUA has also outlined universities' contributions to EU "grand challenge" research and technology initiatives and joint programming – particularly through the launch of the

“European Platform of Universities Engaged in Energy Research” (see box below).

Another important area of concern for EUA is career development and mobility for young researchers in the European Research Area. Evidence collected by EUA has shown the substantial growth and development of doctoral programmes in European universities offering critical mass in training and supervision, interdisciplinary approaches and

European and international cooperation and mobility. As a result, EUA has proposed in 2010 that there should be an EU competitive funding scheme to support European and international recruitment of doctoral candidates to doctoral schools. EUA is suggesting that a new Marie Curie action pilot scheme should be launched for subsequent evaluation and possible adoption as a major new initiative in the next EU financial framework (2014-2020).

EUA's European Platform of Universities Engaged in Energy Research (EPUE)

In November 2010, EUA launched its European Platform of Universities Engaged in Energy Research (EPUE), comprising around 150 universities from across Europe with demonstrated research and training capacity in the energy field and encompassing the full range of disciplines from science, engineering and technology to bio-sciences, medical/life sciences and economic, social sciences and humanities. EPUE has been developed by EUA as a major part of its contribution to the European Energy Research Alliance (EERA) of the EU SET-PLAN. EPUE's main task is to provide a strong 'single' voice for Europe's universities in EU energy research by establishing a platform to facilitate the full participation of competitive European universities and their networks in achieving the goal of the SET-PLAN for a low carbon emission energy future.

www.eua.be/epue

For more information about the projects underpinning this policy work please go to section 2 of this report or visit www.eua.be/projects

GOVERNANCE, AUTONOMY AND FUNDING

Financial sustainability, increased autonomy, appropriate governing structures and strong management and leadership capacities are crucial for strong universities. EUA's work in these areas aims at developing and advocating policies for European and national policymakers to provide the conditions

and frameworks to establish strong, autonomous, well-funded and financially sustainable universities.

Diversification of missions and activities, financial strains caused by rising costs, new stakeholder demands, global competition and the global economic

downturn have all contributed to increasing pressure on universities.

EUA's 2010 Annual Conference in Palermo considered these various forces pushing for institutional change and greater diversification. The key objective was to assist institutional leaders in understanding better and in responding to these different pressures they face, in particular to focus and sharpen their specific institutional profiles. The conference highlighted examples of strategies and practices, adopted by university leaders in different contexts, and designed to enhance specific institutional missions, as well as to attract and retain high quality staff, cater to diverse student profiles, and consider incentives for developing diverse research strategies and research portfolios.

EUA, therefore, seeks to support universities in their efforts to improve governance and management structures in order to act more strategically and become more efficient and effective, in particular by identifying ways in which leaders can enhance their steering capacity.

EUA has undertaken a series of projects in the area of governance, autonomy and funding and collected a broad set of comparable data and best practice examples which underpin EUA's policy positions.

Despite the fact that universities are at the centre of knowledge creation and development, public funding of higher education in most countries is not increasing or at least not increasing enough in real terms. The recent economic downturn has furthermore contributed to the decision in many European countries to decrease the levels of investment. Such



Androulla Vassiliou, Commissioner for Education, Culture, Multilingualism and Youth, and EUA President, Professor Jean-Marc Rapp at EUA Annual Conference, Palermo, Italy

trends are particularly worrisome for universities across Europe, as continuing dependence on public funding puts their future sustainability under pressure.

One of the important steps for universities is to master their cost structures and identify the real costs of their activities for both internal and external purposes. While EUA has been calling for vital additional financial support from public authorities, the organisation's work has also shown that universities also need to increase and identify alternative sources of funding.

EUA is conducting ambitious research on universities' financial sustainability. This issue was first addressed in a study ["Towards Full Costing in European Universities"](#). A new project launched at the beginning of 2010 takes these findings further by promoting the implementation of full costing in European universities through stimulating coordinated approaches to the development of full costing on national or regional levels.



EUIMA Full Costing Study Visit, Coimbra, Portugal

In parallel, EUA is also addressing the financial sustainability of universities through its [EUDIS study](#), which focuses on raising awareness of and identifying good practice in the field of diversification of income streams in universities across Europe.

Financial sustainability is also a major consideration in EUA's current work on university autonomy. The freedom to allocate and manage financial resources, but also to establish partnerships and raise income from the private sector are crucial elements that fully contribute

to the universities' long-term financial health.

EUA strongly believes that increasing institutional autonomy is a key element to enable universities to respond to the new demands they face. However, perceptions and terminology of institutional autonomy vary greatly in Europe. To compare systems reliably, more systematic mapping of universities' autonomy and accountability through a set of common indicators is necessary.

Following a Europe-wide [Autonomy Study](#), in 2009 the objective of which was to provide necessary knowledge basis for further benchmarking of university autonomy and governance issues in the future, EUA is using these elements to develop an Autonomy Scorecard. This benchmarking tool will help public authorities and higher education institutions better to assess university autonomy in the wider European framework, and thus promote the exchange of best practice in a rapidly evolving field. This is due to be launched early in 2012.

For more information about the projects underpinning this policy work please go to section 2 of this report or visit www.eua.be/projects

EUROPE IN A GLOBAL CONTEXT – INTERREGIONAL DIALOGUE

In response to the growing international activities of European universities and the increasing interest in European developments in other parts of the world, EUA promotes dialogue with counterparts in other world regions. The outcomes of

these activities also contribute to a better understanding of global higher education and research trends, which feed into the preparation of EUA policy positions on issues such as the Global Dimension of the European Higher Education Area.

EUA also contributes to governmental interregional dialogues – such as the Bologna Policy Forum in 2012, and the Ministerial Conference of the Europe-Asia cooperation process (ASEM) – in addition to the UNESCO, and the OECD activities. During 2010, EUA further developed its exchanges with partners across the following regions.

North America

EUA maintains a strong relationship with both the American Council on Education (ACE) and the Association of Universities and Colleges of Canada (AUCC). Every two years, the three associations gather higher education institutional leaders for a Transatlantic Dialogue. The most recent event took place in New York in June 2010 and focused on 'Higher Education in Turbulent Times: Facing Market Forces – Promoting the Common Good'. EUA also participates regularly in the Association of International Educators (NAFSA), where it makes annual conference contributions on trends in European higher education and the impact of the new (Bologna) degree structures in the US.

Asia

In an effort to generate dialogue and sustainable relations between Asian and European institutions, a region of growing interest, EUA has taken up a number of activities with Asian partners which build on the 'EU-Asia Higher Education Platform' (EAHEP) EC-funded project (which included thematic workshops, roundtables, symposia and European higher education fairs (EHEFs) across Asia and Europe). Furthermore, EUA has been active in the evolving ASEM Education Process and will continue to participate as a stakeholder in this process.

Africa

Through the "Access to Success" project, EUA has developed a strong working relationship with its sister body, the Association of African Universities (AAU). This also enabled EUA to forge new relationships with African partner organisations and mapped the various ways in which universities contribute to the development agenda. This work has resulted in 2010 in the publication of a ['White Paper'](#): Africa-Europe Higher Education Cooperation for Development: Meeting Regional and Global Challenges, which was tabled at the first official side-event of the Africa-EU Heads of State Summit focused on higher education. EUA and AAU also put forward a Joint Statement of Europe-Africa higher education cooperation, outlining the commitments of the two organisations. EUA is now working closely with AAU on the follow-up project 'Europe-Africa Quality Connect' (2010-2012) and has developed a partnership with the Southern African Regional Universities Association (SARUA), a partner in a new global project focusing on doctoral education (see Section 2).



Access to Success Final Dissemination Conference, Brussels, Belgium

Latin America and the Caribbean

Latin America has increasingly taken a concerted interest in better understanding the Bologna Process and engaging in projects with European partners on the regional level. Furthermore, the European Union has also adopted an external policy strategy to develop an EU-LAC Common Higher Education Area (ALCUE), which is supported by funding initiatives. In February 2010, EUA, the European Union-Latin America Observatory (OBREAL) and the Colombian Association of Universities (ASCUN), organised a joint meeting of university associations in Cartagena, Colombia, to discuss the state of play in the EU-LAC Common Higher Education/Knowledge Area and make concrete recommendations for the EU-LAC Heads

of State Summit later in the year. As a direct follow-up, EUA, OBREAL and over 20 university associations from Latin America and Europe are planning to launch in 2011 a three-year EC supported project (ALFA-PUENTES) supporting regional higher education in Latin America and the important role of university associations in this process.

Australasia

In the course of 2010, EUA held discussions with its counterparts in Australia (Universities Australia) and in New Zealand (Universities New Zealand). In the next couple of years, EUA plans to take forward this dialogue with a view to strengthening collaboration between the two regions.

For more information about the projects underpinning this policy work please go to section 2 of this report or visit www.eua.be/projects

SECTION 2:

EUA PROJECTS – PROVIDING EMPIRICAL EVIDENCE TO SUPPORT POLICY-MAKING AND INSTITUTIONAL DEVELOPMENT

2.

The most effective way for EUA as a European organisation to underpin its policy work at European level is through the collection and analysis of data and examples of good practice from our 800 member universities.

Projects developed together with and involving members from different countries provide comparative information and good practice examples on key topics of

importance for universities. By drawing on the outcomes of these projects EUA is able to develop well founded – ‘evidence-based’ – policy conclusions and recommendations as well as to support individual universities through the broad dissemination of the project results.

(All of the projects listed below are supported by funding from the European Commission unless otherwise* stated.)

EUROPEAN HIGHER EDUCATION AREA (EHEA)



TRENDS 2010: analysing a decade of change in European higher education: EUA's "Trends" reports, which have accompanied the Bologna Process from its launch in 1999, have assumed a high profile in contributing to the

understanding of developments in Europe's changing higher education landscape. The publication of the sixth report ([Trends 2010](#)) was timed to coincide with the 2010 Bologna Ministerial meeting in Vienna/Budapest (March 2010) and the formal launch of the European Higher Education Area. It analysed the implementation of the Bologna 'tools' in universities since the beginning of the process and assessed progress towards the underlying aims. For

the first time, the report also outlined some of the key challenges for policymakers as they look ahead to the next decade of higher education cooperation.

Shaping Inclusive and Responsive University Strategies (SIRUS) SHAPING INCLUSIVE AND RESPONSIVE UNIVERSITY STRATEGIES

(SIRUS) – (2009-2011): This project is designed to follow up on the implementation of the European Universities' Charter on Lifelong Learning. Run by a consortium of European partner organisations, it will offer around 30 universities with different profiles and interests in lifelong learning (LLL) an opportunity to develop and enhance their strategic LLL approaches. The project includes four workshops and a final conference to disseminate the project outcomes.



Examining Quality Culture (EQC) in higher education institutions – (2009-2011):

The aim of the project is to identify internal quality assurance processes in place in institutions, paying particular attention to how they have implemented the part of the European Standards and Guidelines (ESG) dedicated to internal QA. It also seeks to discuss the dynamics between the development of institutional quality culture and quality assurance processes while identifying and presenting case studies in a final report. The first phase of the project involved a survey, the results of which were published in [a report](#) in November 2010.

Tracking Learners' and Graduates' Progression Paths (TRACKIT!) (2010-2012):

This new project will undertake a comparative study that focuses on systematic approaches to assess the tracking procedures applied by institutions, national agencies and researchers regarding learners' and graduates' progression paths during studies and in transition into the labour market, and consider their impact and relevance with regards to institutional strategic aims.

Mapping University Mobility of Staff and Students (MAUNIMO) (2010-2012):

Launched at the end of 2010, this project will deliver case studies, some qualitative data and information on institutional mobility strategies and mechanisms, but also general conditions that benefit or hamper mobility. In a pilot with four institutions, a mobility mapping tool will be developed to gather and present comparable data on institutional student and staff mobility. In a mapping exercise, the tool will be shared with

30 universities from at least 15 different countries. The project will conclude with a large dissemination conference launching the report and the tool.

Mapping the application and implementation of the European Standards and Guidelines for Quality Assurance in the European Higher Education Area (MAP-ESG) (2010-2012):

The purpose of the project is to gather information on how the ESGs – adopted by the Ministers in HE in 2005 following a proposal of the E4 Group – have been implemented and applied in the 46 Bologna signatory countries, at national level, in HEIs and within QA agencies. After five years of experience with implementing and applying the ESG, it is time to investigate thoroughly how they have been implemented and applied in relation to their original purposes. As a partner in the project, EUA will carry out independently an analysis with selected university representatives and contribute to the discussions on the final report. The final E4 report will be submitted to the Bologna Ministerial meeting in 2012.

***EUA pilot project on the development of an Annual Review of Rankings (2010-2011):**

EUA launched this initiative in early 2010 as a pilot project to develop an Annual Review of Rankings with the objective of providing higher education institutions with transparent information in relation to the various international ranking initiatives by critically evaluating methodologies, addressing potential biases and suggesting improvements. The first publication will be launched at a seminar for university leaders designed to present and debate the findings of the review, in June 2011. This project is funded by EUA with support of the Robert Bosch Stiftung and the Calouste Gulbenkian Foundation.

EUROPEAN RESEARCH AREA (ERA)

DOC-CAREERS II (2009-2011): This project aims to contribute to enhanced employability of doctorate holders in the public and private sectors. The project will further explore one of the key findings of the first DOC-CAREERS project i.e. that collaborative doctoral education schemes are very diverse and take account of local and regional cultural differences. The project will examine how universities work with their regional partners (local SMEs, large R&D enterprises, RTD performers, NGOs and other industries). A series of regional workshops will be held to bring together interested partners.



EUIMA Collaborative Research Workshop, Lüneburg, Germany



DOC-CAREERS II Workshop, Dublin, Ireland

Accountable Research Environments for Doctoral Education (ARDE) (2010-2013): Over the last decade, European universities have carried out substantial reforms of doctoral education. This project aims to map the existing procedures, good practice and problem areas in assuring quality in doctoral programmes through a survey and consultation process (including intensive working groups combined with an online discussion forum). The results, in the form of a final report, will be disseminated widely to European universities and other stakeholders such as funding organisations and decision makers.

European Universities Implementing their Modernisation Agenda (EUIMA) "Take-Up" activities (2009-2011): The overall goal of the "take-up" activities is to demonstrate that the ERA and the EHEA require a globally competitive European university sector. Within this framework EUIMA (European Universities Implementing their Modernisation Agenda) addresses two main elements of the modernisation agenda for Europe's universities: collaborative research and sustainable funding. The research part of the project will specifically look at the transparency and appropriateness of measurement tools for the assessment of university-based collaborative research, reflecting the diversity of universities' missions.

GOVERNANCE, AUTONOMY AND FUNDING

A-Card: Autonomy Scorecard (2009-2011): The Scorecard project will consolidate and streamline data and findings from previous and current research on autonomy with the objective of developing an in-depth understanding of all aspects of university autonomy. The project will compare different elements of autonomy enabling governments to benchmark their progress on governance/autonomy reforms vis-à-vis other systems, and provide policymakers with feedback on national reforms from an institutional perspective. The scorecard will record trends and progress on a regular basis. It will include a fixed set of criteria allowing an “at a glance overview” of the status of university autonomy across Europe at any given time, thereby facilitating longitudinal analysis and cross-referencing with other data.

European Universities Implementing their Modernisation Agenda (EUIMA) “Take-Up” activities (2009-2011): The second part of the EUIMA project (outlined on p. 23) focuses on the sustainability of university funding, financial management and the development of full costing and will look at the development of appropriate funding mechanisms to

ensure sustainability of the sector as a whole. Implementation of these activities will include workshops and study visits throughout 2010/11.

European Universities: Diversifying Income Streams (EUDIS) – (2008-2010):

This project aims at mapping the status of income diversification in European universities and seeks to provide useful examples of best practice. It will promote the institutional perspective on the topic of funding, with a view to informing national and European policymakers of how best to facilitate a sensible diversification of income streams. It has offered a unique opportunity, in these uncertain times of economic downturn, to ensure that the universities’ voice is heard. The [final report](#) to be published at the beginning of 2011 gives a detailed description of how European universities are currently financed, and look into the sector’s expectations for future evolutions. It also analyses the many different barriers currently preventing universities from pursuing additional income streams (considering internal challenges and external regulatory barriers) and the possible drivers for stimulating ‘income diversification’.



Launch of Financially Sustainable Universities II Report, Brussels, Belgium

EUROPE IN A GLOBAL CONTEXT – INTERREGIONAL DIALOGUE

Europe-Asia Higher Education Platform/ ASEM University Platform – (ongoing activities in 2010-2011): The 'EU-Asia Higher Education Platform (EAHEP)' project ended in December 2009. However, the main purposes of the platform of providing a framework for information exchange, dialogue, and cooperation in higher education and research between Europe and Asia continue to be of great relevance to EUA's activities. For this reason, the EC has authorised EUA's continued use of the EAHEP Portal (www.eahep.org), which will underpin future work in relation to the Europe-Asia cooperation process (ASEM). EUA has planned for 2011/12 in the context of the Europe-Asia cooperation agenda: Cooperation on doctoral education with Asian partners under the CODOC project and participation in the ASEM Education Ministers Conference in 2011.



Europe-Africa Quality Connect: Building Institutional Capacity through Partnership (Europe-Africa QA Connect) (2010-2012):

Following up on the Erasmus Mundus project Access to Success (2008-2010), this project intends to share EUA's Institutional Evaluation Programme's (IEP) methodology for institutional evaluations aiming at quality enhancement and capacity building with five African universities in different regions of sub-Saharan Africa as a trial application. The strengths and weaknesses of the exercise will be debated in the workshops and a final dissemination conference will be open to all higher education stakeholders.

Cooperation on Doctoral Education between Africa, Asia, Latin America and Europe (CODOC) (2010-2012):

This project will allow for information gathering and sharing, and networking among institutional leadership in charge of doctoral/graduate education (Vice-rectors) from Europe, Asia, Africa and Latin America, with the overall goal of fostering stronger doctoral education partnerships. It will facilitate mapping exercises and organise several international and regional workshops. The outcomes will be disseminated to higher education stakeholders, ranging from governments to research councils and donors.



Access to Success: Fostering Trust and Exchange between Europe and Africa (2008-2010):

This project aimed at raising awareness of access and retention issues in higher education in Africa and Europe, and at exploring how higher education institutions in both regions are coping with the changing demands of their specific socio-economic environments. By doing so, the project also intended to contribute to a wider discussion on effective inter-institutional cooperation between Europe and Africa, in particular with regards to student and staff mobility schemes, capacity building partnerships and government/donor support. The messages of the project have been captured in the [White Paper](#) of project recommendations: *Africa-Europe Higher Education Cooperation for Development: meeting regional and global challenges*. The White Paper contains multi-actor recommendations for taking forward the Europe-Africa higher education cooperation agenda.



3.

SECTION 3: ADDITIONAL 'A LA CARTE' MEMBERSHIP SERVICES – EUA-CDE AND EUA-IEP

The previous sections of this Annual report have outlined the wide range of core services that EUA provides to its members – including policy work, projects and a portfolio of events for senior university management. In addition to these EUA also runs two major independently managed membership services for universities with their own Steering Committees and annual work programmes: the EUA Institutional Evaluation Programme (EUA-IEP) and the EUA Council for Doctoral Education (EUA-CDE).

Both of these services also play a crucial role in EUA policy development, notably through the presence of an ex-officio Board member on the steering committees. This ensures that the all of the work on doctoral education carried out, for example, through the EUA-CDE feeds into EUA's HE and research policies; and in the case of the IEP, that the outcomes and experience gained through institutional evaluations feed into EUA's work on quality and governance issues.

EUA COUNCIL FOR DOCTORAL EDUCATION (EUA-CDE)

Created in 2008, The EUA Council for Doctoral Education is the only membership body at European level dedicated to developing and improving doctoral education within European universities. This

independent membership service already has more than more than 190 members, which together create a dynamic platform for leaders of doctoral schools to discuss, develop and implement good practice.



Photo © Fahrig, Fotografie

EUA-CDE publishes a quarterly newsletter on key issues relating to doctoral education

Objectives of the EUA-CDE

- **Staff development:** a forum for those directly responsible for doctoral education such as vice-rectors, deans and heads of doctoral schools. EUA-CDE strengthens strategic capacity and professionalises staff by providing information about institutional development and new trends in doctoral education in Europe.
- **Sharing good practice:** thematic workshops and focus groups for its members to share experiences on a number of issues such as supervision, mobility, career development and mobility. Workshops give member institutions the possibility to present their programmes through calls for papers.
- **Creating international networks:** Membership of EUA-CDE increases the international profile of institutions because it is the largest and most comprehensive organisation dedicated to doctoral education in Europe. EUA-CDE events are aimed at building international networks of those responsible for doctoral education.
- **Monitoring and informing about European developments** EUA-CDE publishes a quarterly newsletter, which addresses a specific topic, reports from events and announces new initiatives in European doctoral education.
- **A strong voice for doctoral education:** EUA-CDE gathers experiences from its members and disseminates the information to a range of non-university stakeholders. The Annual Meeting of EUA-CDE is the largest forum in Europe for dialogue between all stakeholders involved in doctoral education.

Key activities and developments in 2010

Each year, the EUA-CDE holds an annual meeting, the landmark event in the European doctoral education calendar. In June, more than 200 stakeholders meeting at the Freie Universität Berlin came together to discuss how universities should develop strong research-based doctoral programmes in the future.

Over the last five years, there has been a major shift in the delivery of doctoral education in Europe. More than half of universities have already created new administrative structures – doctoral schools – to manage this part of their activities, and the traditional master-apprentice model is being replaced with structured PhD programmes. The outcomes of these discussions in Berlin, together with a sector-wide consultation, led to



EUA-CDE Annual Meeting 2010, Berlin, Germany

publication in October of the [Salzburg II Recommendations](#) for improving doctoral education in Europe, aimed at universities as well as governments and funding agencies.

Adopted by the EUA Council, these recommendations aim to make sure the momentum for doctoral reform, which has been generated by the original Salzburg Principles (published in 2005), continues to gather pace. They cement the basis of the doctorate as based on the practice of an original research project and thereby underline clearly that it is separate by its

very nature from the first (bachelor) and second (master) cycles.

While strongly supporting universities setting up structured doctoral programmes and doctoral schools, the recommendations emphasise the individual character of the doctorate and the need to use institutional structures to support and give space to the development of the individual researcher and his/her research project.

European Universities have shown their commitment to reform doctoral education and implement the Salzburg Principles. In order to continue developing and improving doctoral education, they need a wide degree of autonomy to set up innovative new structures which can be accountable.

The full Salzburg II Recommendations are available in the Annex or can be downloaded from www.eua.be

More information on the EUA-CDE is available at www.eua.be/cde

EUA INSTITUTIONAL EVALUATION PROGRAMME (EUA-IEP)

The Institutional Evaluation Programme is an independent membership service which evaluates higher education institutions in the context of their own goals and objectives and actively supports them in fulfilling their mission.

By 2010, IEP has carried out more than 270 evaluations in 44 countries. The objective of these assessments is to evaluate the quality monitoring processes used by the

university and assess how these relate to strategic management processes. The overall aim of the programme is to strengthen institutional autonomy and create support mechanisms for institutional change.

The IEP, which is a member of the European Association for Quality Assurance in Higher Education (ENQA), is overseen by an independent Steering Committee that

selects the members of evaluation teams, provides them with training, and supports the implementation of the programme.

The programme is backed by a pool of around 80 European experts, who

participate in evaluations. These experts are current or former university leaders, higher education professionals and students, for whom IEP organises an annual training seminar to ensure the quality of IEP evaluations.

By signing up for an evaluation, institutions will benefit from:

- An evaluation procedure based on their institutional profile and geared towards improving their capacity to implement strategic goals
- A truly European focus taking into account the framework of ongoing reforms in higher education across the continent
- A self-evaluation process that will contribute to increased awareness, across the university, of the need to develop an internal quality culture and complement external accountability exercises
- Two site visits of an evaluation panel, composed of current or former European rectors or vice-rectors, a student and a senior higher education expert
- A final report that highlights the good practices identified and includes recommendations for improvement

The 2009/10 round of the IEP included the evaluation of 12 universities in Europe, Asia and Latin America and completed a coordinated evaluation of universities in Portugal, upon the request of the Portuguese government. 17 universities have also requested an IEP evaluation/ follow-up evaluations for the 2010/11 academic year.

More information on the IEP is available at: www.eua.be/iep



Universities taking part in the IEP round 2009/2010:

University of Calabria, Italy
 West University of Timișoara, Romania
 Adnan Menderes University, Turkey
 Afyon Kocatepe University, Turkey
 Bilkent University, Turkey
 Istanbul University, Turkey
 Karadeniz Technical University, Turkey
 Universidad el Bosque, Colombia (in Spanish)
 Tohoku University, Japan
 University of Primorska, Slovenia
 Anadolu University, Turkey (follow-up)
 University of Mitrovica (Kosovo UN 1244) (postponed from 2008-2009)

The following evaluations from Portuguese round 2008/2009 were finalised during 2010:

Universidade Autónoma de Lisboa
Universidad Lusíada de Lisboa
Instituto Superior de Ciências da Saude
Instituto Superior da Maia
Escola Superior de Design
Instituto Politécnico de Tomar
Universidade de Évora (follow-up)
Instituto Politécnico de Leiria (follow-up)
Instituto Politécnico do Porto (follow-up)
Instituto Politécnico de Beja (*postponed from 2007-2008*)
Universidade do Porto

Universities taking part in the IEP round 2010/2011:

Universidad Nacional de Colombia, Colombia
Politecnico di Torino, Italy
Kazakhstan National Technical University, Kazakhstan
An Najah University, Palestine
Stefan Cel Mare University, Romania
Transilvania University of Brasov, Romania
University of Zagreb, Croatia
Universidad Europea de Madrid, Spain
Istanbul Bilgi University, Turkey
University of Liège, Belgium (follow-up evaluation, FU)
Brno University of Technology, Czech Republic (FU)
Vilnius University, Lithuania (FU)
Instituto Politécnico de Castelo Branco, Portugal (FU)
Instituto Politécnico de Setúbal, Portugal (FU)
University of SS Cyril+Methodius University, FYR Macedonia (FU)
Ankara University, Turkey (FU)
Luhansk Taras Shevchenko National University, Ukraine (FU)

SECTION 4: COMMUNICATING ON A EUROPEAN LEVEL WITH MEMBERS AND KEY STAKEHOLDERS

4.

EUA's overall communication strategy and related activities are driven by three main aims:

1. **Communicating and advocating policies to a wide range of stakeholders** to ensure that the voice of universities is heard and also that individual members are aware of and can contribute to important policy debates. This is achieved through lobbying activities, working with a broad range of partners, and representation of universities' interests across Europe and beyond
2. **Offering a coherent programme of events** targeted to the different needs of an increasingly diversified membership
3. As the European representative body of universities, EUA has a responsibility for **explaining and communicating the European perspective in relation to national developments as well as global debates on higher education and research**. EUA assumes this role and contributes to these different processes by providing comparative data, and by raising awareness of both the issues of common importance to European universities and the added value of common approaches and solutions.

One of the main priorities and challenges for a pan-European organisation such as EUA is to be able to communicate and continuously improve its added value to its rapidly increasing and diverse membership (now spanning 850 universities in 47 European countries).

In order to do this, in 2010, EUA launched a strategic review of its activities, based on consultations with members and an online survey, to understand more clearly what members think are the most important types of activities and services EUA should focus upon, and which areas and topics they feel we should prioritise in the future. The survey was launched in November 2010 and had already collected nearly 400 responses by January 2011. The final results of the survey and the Strategic Review will be presented to members at the annual conference in April 2011. Based on these results, EUA will develop a new marketing strategy directed towards its members to explain the different opportunities available and activities on offer to different parts of the university community.

Improving the overall professionalism of EUA communication activities

As membership continues to grow, there is a clear need for a platform to improve communication flows to all 850 members about our expanding project, policy work and events activities. In 2010, EUA enhanced its online services and data management practices. This included

the redesign of the website, the extranet (EUA Community) and newsletter and the implementation of a new database system.

The EUA website was re-launched to present EUA's policy and project work better and make it easier for the 20 000 monthly users who come to the site to find information. An integral part of this website is the new-look E-newsletter which has been redesigned to create a more coherent news structure for all EUA news, and to allow the possibility to include news updates from European institutions based in Brussels. The twice-monthly E-newsletter now has more than 10,000 subscribers in Europe and across the world.

The media coverage of EUA's activities also grew again in 2010 and EUA submitted editorials to important education media. The steadily increasing demand for EUA statements, views and expertise on higher education and research issues, mean that the President, the Secretary General and the EUA senior programme managers and experts were regularly interviewed by journalists from important European education media.

Putting a strong focus on multipliers, networking and lobbying

EUA continued to consolidate its lobbying activities through improved legislative monitoring, better contacts with political



The extranet, or 'EUA Community', has become an important communication platform for all member services. It was redesigned to improve communication flows and networking possibilities by enabling members to access a comprehensive and searchable members' directory, their personal data and to update these online. The Community also has a 'personalised calendar' with a list of upcoming events and will soon include an online forum providing users with the possibility to communicate directly with other members.

Further developing press contacts and networks

In 2010 EUA published 10 reports/studies and policy statements, including the Trends 2010 report, which were disseminated widely not only to members but to all important stakeholder groups.

actors, more participation in high-profile events, and consolidation of the network of university representations in Brussels and other stakeholders in higher education and research. The presentation of EUA projects through launch events in Brussels remains a success. In 2010, these included a special event in Brussels to launch the Trends 2010 report and a meeting on "The Bologna Process and Directive 2005/36/EC on the Recognition of Professional Qualifications: Is there scope for creative interaction?" which was organised together with DG Internal Market in the European Parliament in October 2010.

EUA also maintained its presence in international events such as the annual EAIE (European Association for International Education) and NAFSA (Association of International Educators) conferences.

SECTION 5: EUA ORGANISATION & MEMBERSHIP DEVELOPMENT

5.

This section of the report focuses on EUA's organisational structures including an overview of its governance (Board and

Council), the EUA secretariat in Brussels, membership development during 2010, and our 2010 financial accounts.

A. EUA BOARD (2009-2011)

Prof. Jean-Marc Rapp
(President)

Former Rector
Université de Lausanne

Prof. Maria Helena Nazaré
(Vice-President)

University of Aveiro

Prof. David Drewry
(Vice-President)

University of Hull

Prof. Jean-Pierre Finance
Université Henri Poincaré, Nancy 1

Prof. Lauritz B. Holm-Nielsen

University of Aarhus

Prof. Tadeusz Luty

Wroclaw University of Technology

Dr. Sijbolt Noorda

Association of Universities in the
Netherlands (VSNU)

Prof. Giuseppe Silvestri

University of Palermo

Prof. Margret Wintermantel

German Rectors' Conference (HRK)

B. COUNCIL MEMBERS (AS OF JANUARY 21, 2011)

Austria

Prof. Hans Sünkel
President, Universities Austria

Belgium

Prof. Didier Viviers
President, Rectors' Conference, French
Community of Belgium

Belgium

Prof. Alain Verschoren
President, Flemish Interuniversity Council

Bulgaria

Prof. Borislav Borissov
President, Bulgarian Rectors' Conference

Croatia

Prof. Aleksa Bjelis
President, Croatian Rectors' Conference

Cyprus

Prof. Panos Razis
President, Cyprus Rectors' Conference

Czech Republic

Prof. Dr. Petr Fiala
President, Czech Rectors' Conference

Denmark

Prof. Jens Oddershede
President, Universities Denmark

Estonia

Prof. Signe Kivi
President, Estonian Rectors' Conference

Finland

Prof. Lauri Lajunen
President, Universities Finland

France

Prof. Louis Vogel
President, Conference of University
Presidents

Germany

Prof. Dieter Lenzen
Permanent Representative,
German Rectors' Conference

Greece

Prof. Ioannis Mylopoulos
President, Aristotle University of
Thessaloniki

Holy See

Rev. Prof. Gianfranco Ghirlanda
President, Conference of Rectors of
Roman Pontifical Universities

Hungary

Dr. Éva Sándorné Kriszt
President, Hungarian Rectors' Conference

Iceland

Prof. Kristin Ingolsfottir
President, National Rectors' Conference
in Iceland

Ireland

Prof. Hugh Brady
President, Irish Universities Association

Italy

Prof. Enrico Declava
President, Conference of Italian University
Rectors

Latvia

Prof. Arvids Barševskis
President, Latvian Rectors' Council

Lithuania

Prof. Romualdas Ginevicius
President, Lithuanian Universities Rectors' Conference

Luxembourg

Prof. Rolf Tarrach
Rector, University of Luxembourg

The Netherlands

Dr. Dirk Jan van den Berg
Permanent Representative, Association of Universities in the Netherlands

Norway

Prof. Jan I. Haaland
President, Norwegian Association for Higher Education Institutions

Poland

Prof. Katarzyna Chalasinska-Macukow
President, Conference of Rectors of Academic Schools in Poland

Portugal

Prof. António Rendas
President, Portuguese National Conference of Rectors

Romania

Prof. Ecaterina Andronescu
President, Romanian Council of Rectors

Serbia

Prof. Branko Kovacevic
President, Conference of the Universities of Serbia

Slovak Republic

Prof. Dr. Libor Vozár
President, Slovak Rectors' Conference

Slovenia

Prof. Danilo Zavrtanik
President, Slovenian Rectors' Conference

Spain

Prof. Frederico Gutiérrez-Solana Salcedo
President, The Conference of the Rectors of the Spanish Universities

Sweden

Prof. Pam Fredman
President, Association of Swedish Higher Education

Switzerland

Prof. Antonio Loprieno
President, Rectors' Conference of the Swiss Universities

Turkey

Prof. Yusuf Ziya Ozcan
President, Turkish University Rectors' Conference

United Kingdom

Prof. Steve Smith
President, Universities UK

C. MEMBERSHIP DEVELOPMENT

EUA is pleased to announce that as of February 2011, the organisation has 851 members and affiliates from 47 countries. The following institutions joined the association during 2010.

INDIVIDUAL FULL MEMBERS

Austria

Carinthia University of Applied Sciences

Belarus

Belarusian State University

France

University of Haute-Alsace
University of La Rochelle

Germany

Leipzig University of Applied Sciences
Hamburg University of Applied Sciences
Bremen University of Applied Sciences
Magdeburg-Stendal University of Applied Sciences
Trier University of Applied Sciences
Deggendorf University of Applied Sciences
German Sport University Cologne
Lausitz University of Applied Sciences
Ostwestfalen-Lippe University of Applied Sciences

Portugal

Lusofona University of Humanities and Technologies

Spain

Menendez Pelayo International University

Sweden

Halmstad University

Switzerland

Graduate Institute of International and Development Studies

Ukraine

National Pedagogical Dragomanov University
Lutsk National Technical University
Lesya Ukrainka Volyn National University
Taras Shevchenko National University of Kyiv
Vasyl Stefanyk Precarpathian National University

United Kingdom

Aston University
University of Ulster
University of Essex

INDIVIDUAL ASSOCIATE MEMBERS

Austria

Campus 02 University of Applied Sciences

Lithuania

European Humanities University

Turkey

Maltepe University

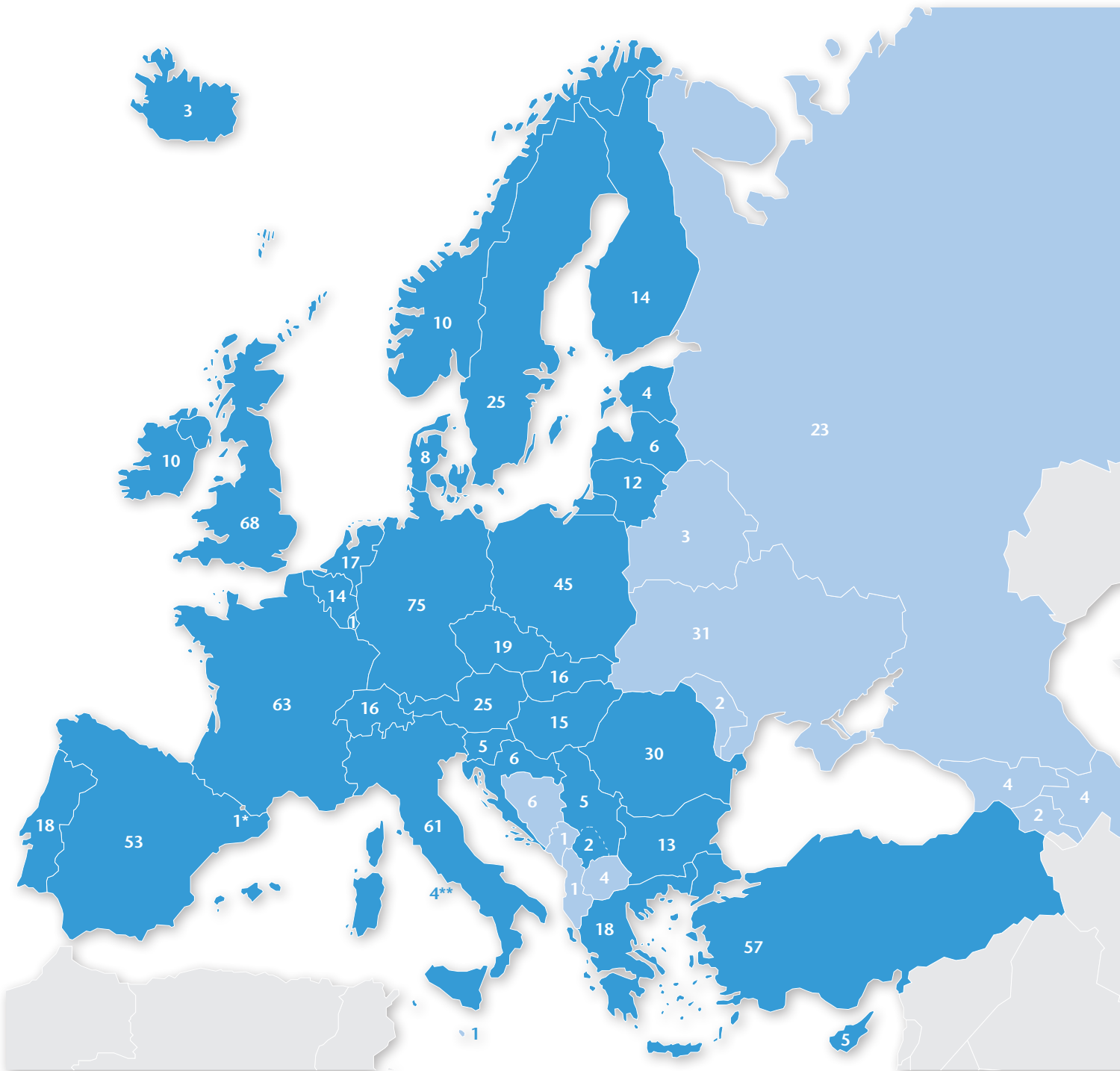
Ukraine

National University of Ostroh Academy

AFFILIATES

European Society for Engineering Education (SEFI)
Higher Education Information System (HIS) Hannover

EUA MEMBERSHIP MAP AS OF 6 APRIL 2011



- Countries with EUA collective members
- Countries with no EUA collective members
- 1 Members per country
- * Andorra
- ** Holy See

EUA has 23 Affiliates. They have not been integrated in the above map as they do not correspond necessarily to national bodies (please see www.eua.be for full list of members).

D. THE EUA SECRETARIAT IN BRUSSELS (AS OF DECEMBER 2010)

Located in Brussels, EUA is served by a central Secretariat comprised of around 40 staff members, which is headed by the Secretary General, Lesley Wilson. The Secretariat – which carries out the different activities of the organisation – comprises three policy units (higher

education policy, research and innovation, and governance funding and autonomy), together with specialised units responsible for membership services (including events and communications, the Council for Doctoral Education, and the Institutional Evaluation Programme).

SECRETARY GENERAL'S OFFICE

Lesley Wilson

Secretary General

Sue Pavis

PA to the Secretary General

Melissa Koops

Policy Officer

Isabelle Damman

HR Officer

POLICY UNITS

Research & Innovation

John Smith

Deputy Secretary General

Lidia Borrell Damian

Senior Programme Manager

Ulrich Beuter

Project Officer

Gemma Applebee

Executive Assistant

Governance – Autonomy & Funding

Thomas Estermann

Head of Unit

Enora Pruvot

Project Officer

Mirna Bratoz

Project Officer

Monika Steinel

Project Officer

Michelle Mildiner

Administrative Assistant

Higher Education Policy

Michael Gaebel

Head of Unit

Michael Hörig

Programme Manager

Elizabeth Colucci

Project Officer

Lea Brunner

Project Officer

Ralf Drachenberg

Project Officer

Ellen Mauritzen

Administrative Officer

MEMBER SERVICES

Institutional Evaluation Programme/Quality Forum

Tia Loukkola
Head of Unit
Thérèse Zhang
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E. FINANCIAL STATEMENTS AND ACCOUNTS

PROFIT AND LOSS

ACTUALS

all euros

31.12.2010

31.12.2009

INCOME	Geneva	Brussels	Total	Total
Membership Fees	2.631.947	0	2.631.947	2.728.679
EUA Council for Doctoral Education (CDE)	183.000	0	183.000	170.500
sub total Membership Fees	2.814.947	0	2.814.947	2.899.179
Grants & Subventions	102.514	0	102.514	84.260
EC Projects	0	1.173.936	1.173.936	1.373.720
IEP Projects	524.799	0	524.799	470.442
Other Projects	84.126	122.300	206.426	253.775
sub total Projects	608.926	1.296.236	1.905.162	2.097.936
Financial and Other	15.450	70.848	86.298	117.769
Income transferred from GVA to BXL	-2.812.207	2.812.207	0	
Total Income	729.630	4.179.291	4.908.921	5.199.144

EXPENSES	Geneva	Brussels	Total	Total
EC Projects	0	1.676.587	1.676.587	1.822.033
IEP Projects	336.316	95.822	432.138	325.849
Other Projects	97.367	166.039	263.406	388.706
EUA Council of Doctoral Education (CDE)	155.754	174.022	329.776	316.800
sub total Projects	589.437	2.112.470	2.701.907	2.853.388
Salaries				
Staff Expenses	197.608	2.451.444	2.649.052	2.542.712
Provision Sal & Soc Chg	0	122.633	122.633	106.000
Fees	40.258	141.236	181.494	178.832
sub total Salaries	237.866	2.715.313	2.953.179	2.827.544
Recharged Salaries to EC Projects	0	-831.313	-831.313	-633.912
Recharged Salaries to IEP Projects	-21.214	-95.822	-117.036	-145.352
Recharged Salaries to Other Projects	-71.044	-67.035	-138.079	-193.654
Recharged Salaries to CDE	-44.059	-172.706	-216.765	-201.720
sub total Recharged Salaries	-136.317	-1.166.876	-1.303.193	-1.174.637
Info & Communications	29.072	45.172	74.244	111.825
Office Costs				
Rent	0	157.470	157.470	191.341
Utilities	0	0	0	0
Office Maintenance	0	10.812	10.812	3.697
sub total Office Costs	0	168.282	168.282	195.038
Core Expenses				
Travel & Meetings	0	139.473	139.473	166.818
Books and Periodicals	0	3.045	3.045	5.022
Printed Material	0	11.385	11.385	2.196
Copying	0	4.434	4.434	3.138
IT & Office Supplies	0	37.694	37.694	35.978
Insurances	177	10.438	10.615	8.890
Postage	234	17.969	18.203	18.419
Telephone, Fax	0	31.790	31.790	24.299
Fees, legal, audit, translation	0	41.578	41.578	15.983
Other Expenses	0	46.664	46.664	17.449
sub total Core	411	344.471	344.882	298.191
Depreciation	0	75.269	75.269	77.307
Financial Expenses	9.160	7.238	16.398	7.071
sub total Depr & Bank & W/O	9.160	82.507	91.667	84.378
Recharged Expenses to EC projects	0	-105.398	-105.398	-11.590
Total Expenses	729.630	4.195.940	4.925.570	5.184.137
Result surplus/(Deficit)	0	-16.649	-16.649	15.006

BALANCE SHEET

all euros	ACTUALS			
	31.12.2010		31.12.2009	
ASSETS	Geneva	Brussels	Total	Total
FIXED ASSETS				
Building	0	3.035.525		
Office Equipment	58.143	205.473		
	58.143	3.240.998	3.299.141	196.026
RECEIVABLES				
European Commission	0	128.408		
Membership	177.879	0		
Debtors	65.061	238.113		
Inter Company account	1.411.427	0		
	1.654.367	366.521	2.020.888	2.621.670
CASH				
Bonds and Shares	0	41.108		
Term accounts	1.745.389	546.328		
Bank (Business Accounts)	261.334	342.081		
Cash at Hand	0	3.338		
	2.006.723	932.855	2.939.578	6.504.113
PREPAID EXPENSES	4.380	6.523	10.903	6.414
INCOME RECEIVABLE	84.651	1.104.172	1.188.823	1.055.533
TOTAL ASSETS	3.808.265	5.651.068	9.459.333	10.383.756

LIABILITIES	Geneva	Brussels	Total	Total
OWN FUNDS				
Own funds carried forward	743.779	141.974		
Result Current Year 2010	0	-16.649		
	743.779	125.325	869.104	885.869
PROVISIONS & ACCRUED EXPENSES				
Provision for Social Liabilities	140.000	404.000		
Provision for Projects development	400.000	420.000		
Other Provisions	173.141	150.000		
Accrued Holiday Allowance	0	228.633		
Other Accrued Expenses	41.900	165.245		
	755.041	1.367.878	2.122.919	2.048.961
PAYABLES				
European Commission	0	1.965.058		
Payables	182.124	699.256		
Inter Company account	0	1.411.427		
	182.124	4.075.742	4.257.866	5.351.060
DEFERRED INCOME	274.930	82.124	357.054	379.897
INCOME / FEES RCVD IN ADV	1.852.390	0	1.852.390	1.717.969
TOTAL LIABILITIES	3.808.265	5.651.068	9.459.333	10.383.756

NOTE	31.12.2010		31.12.2009	
ASSET BLOCKED AS GUARANTEE	0	1.800	1.800	0
GUARANTIES ISSUED FOR EC PROJECTS	0	0	0	420.000

NOTE:

Total projects are broken down as follows: EC projects 1.676.587 Euro, EUA projects for 1.025.322 Euro, EC projects include EUA salaries 831.313 Euro and Partners salaries for 85.266 Euro; Travel: EUA 60.506 Euro and Partners travel for 367.007 Euro; Other 332.495 Euro. EUA projects expenses include salaries 471.881 Euro, Travel 287.559 Euro, Other 265.882 Euro

ANNEX 1: EUA MEETINGS AND EVENTS IN 2010

EUA MEETINGS

BOARD MEETINGS

28 January 2010, Brussels
 25 March 2010, Seville
 18 June 2010, Amsterdam
 20 October 2010, Palermo
 3 December 2010, Brussels

COUNCIL MEETINGS

29 January 2010, Brussels
 26 March 2010, Seville
 21 October 2010, Palermo

GENERAL ASSEMBLY

21 October 2010, Palermo

EUA EVENTS

Fifth European Quality Assurance Forum: Building Bridges: Making sense of QA in European, national and institutional contexts

Hosted by University Claude Bernard Lyon I, France
 18-20 November 2010

EUA Annual Conference 2010: Diversities and Commonalities – the changing face of Europe's universities

Hosted by University of Palermo, Italy
 20-23 October 2010

The Bologna Process and Directive 2005/36/EC on the Recognition of Professional Qualifications: Is there scope for creative interaction?

European Parliament, Brussels, Belgium
 14 October 2010

EUIMA Country Workshop (Turkey): Universities Implementing Full Costing

Hosted by the Turkish Higher Education Council, Ankara, Turkey
 27 September 2010

Final Dissemination Conference of the 'Access to Success' project on Fostering Trust and Exchange between Europe and Africa

Brussels, Belgium
 28 September 2010

Experts Conference. Towards Financially Sustainable Universities II: Diversifying Income Streams

Hosted by University of Bologna, Italy
 13-14 September 2010

North America – 12th Transatlantic Dialogue: Higher Education in Turbulent Times: Facing Market Forces; Promoting the Common Good

Organised in cooperation with the American Council on Education (ACE) and the Association of Universities and Colleges of Canada (AUCC)
New York University, New York
25-28 June 2010

EUIMA Country Workshop (Croatia) - Universities Implementing Full Costing

Hosted by University of Zagreb, Croatia
16 June 2010

Third EUA-CDE Annual Meeting

Hosted by Freie Universität Berlin, Germany
4-5 June 2010

Access to Success Workshop 3: Intra and Inter regional mobility in Europe and Africa

Hosted by Association of African Universities
Accra, Ghana
3-4 May 2010

Third EUA-CDE Workshop: Researchers' Careers - Support and Development

Hosted by Ghent University, Belgium
18-19 March 2010

Presentation of the TRENDS 2010 report: The European Higher Education Area – achievements and future challenges

Hosted by University of Vienna, Austria
11 March 2010

Access to Success Workshop 2: Towards a coordinated vision of Europe-Africa higher education partnerships: Supporting institutional capacity building in Africa

Hosted by the Norwegian Association of Higher Education Institutions (UHR)
Oslo, Norway
25-26 February 2010

Latin America: Taking forward research and higher education cooperation between universities

Hosted by the Technical University of Bolivar. Organised in cooperation with the Observatorio de las relaciones entre la Unión Europea y América Latina (Obreal) and Asociacion Colombiana de Universidades (ASCUN).
Cartegena, Colombia
4-6 February 2010

ANNEX 2: EUA POLICY POSITIONS AND DECLARATIONS IN 2010

Joint Statement of the Association of African Universities (AAU) and the European University Association (EUA) on the role of higher education in the Africa-Europe Strategic Partnership – for submission to the Africa EU Summit

Preamble

The Association of African Universities (AAU), representing over 200 university members throughout Africa, and the European University Association (EUA), representing over 800 universities and university organisations in 46 European countries, have embarked upon structured dialogue and cooperation on pressing issues regarding higher education and development in both regions. Over the last two years the Erasmus Mundus project 'Access to Success: Fostering trust and exchange between Europe and Africa' has provided a platform for both organisations to engage the academic community, but also donors and regional governments, in discussions on the role of universities and university partnership in development cooperation.

The present statement draws upon the project outcomes, and in particular upon the White Paper: Africa-Europe Higher Education Cooperation for Development: Meeting Regional and Global Challenges.¹

The White Paper refers to a wealth of university-driven approaches and initiatives to enhance research and innovation, education and training, and economic and social development. It highlights the importance of interuniversity collaboration to ensure further progress, and outlines a number of recommendations to governments, donor organisations, universities and university organisations. It also makes specific reference to the Africa-EU Strategic Partnership, which will be the subject of the next Africa-EU Heads of State Summit (29-30 November 2010).

Both AAU and EUA, on behalf of their members, would like to reiterate the concern expressed in the White Paper that the role of universities in Africa, and in particular the potential for Africa-Europe university partnership, has hitherto not been fully recognised or addressed as an important element of the bi-regional political agenda.

Therefore, this joint statement confirms the commitment of the two signatory

organisations and outlines specific recommendations for Heads of state, the African Union and European Union Commissions and the European Parliament. It was adopted by the Councils of both Associations on 21 October 2010.

Recalling

- The EUA Prague Declaration (2009), which stressed the role of higher education in solving the financial crisis, and committed to 'enhancing global collaboration, partnership and presence beyond Europe as a priority for an ever greater number of universities with diverse missions, to ensure strategic presence and promote a more international outlook among students and staff alike, and, in particular in times of global financial crisis, to demonstrate active solidarity and cooperation.'
- The AAU Declaration on the African University in the Third Millennium (2001), which calls for 'the revitalisation of the African University and for a renewed sense of urgency in acknowledging the crucial role it should play in solving the many problems facing [the] continent', and which urges African universities to 'give priority to effective and positive participation in the global creation, exchange and application of knowledge' and urges African governments to 'continue to assume the prime responsibility for sustaining their universities, in partnership with other stakeholders' because of the 'critical role of universities in national development.'
- The Declaration of the 2009 UNESCO World Higher Education Conference, that calls for 'partnerships and concerted action at national, regional and international levels to assure the quality

and sustainability of higher education systems worldwide – particularly in Sub-Saharan Africa, Small Island Developing States (SIDs) and other Least Developed Countries (LDCs).'

- The 2nd Decade of Higher Education for Africa (2006-15) of the African Union, which confirms the urgent need to revitalise African higher education institutions and promote regional cooperation.

Noting

- That in an increasingly interdependent and interconnected world, Africa and Europe need to work together to address global challenges such as sustainable development, energy, climate change, security and migration.
- That one strategic way to address these challenges is through higher education partnerships. If they are structured efficiently and sustainably, partnerships can generate research and teaching capacity, empowering universities as economic drivers and agents of knowledge transfer. Furthermore university partnerships are a strategic means to contribute to the overall capacity development of African universities.
- The important role of higher education in development, a fact that is increasingly supported by multilateral donors and incorporated into national poverty reduction strategies.
- The objectives of the Africa-EU Strategic Partnership which seeks to enhance political cooperation and effective multilateralism in a variety of critical fields, to ensure that all the Millennium

Development Goals are met and to promote regional and continental integration.

Recommend

To the Heads of State from Africa and Europe meeting at the 3rd Africa-EU Summit on 29-30 November 2010 in Tripoli, Libya to:

- Accord higher education a clear position within the Africa-EU Strategic Partnership and its eight sub-partnerships. While universities and higher education are considered in the Science, Information and Society Partnership and in the Migration, Mobility and Employment Partnership, they are not explicitly mentioned in the objectives of either of these important sub-partnerships.
- Acknowledge that universities link education and research through their activities, and contribute to teaching and learning as well as to the science and innovation agendas in the two regions. This should be reflected in the structure of the Partnership and its activities.

To the African Union and European Union Commissions working in the framework of the Africa-EU Strategic Partnership:

- Given the emphasis on the role of civil society in the Africa-EU Strategic Partnership, to involve, in a systematic and strategic way, higher education representative organisations in the development of policies and programmes. This would ensure that the higher education community in both regions embraces the Partnership and its activities (such as the Nyerere Programme or the Pan African University), has reliable information on

these activities and contributes to the implementation of commitments taken. A formal mechanism for consultation and information dissemination should be developed.

- Establish a sustainable information exchange and dialogue platform that could provide an umbrella for enhanced cooperation among the many ongoing initiatives driven by member states, donor agencies and individual higher education institutions. It could also contribute to exchange and mutual learning with regards to the regional integration projects of Africa and Europe. It should include different actors in the higher education community, donors and governments.
- Strengthen intra- and inter-regional student and staff mobility schemes, by assessing the impact of current initiatives, consulting alumni of existing programmes and considering the resource requirements needed for structuring such mobility.
- Fund mutual learning projects on strategic higher education priorities for both continents. This could include themes like modernisation of higher education, a regional dimension to institutional quality assurance, development of doctoral education and internationalisation of research.

To the European Union Commission and the European Parliament:

- Support the role of higher education and higher education partnerships in European development policy. This would mirror the emphasis placed on higher education in the EU 2020 Strategy and anticipate the soon to be launched EU higher education internationalisation strategy.

- Revise the current restriction in the Development Cooperation Instrument (DCI) that only stakeholders in developing countries should benefit from funding. A solution needs to be found to ensure the participation of the European University Community in development activities. Higher education cooperation can only be meaningful if exchange is reciprocal. Restrictions regarding eligibility of costs incurred by European universities in EU funding programmes are clearly one of the factors that impact negatively. European universities have expressed concern about incentivising staff to take up development cooperation activities, e.g. for collaborative research and student and staff exchange. Whereas the current regulations of the DCI allow for-profit companies in developing countries to be financed, it is difficult

to understand and counterproductive that non-profit organisations in Europe, such as universities, which work for the benefit of society, cannot be funded. We strongly recommend that the DCI grant exceptions to, or otherwise find ways of providing funding opportunities for universities, university networks and associations in Europe.

The Association of African Universities and the European University Association are committed to strengthening Africa-Europe university collaboration and to ensuring the success of the Africa-EU Strategic Partnership. Both associations are ready for further discussion with the African Union and the European Union Commissions and to take up dialogue and cooperation with other partners, subject to their capacity.

EUA Policy Statement on Quality and Quality Assurance in the European Higher Education Area (October 2010)

Preamble

Improving the quality of teaching and learning has been at the heart of the Bologna Process reforms and continues to be of crucial importance for the further implementation of these reforms. The growth in interest in rankings, as well as recent student protests further illustrate the need for universities to reiterate their continued commitment to improving the quality of teaching and learning. Therefore EUA's policy position has been updated to take account of recent developments and to provide a solid basis for policy work and advocacy in the years to come.

This policy position focuses on the need to promote cultures of quality at the system as well as the institutional level. At institutional level ownership of quality processes among the university community is fundamental to the creation of true quality cultures which means it is crucial to ensure the commitment of students, academics and support staff alike. Governments for their part are encouraged to ensure that external quality assurance frameworks focus on promoting quality cultures aiming at institutional development rather than attempting to measure quality in quantitative terms.

Guiding principles

For Europe's universities quality assurance should be based on the following key principles:

- i. **Primary responsibility for quality assurance lies with universities themselves.** The role of external quality is to review these internal processes while respecting and promoting the primary responsibility of HEIs in designing them.
- ii. **Institutional quality management requires a comprehensive, all-encompassing approach.** This covers all activities of a university: research, teaching and learning, service to society and support services. Quality management should be derived from the mission statement and strategic goals of each institution and constitutes a fundamental part of an overarching institutional quality culture that aims at continuous enhancement of the quality.
- iii. **Quality is contextual.** This is important in order to take account of and further promote the diversity of the sector, both the diversity of institutional missions and profiles, as well as of national

contexts and traditions, including national quality assurance procedures. There is no one-dimensional definition of quality for the purposes of quality assurance. Defining quality must take into account the specific institution and the national context. Equally, quality assurance processes should be flexible and adaptable so as not to stifle diversity, innovative teaching practices and creative research.

- iv. ***The ultimate goal of all quality assurance – both internal and external – is to enhance quality thus promoting trust among stakeholders.*** Regardless of how quality is defined, the ultimate aim of all quality assurance processes – whether they are internal or external and related to research, teaching and learning or other activities – should always be to enhance quality levels through a considered examination of processes and their outcomes and by maintaining a balance between accountability and improvement.

Furthermore, the evidence shows the following:

- ***There is an integral link between institutional autonomy and accountability.*** One of the main finds of both TRENDS V and TRENDS 2010 is that the greater the institutional autonomy, the more robust the internal quality processes introduced in universities, and vice versa.
- ***The importance of the existence of internal quality processes for inter-institutional cooperation:*** TRENDS 2010 shows that institutions closely involved in international inter-institutional cooperation, in particular at European level are more likely to evaluate both teaching and research activities regularly than institutions that are less active internationally.
- ***The importance not only of enhancing quality but also of improving transparency.*** As part of their commitment to quality and their responsibility to society universities must be prepared to provide accurate information about institutional mission, activities, performance and results obtained to learners, employers and other stakeholders.
- ***Transparency tools such as rankings or classifications cannot be used as a means of accountability or as a proxy for quality.*** They can only – at best – serve as a means of comparing universities and thus indicating their relative position in relation to other universities using certain indicators. Thus, they do not serve the same purpose as internal or external quality assurance which examine processes and outcomes with the aim of producing a judgement reflecting strengths and concerns to be addressed.
- ***Grassroots cooperation among the various stakeholders is a crucial success factor in bringing about sustainable change and improvement.*** One of the on-going challenges for the next decade will be to ensure the continuing engagement and active involvement of all stakeholders – universities, quality assurance agencies and students – in the development of quality assurance. This will require promoting regular and ongoing dialogue between the partners at all levels.

Principles for implementing internal and external quality processes in teaching and learning

The development of quality assurance in teaching and learning has been an integral part of the Bologna Process reforms and the TRENDS 2010 report shows the need for further consolidation of the changes made as the European Higher Education Area takes shape over the next decade.

In this context the emphasis is put on improving the teaching and learning process, albeit in the institutional context of overall quality management as outlined above. The following principles have been developed taking account of the association's work over the last decade.

Internal quality assurance must:

- Promote **shared values and attitudes about quality** (i.e. quality culture) rather than regarding it as simply a managerial process 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 university community** – students, academic and support staff – and using their results in the strategic cycle.

- Ensure central institutional **data collection and analysis** to measure institutional performance of all activities.

- Ensure an **appropriate leadership and staffing** of a quality unit in order to avoid over-bureaucratisation.

External quality assurance must avoid undue bureaucratic processes and thus:

- Seek a balance between autonomy and accountability by **promoting institutional audits or evaluations** based on an evaluation of internal quality processes.
- Adopt a **fitness for purpose** approach respecting national, institutional and disciplinary diversity with the institutional mission statement as a starting point.
- Demonstrate an **improvement orientation** that stresses the self-evaluation phase and confidentiality of parts of the process while promoting the transparency of the results.

The key success factor will be finding meaningful ways of improving the articulation of internal and external quality assurance processes so that they are in balance and thus complement each other in support of a sustainable quality development in the context of the enhanced university autonomy and institutional responsibility for quality. In this context EUA continues to promote the implementation of the ESGs, and, in as far as this is compatible with national quality assurance frameworks, to advocate freedom of choice for institutions in selecting their external quality assurance agency from among those agencies listed on EQAR.

Salzburg II Recommendations: European Universities' Achievements since 2005 in Implementing the Salzburg Principles

EXECUTIVE SUMMARY

In 2005, the Salzburg Principles were established in the Bologna Process as the basis of the reforms for doctoral education. In the half decade that has passed since then, Europe's universities have carried out wide-ranging reforms in this area, most notably by establishing doctoral schools¹. The achievements and experiences of Europe's universities affirm and enrich the original principles.

The recommendations, including a series of clues to success and obstacles to clear, have three over-arching messages:

First of all, doctoral education has a particular place in the European Research Area and the European Higher Education Area. It rests on the practice of research, which makes it fundamentally different from the first and second cycles.

Secondly, doctoral candidates must be allowed independence and flexibility to grow and develop. Doctoral education is highly individual and by definition original. The path of progress of the individual is unique, in terms of the research project as well as in terms of the individual professional development.

Lastly, doctoral education must be developed by autonomous and accountable institutions taking responsibility to cultivate the research mindset. Institutions need flexible regulation to create special structures and instruments and continue advancing European doctoral education.

These recommendations are meant as a set of guidelines for a diverse landscape of doctoral schools and programmes, rather than a standardised checklist.

ENRICHING THE SALZBURG PRINCIPLES

The knowledge society requires the creativity and flexibility of the research mindset for a number of different functions and careers, also beyond those directly related to research. The doctorate has increasingly achieved recognition as a key part of this process.

For this reason, reform of doctoral education has been central to both the European Research Area and the European Higher Education Area over the past few years. The reforms are vital for the sustainable development of Europe and essential for

¹ Throughout this document, the term 'doctoral school' is used as a generic term to include graduate and research schools

the global research community. Indeed, Europe is emerging as a global leader in reforming doctoral education.

The Salzburg Principles (2005) represented a key milestone in the reform process of doctoral education in Europe, as they drew new common directions from the diverse reforms ongoing at that time in European countries.

Half a decade after the Salzburg Principles, the European landscape of doctoral education has changed profoundly. The adaptation and implementation of the principles have been driven by Europe's universities themselves, and they have attained great expertise and experience through this process.

The achievements of Europe's universities, in their very different contexts, have proven the validity of the Salzburg Principles as a foundation for continuous improvement of doctoral education. They have accumulated experience and developed promising practices, which affirm and enrich these Principles.

The following recommendations are the outcome of the Salzburg II initiative, an intensive consultation with the members of the EUA Council for Doctoral Education (EUA-CDE), the largest and most comprehensive organisation concerning doctoral education in Europe. The outcomes of the consultations were discussed by the more than 220 participants at the Annual Meeting of the EUA-CDE at the Free University of Berlin in June 2010, representing 165 institutions from 36 countries.

The recommendations build on the original Salzburg Principles; they affirm the validity of the basic principles and give them additional, concrete content.

The recommendations are to be read as three different categories. The first category cements the basis of the doctorate as based on the practice of an original research project and thereby different from the first and the second cycles. The second and largest category consists of recommendations for the concrete improvement of doctoral education, aimed at universities as well as at those providing the legal frameworks for doctoral education. The third category is aimed mostly at non-university stakeholders such as political decision makers and funding organisations, and they involve issues such as the institutional autonomy and sustainable funding of doctoral schools.

1. RESEARCH AS THE BASIS AND THE DIFFERENCE

In line with the first Salzburg Principle, the goal of doctoral education is to cultivate the research mindset, to nurture flexibility of thought, creativity and intellectual autonomy through an original, concrete research project. It is the practice of research that creates this mindset.

Doctoral research takes place in a research environment with doctoral candidates as fellow researchers; this demands that institutions base their strategies for doctoral education on their research capacity, critical mass, diversity, and ability to create inclusive environments that will make doctoral candidates active participants in the ongoing research.

It is hence essential that the development of doctoral education should follow its own path and not use the same tools as the first and second cycles.

The meaning of structure

Structuring doctoral education is to create a supportive environment. Setting up structures means taking institutional responsibility for training through research, as defined in the second Salzburg Principle. Doctoral education is an individual journey, and structures must give support to individual development, and not produce uniformity or predictability. The goals of structuring doctoral education must be to assure diverse and inclusive research environments of a high quality as the basis of doctoral education. This includes critical mass, transparent admission procedures and high quality of supervision.

Structuring doctoral education also means achieving flexible structures to expose early stage researchers to a wide range of opportunities, ensuring personal and professional development and to provide institutional support for career development and mobility. Taught courses are to be seen as a support to the individual professional development of doctoral candidates; they are not central to the meaning of structure.

When establishing structures, the importance of diversity as stressed in the third Salzburg Principle is crucial. Many different structures and diverse strategies will enrich doctoral education in Europe.

Structures should be developed at the appropriate level of governance and not be imposed on or within the institution. It is essential that academic staff takes responsibility and ownership of these structures through inclusive procedures.

2. CLUES FOR SUCCESS

2.1. Critical mass and critical diversity

Doctoral education is dependent on the research environment. Institutions must develop a *critical mass and diversity of research* in order to offer high quality doctoral education. Critical mass does not necessarily mean a large number of researchers, but rather the quality of the research. In line with the sixth Salzburg Principle, Europe's universities have developed diverse strategies to assure critical mass and diversity, building their areas of strength through focused research strategies and engaging in larger research networks, collaborations or regional clusters.

2.2. Recruitment, admission and status

Structured programmes should *develop recruitment strategies that correspond to their particular mission and profile*. Recruitment strategies should be connected to explicit outcomes, identifying clear profiles of the candidates wanted. Such profiles should build on the parity of esteem of a range of different qualities and ensure equality of opportunity. In this manner, recruitment policies could take into account criteria such as international recruitment, gender equality, social background or different age groups. Recruitment should value *the research potential of the candidates over past performance and above all the candidates' potential to succeed in the programme to which they are being admitted*.

Admission to a doctoral programme is an institutional responsibility, which must include the strong involvement of research staff. Admissions policies must be *transparent and accountable* and should reflect the research, supervisory and financial capacity of the institution.

Admissions policies should also provide the appropriate flexibility in the choice of supervisor. Transparency and accountability will be strengthened by having a *single, identifiable place to apply*, at least at programme level. Admissions should be based on a *well-defined, public set of criteria*. Institutions should *accept risk in admitting doctoral candidates* and allow them to demonstrate their potential through a monitoring system.

Doctoral candidates should be recognised as *early stage researchers* with commensurate rights and duties. Regardless of legal status, they are to be seen and treated as professionals as stated in the fourth Salzburg Principle.

2.3. Supervision

As stressed in the fifth Salzburg Principle, supervision plays a crucial role. *Supervision must be a collective effort* with clearly defined and written responsibilities of the main supervisor, supervisory team, doctoral candidate, doctoral school, research group and the institution, leaving room for the individual development of the doctoral candidate. *Providing professional development to supervisors is an institutional responsibility*, whether organised through formal training or informal sharing of experiences among staff. Developing a common *supervision culture* shared by supervisors, doctoral school leaders and doctoral candidates must be a priority for doctoral schools. *Supervisors must be active researchers*.

2.4. Outcomes

The main outcome of doctoral education are the early stage researchers and their contribution to society through knowledge, competences and skills learnt by undertaking research, as well as awareness and openness towards other disciplines. The outcome of their research

must *testify to the originality of the research and be suitable for dissemination within the scientific community*.

2.5. Career development

Career support for doctoral candidates must take into account individual goals and motivations and acknowledge the wide range of careers for doctorate holders.

While the doctoral candidate is responsible for their career choices given the situation on the labour market, *it is the institution's responsibility to provide support structures for professional development. Offering training in transferable skills, including understanding the ethics of research, is central*, and should be a priority for doctoral schools and programmes. Professional development of doctoral candidates includes *awareness about skills attained through doing research* as well as of the wide range of career choices form doctorate holders. Building ties to the other sectors contributes to bridging the communication gap with potential employers and recruiters.

2.6. Credits

Applying the *credit system* developed for cohorts of students in the first and second cycles *is not a necessary precondition for establishing successful doctoral programmes*. Some universities consider credits useful for the taught components of doctoral education, especially in cross-institutional (joint) doctoral programmes. Credits, however, do not make sense when measuring the research component or its associated dissemination outputs. Applied wrongly, rigid credit requirements can be detrimental to the development of independent research professionals. High quality doctoral education needs a stimulating research environment driven by research enthusiasm, curiosity and creativity, not motivated by the collection of credits.

2.7. Quality and accountability

It is necessary to develop *specific systems for quality assurance in doctoral education* based on the diverse institutional missions and, crucially, *linked to the institutional research strategy*. For this reason, there is a strong link between the assessment of the research of the institution and the assessment of the research environments that form the basis of doctoral education. Assessment of the *academic quality of doctoral education should be based on peer review* and be sensitive to disciplinary differences.

In order to be accountable for the quality of doctoral programmes, institutions should *develop indicators based on institutional priorities* such as individual progression, net research time, completion rate, transferable skills, career tracking and dissemination of research results for early stage researchers, taking into consideration the professional development of the researcher as well as the progress of the research project.

2.8. Internationalisation

Internationalisation strategies should be a tool in increasing the quality in doctoral education and in developing institutional research capacity. Internationalisation in doctoral education is understood and interpreted in different ways, ranking *from internationalisation at home* (using the international profile of the home institution such as international doctoral candidates, staff, events and guest researchers), *collaborative doctoral programmes* (with individual mobility – such as co-tutelle) to *international joint doctoral programmes* (joint, integrated curricula, joint committees and juries, and the joint degree). As stressed in the ninth Salzburg Principle, doctoral education should include the possibility for mobility experiences. The choice among these

different models of internationalisation must be coherent with the research strategy of the institution and the individual needs of the doctoral candidate. *The mobility of doctoral candidates must be driven by the research project*.

3. CLEARING THE OBSTACLES

The growth of doctoral schools in Europe has been extremely impressive. Much has been done to implement reforms and to continuously develop doctoral education. Universities have proved that they have the will and the expertise to carry out a thorough modernisation of doctoral education, but they still encounter obstacles to their ambitions.

3.1. Funding

The tenth and final Salzburg Principle underlines the importance of sustainable funding. Universities as well as doctoral candidates are still underfunded. *High quality doctoral education requires adequate, sustainable and doctorate specific funding opportunities*.

Making a structured programme a success requires more than funding for grants or salaries for doctoral candidates and research equipment. *Strategic leadership, supporting structures and career development all need resources*. The same goes for the management of the *physical space* where the programmes are located. Experiments with new types of research environments, open offices, retreats or similar have proven effective in creating inclusive research communities. Governments and funding organisations should be aware of these needs in their initiatives for doctoral education.

Giving doctoral schools and programmes the *sustainable financial means to*

recruit candidates would improve the competitiveness of European doctoral education. Letting high quality doctoral schools administer resources for grants and salaries will strengthen the capacity of doctoral schools to engage in flexible recruitment strategies to attract the best candidates for their profile. Funding schemes that aim at increasing the number of doctoral candidates should **take into account the quality and capacity of the programmes.**

3.2. Autonomy

Institutions need autonomy to be able to establish, and be accountable for, diverse structures with different research strategies and strengths. The use of specific tools must be decided autonomously within the institution in accordance with the profile of the doctoral programme and the needs of the doctoral candidate.

3.3. Legal framework

The national and European legal frameworks must give institutions the possibility to engage in innovative doctoral programmes and take the necessary institutional responsibilities.

Institutions must be able to develop their systems for quality assurance and

enhancement independently within their national frameworks. They must have the **freedom to develop their own indicators for quality** that correspond with the standards of the individual disciplines as well as with the overall institutional strategy.

National legislation governing joint or dual degrees should be reviewed to facilitate international collaborations. The aim should be to create a greater degree of coherence and transparency on the requirements for setting up programmes with joint or dual degrees.

3.4. Intersectoral collaboration

All stakeholders should engage in **measures to facilitate cooperation between providers of doctoral education and the non-academic sectors to the mutual benefit of all partners.** It is essential to **create awareness about the qualities of doctorate holders** as well as **to build trust between universities and other sectors.** Such trust is, for example, **built on formalised but flexible research and research training collaboration between industry and higher education institutions,** including joint research projects, industrial doctorates or similar schemes.

ANNEX 3: EUA PUBLICATIONS 2010



Salzburg II Recommendations: European Universities' Achievements since 2005 in implementing the Salzburg Principles



Creativity and Diversity: Challenges for quality assurance beyond 2010 – a selection of papers from the fourth European Quality Assurance Forum



Africa-Europe Higher Education Cooperation for Development: meeting regional and global challenges, White Paper.
Outcomes and recommendations of the project: Access to Success: Fostering Trust and Exchange between Europe and Africa (2008-2010)



Examining Quality Culture Part 1 – Quality Assurance Processes in Higher Education Institutions
By Tia Loukkola and Thérèse Zhang



Access to Success: Fostering trust and exchange between Europe and Africa Project Compendium



EUA Annual Report 2009



Trends 2010: A decade of change in European Higher Education
By Andrée Surssock and Hanne Smidt

Some publications to look out for in 2011

Financially Sustainable Universities II: European universities diversifying income streams

Examining Quality Culture Part II

Global University Rankings and Their Impact

Shaping Inclusive and Responsive University Strategies (SIRUS) Project Compendium

ANNEX 4: EUA STEERING COMMITTEES/WORKING GROUPS/MANAGEMENT TEAMS

Research Policy Working Group

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Prof. Tadeusz Luty, Board Member, EUA

Prof. Giuseppe Silvestri, Board Member, EUA

Prof. Ing. Jan Bujnak, Rector, University of Zilina, Slovakia

Prof. Torbjørn Digernes, Rector, Norwegian University of Science and Technology, Norway

Prof. Heinz Engl, Vice-Rector, University of Vienna, Austria

Prof. Pam Fredman, Vice-Chancellor, University of Gothenburg, Sweden

Prof. Julia Goodfellow, Vice-Chancellor, University of Kent, UK

Prof. Dr. Vaclav Hampl, Rector, Charles University Prague, Czech Republic

Prof. Klaus Hulek, Vice-President for Research, Leibniz Universität Hannover, Germany

Prof. Karol Musiol, Rector Jagiellonian University, Krakow, Poland – Invited Observer from the European Research Area Board, ERAB

Prof. Jean-Luc Nahel, Permanent delegate of CPU, former President, University of Rouen, France

Prof. Ilkka Niiniluoto, Chancellor, University of Helsinki, Finland

Prof. Ray O'Neill, Vice-President Research, National University of Ireland Maynooth, Ireland

Prof. Marco Pasquali, Rector, Università di Pisa, Italy

Prof. Radovan Stanislav Pejovnik, Rector, University of Ljubljana, Slovenia

Prof. Fernando Ramoa Ribeiro, Rector, Technical University of Lisbon, Portugal

Prof. Dr. Gulsun Saglam, former Rector, Istanbul Teknik Üniversitesi, Turkey

Prof. José Carlos Gomez Sal, Vice-Rector, Cantabria University, Spain

Prof. Dr. Paul F. van der Heijden, Rector, Universiteit Leiden, The Netherlands

Prof. Stavros A. Zenios, Rector, University of Cyprus, Cyprus

Dr. John Smith, Deputy Secretary General, EUA

Dr. Lidia Borrell-Damian, Senior Programme Manager, EUA

Gemma Applebee, Executive Assistant, EUA

EUA Council for Doctoral Education (EUA-CDE) Steering Committee

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Prof. Rymantas Kažys, Vice-Rector for Research, Kaunas University of Technology, Lithuania

Prof. Melita Kovacevic, Vice-Rector for Science and Technology, University of Zagreb, Croatia

Prof. María Morrás Ruiz-Falco, Delegate for the Internationalisation of Doctoral Studies, Universitat Pompeu Fabra, Spain

Prof. Amelie Mummendey, Vice-Rector of the Jena Graduate Academy, Friedrich Schiller University Jena, Germany

Prof. Berit Rokne, Deputy Rector, University of Bergen, Norway

Prof. Giuseppe Silvestri, former Rector, University of Palermo, Italy (ex-officio EUA Board)

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Prof. Tom Markvart, Director, Solar Energy Laboratory, School of Engineering Sciences, University of Southampton, United Kingdom

Prof. Michael Muhr, Vice-Rector, Graz University of Technology, Austria

Prof. Juan Pascual Martínez Pastor, Instituto de Ciencia de los Materiales, University of Valencia, Spain

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Institutional Evaluation Programme (IEP) Steering Committee

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Prof. Rossella Iraci Capuccinello, student, Lancaster University, United Kingdom

Prof. Christina Rozsnyai, Programme Officer for Foreign Affairs, Hungarian Accreditation Committee

Prof. Gülsün Saglamer, former Rector, Istanbul Technical University, Turkey

Prof. Carles Solà, former Rector, Universitat Autònoma de Barcelona, Spain

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Prof. Lothar Zechlin, former founding Rector, University of Duisburg-Essen, Germany

Prof. Jean-Pierre Finance, President of Université Henri Poincaré, Nancy 1, France, (ex-officio EUA Board Member)

EUA Rankings Working Group

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Prof. Jean-Pierre Finance, President, Université Henri Poincaré, Nancy 1, France

Sir Howard Newby, Vice-Chancellor, University of Liverpool, United Kingdom

Prof. Jens Oddershede, Vice-Chancellor, University of Southern Denmark and President, Universities Denmark

Prof. Andrejs Rauhvargers, Secretary General of the Latvian Rectors' Conference and Professor at the University of Latvia

PROJECTS

Examining Quality Culture in Higher Education Institutions (EQC) Steering Committee (from October 2009)

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Dr. David Bottomley, Assistant Head, QAA Scotland, United Kingdom

Dr. Karl Dittrich, representative, European Association for Quality Assurance in Higher Education, Finland

Barbara Michalk, Head of Quality Management Project, German Rectors' Conference (HRK), Germany

Mag. Oliver Vettori, Head of Quality Management and Programme Delivery, Vienna University of Economics and Business, Austria

Tia Loukkola, Head of Unit, EUA

Mapping the application and implementation of the ESGs (MAP-ESG) Steering Committee

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Dr. Prof. Guy Aelterman, Vice-Chancellor, Artesis University College Antwerp, Belgium

Stefan Delplace, Secretary General, European Association of Institutions in Higher Education, Belgium

Allan Päll, Vice-Chairperson, European Students' Union, Belgium

Andrea Blaettler, member of Academic Affairs Committee, European Students' Union, Belgium

Tia Loukkola, Head of Unit, EUA

Promoting Collaborative Doctoral Education for Enhanced Career Opportunities (DOC-CAREERS II) Project Steering Committee

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Peter van der Hijden, European Commission, DG Research

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Gemma Applebee/Ms. Ilona Mazan, Executive Assistant, EUA

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Dr. Adeline Kroll, Directorate-General for Research and Innovation, European Commission

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 Stephen Trueman, Managing Director, Sapienza Innovazione, Italy
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European Universities Diversifying Income Streams (EUDIS) Steering Committee (1.10.2008 to 28.02.2011)

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 Dott.ssa Giovanna Filippini, Head of International Relations, University of Bologna, Italy (from August 2010)
 Dr. Dietmar Ertmann, Vice-President and Head of Administrative Affairs, Vietnamese-German University Consortium (VGU), Germany
 Prof. Petr Fiala, Rector, Masaryk University, Czech Republic (represented by Ing. Ondrej Hradil, CEITEC Project Deputy Director)
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